



# A COMPLIANCE PROGRAM ASSESSMENT FOR A SMALL NEWLY PUBLIC REAL ESTATE COMPANY



## **Situation**

A small, but rapidly growing new NASDAQ registrant was lacking a formal internal compliance program and needed to prioritize its efforts and rapidly build a program to effectively meet its obligations.

## **Solutions**

Our professionals:

- Partnered with a law firm and used a compliance program assessment to perform a detailed evaluation of the company's opportunities.
- Evaluated the company's existing compliance elements against the Federal Sentencing Guidelines.
- Combined a formal survey process with interviews of key company personnel and a database of benchmarks to perform a rapid and effective assessment.

## **Benefits**

Using a prioritized compliance road map, the company was able to develop an appropriate compliance program using detailed benchmarking.