

Name: _____

Date: _____

COMPLIANCE KEY TERMS

S Q W I P P J H S Z S C L C J L T
E A M O N I T O R I N G S M U D K
N A D Y P Y L A N R X Q Z N G E P
I E F X K G M Y N K I R T J B Y I
L N T L Y C N E R A P S N A R T X
E C N A N R E V O G L R K O Q L U
D U F F K T E Z X L H Y T G Z D H
I X Q O W O P S W Y G A T J U K I
U W W S E S T L J I L Q N I C J X
G Q E N E R U W D U H H W X C F U
S E Z G L B B E G J H J F F T H H
C J P G J X L E E F L G W V R X O
I X D I T I R L B U C J L Z U J O
H X F F N V C D O P N Y I X T Y D
T W S E Q K E A I H G V A U D I T
E G S U S U O I C I P S U S O F U
R Y Q T R H L T C H E C K L I S T

TRANSPARENCY
GUIDELINES
SUSPICIOUS
ETHICS

CHECK LIST
MONITORING
GIDELINES
AUDIT

GOVERNANCE
REGULATORY
ANALYTIC
RISK