

COMPLIANCE: PANDEMIC RISK MANAGEMENT STRATEGY

Role	Top Risk Factors	Recommended Actions	How SRA Can Help
Chief Compliance Officer	Failure to meet statutory compliance obligations within requisite timeframes, e.g. Reg B, Trid, Reg E, etc.	<ol style="list-style-type: none"> 1. Monitor production queues for backlogs and delays 2. Communicate with customers to frame expectations 3. Ensure regulators are informed of any systemic compliance concerns. 4. Develop recovery strategies for any backlogs or delays 	<ol style="list-style-type: none"> 1. Compliance Process Assessments 2. Customer Strategy Consulting 3. Regulatory Strategy and Communications Assistance 4. Production and recovery assistance
	AML Risk Management	<ol style="list-style-type: none"> 1. CIP/KYC Process Focus 2. Alert Generation and SAR Reporting 3. Heightened Fraud Awareness 4. "Run the Engine" Focus – e.g. OFAC, Sanctions 5. Keep lines of communications with law enforcement and regulators open 	<ol style="list-style-type: none"> 1. Process Assessments 2. Compliance Process Assessments 3. Customer Strategy Consulting 4. Regulatory Strategy and Communications Assistance 5. Production and recovery assistance