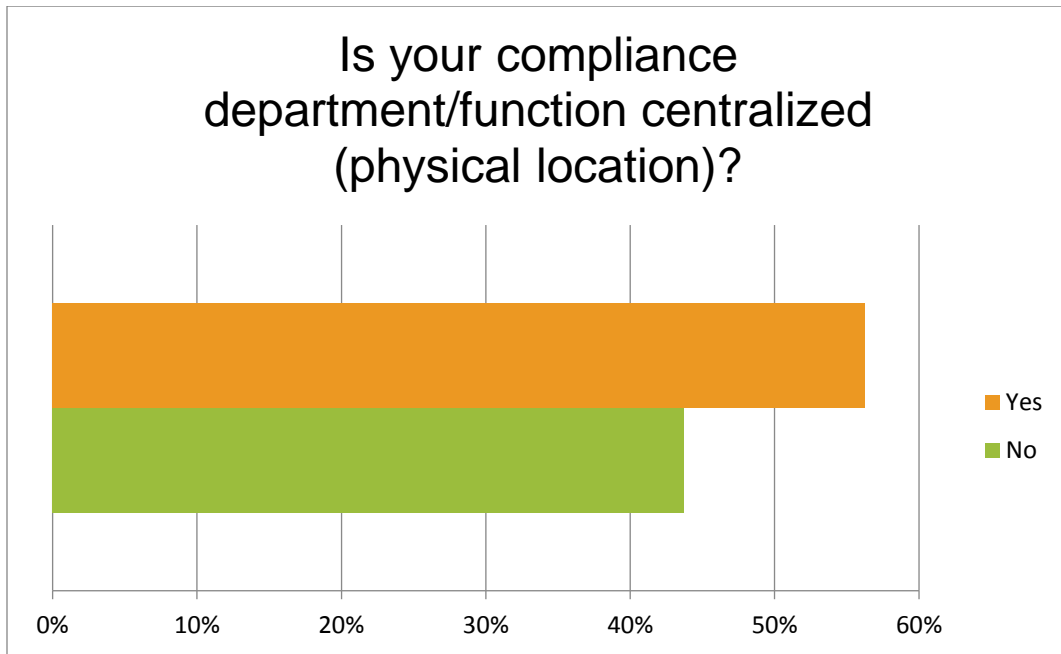


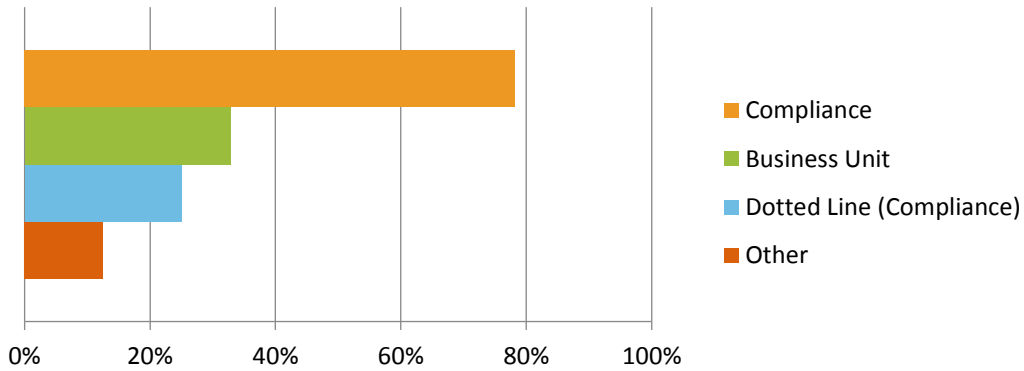
CEFLI QUICK POLL RESULTS

January 2017

Structure of Compliance Departments



If your compliance function is not centralized, where do compliance resources report up through (mark all those that apply):



Do you have a separate dedicated unit that performs testing on business unit compliance policies and processes?

