



**NOVEMBER 13 & 14, 2014 - TORTOLA, BVI**

CARIBBEAN REGIONAL COMPLIANCE ASSOCIATION

# Can Do Compliance

## Building Better Relationships with your Salesforce

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# One Common Objective



**Client**

**Sales**

**Compliance**



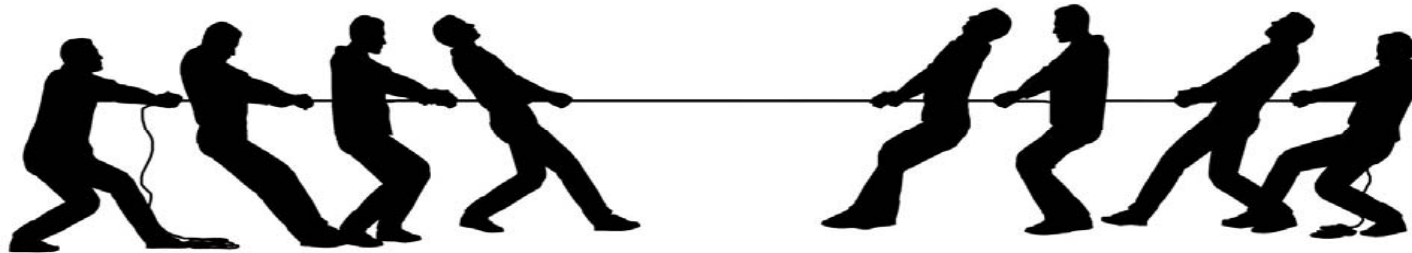
# Compliance is the Safety Net



# 6 C's for Compliance Officers



The definition of compliance is “the capacity to yield under an applied force”.



So, it's easy to understand why the Sales Team often sees their Compliance Officer as “The Enforcer”.

# 1. Communicate Expectations



**No!**

# 1. Communicate Expectations



## 2. Capture \$\$\$ Opportunities



**Sealing the Deal**



# 3. Compassionate Coaching



## What is your Compliance Coaching Style?





# What is Your Coaching Style?

The Analyst	The Mentor	The Cheerleader	The Eagle Eye	The Teacher
One of my strengths is to analyse and sort out what is wrong.	I lead by example.	I spend most of my time being encouraging .	I have a keen eye and am able to pick up what others miss.	I am always furthering my knowledge and have an extensive array of information tucked away.
I possess the ability to put things into practice.	I often get into the middle of helping with clients.	I feel like the Boot-Camp Boss.	Sometimes I get quite technical and not everyone understands my thinking.	Know a little bit about everything and a lot about some things.
I often try to work things out myself.	I struggle with sales people who don't work hard.	I possess motivational skills to get people moving.	I can rip things (and people) apart and put them back together again.	I am sometimes a Pseudo Learner like a professional student constantly hungry for new information.
	I am very good at demonstrating things.	Teams tend to gravitate to me for support.		I tend to do more research than necessary to come to a conclusion.



# What is Your Coaching Style?

The Observer	The Presenter	The Judge	The Professional	The Friend
Sometimes people do not recognise me as being part of the team.	I provide information in a meaningful way with examples.	I value form and accurate processes over everything else and quickly correct any deviations.	I possess the ability to get the best out of everyone.	I do not not like to offend people.
I usually provide feedback later on (after the fact) in the form of an email.	I am usually most comfortable in front of a group .	I am sometimes a perfectionist to a fault.	I usually know best.	I patiently listen to problems and issues and help when possible.
My feedback is short accurate and often not given unless asked for.	I am sometimes to verbose and preachy when I am passionate about something.	I am a stickler for rules a regulations.	I am calm and confident and can filter that to the sales rep.	I do not like to give feedback that the sales rep would take as negative for fear of being disliked.

# What is Your Coaching Type?



## The Ultimate

The Ultimate is an extremely rare breed. The Ultimate is a killer combination of all of the above coaches. He/she displays:

- The analysis of the Analyst
- The ability of the Mentor
- The encouragement of the Cheerleader
- The eye of the Eagle
- The passion of the Teacher
- The succinctness of the Observer
- The clarity of the Presenter
- The standards of the Judge
- The experience of the Professional
- The patience of the Friend

# My Email Box



**October 31**

**Re: Your Account**

**Dalia**

**I hope that you are well.**

**We are undergoing an exercise to update our client details and I am afraid that your account has quite a lot of missing details. Please can you provide me with the information detailed below. We require this information by 14<sup>th</sup> November and if we do not receive it we will have to suspend your account and eventually look to close it down.**

**Please can you send me:**

**Confirmation of the source of funds that are held in the account and where those funds originated from  
Certificate of Incorporation  
Director Registry  
Shareholder Registry**

**If you have any questions please let me know**

**Name of Advisor**

# 4. Change Management Support



**What part of THOU SHALT don't you understand?**



# 5. Chunks of Consumable Information



I am here to help

**TMI**



## 6. Celebrate Achievements



Give credit where due!  
Reward achievers!







***What are the top three things  
you 'CAN DO' for your Sales  
Team today?***



# Thank you!

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