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| **ETHICAL LEADERS** | Ethical Hero(line) 10 | • Ethical leadership  
• Instills ethical approach in others  
• Very supportive of the compliance function  
• Will have the compliance function sit on their leadership team and be a significant business partner  
• Has strong morals and a high level of personal integrity | • Leads discussions on integrity and ethics  
• Has made calls to walk away from business due to integrity issues | The FenceSitter 5 | • Their ethical behaviour could go either way, depending on what is best for them; tends to change based on the day or week  
• Would be unethical if it was proposed to them  
• Would not go and seek out unethical behaviour but would certainly take it when presented | • Generally a long-term employee of the company  
• When no one is watching does whatever they want to do  
• Generally acts very polite and watches others to gauge where they stand | **GO-BETWEENERS** (CONT) |
| | The Statesman 9 | • Strong ethics  
• Will report issues  
• Will walk the walk and talk the talk on ethics  
• Has strong integrity and exercises personal integrity  
• Will always engage the compliance function, but keeps them at a slight distance | • Not only puts up with compliance rules but publicly supports them  
• Relies on the compliance team to make changes as they see fit  
• Uses personal examples to get the message across | The Silent Witness 4 | • Benefits from being unethical  
• Takes advantages of unethical business practices, doesn’t develop them or lead them but certainly turns a blind eye to the behaviour  
• Would never admit to being involved in any unethical conduct  
• Will never be the ring leader but would certainly get the advantage and remain totally silent  
• Generally a long-term employee | • Ignores compliance  
• Goes with the flow and doesn’t change illegal practices if it benefits them  
• Takes advantage of loopholes and turns a blind eye to issues  
• Acts completely innocent but knows exactly what is going on  
• Answers questions precisely and never offers up more than absolutely necessary  
• Never asks questions at training sessions, just smiles to themselves and leaves | **LOW RANGERS** |
| | The Walker 8 | • Trustworthy  
• Wants to do it the right way  
• Will always talk about ethics and integrity but will occasionally question whether they really get people ahead  
• A valuable team player when it comes to integrity and will raise ethical issues to the compliance function when they see them  
• Will engage the compliance function when they need to but definitely on “I’ll call you” terms | • Spreads the word to support integrity and compliance  
• Pushes to change policies and procedures that are not directly supporting the business to make them smarter, better and fairer | The Trouble Seeker 3 | • Wants to get in the game  
• A little naive but wants to play with the gang members  
• Not the ring leader but will happily go along with unethical behaviour when asked to do so  
• Looks for ways to get deals done and find an advantage  
• Generally only stays a short term in the company as never push them out | • Argues with compliance  
• Totally ignores processes or claims they are confused  
• Actively looks for loopholes  
• Doesn’t apply learnings or teachings  
• Leaves compliance training or is on their phone or laptop the whole time  
• Challenges the speaker during compliance training and sites to derail them with comments like “You just don’t get it” | **LOW RANGERS** |
| | The Actor 7 | • Ticks a good game  
• Says they support compliance but doesn’t invite the compliance function to their meetings  
• Acts as though compliance is key but will look behind the compliance teams backs to make things harder  
• Won’t go out of their way to do things, but will always act as though compliance and integrity are key to their success  
• Most people think this person is a great ethical person and full of integrity but the compliance function knows better | • Says all the right things when management are around but goes back to a more relaxed state as soon they leave | The Gang Member 2 | • Recruits others to be unethical and is always looking to recruit new people to share the risk around  
• Tends to stay in the company to watch others less experienced fraudsters be investigated | • Takes advantage of other people and their shortcomings  
• Works in pairs and teams to defraud and misrepresent  
• Unlikely to appear in ethics/legality training; in the rare event that they do they will spend the time trying to crack jokes and generally trying to derail the training | **LOW RANGERS** |
| | The Big Talker 6 | • An excellent parrot of corporate “fluff” and ethical buzz words, but knows how to break the rules and will do so if the opportunity arise  
• Always uses the corporate examples of integrity, but would never create anything themselves  
• Could fall below the line and be fraudulent quite easily if the opportunity arose | • Says all the right things, then says the opposite in their local language  
• Uses the “We don’t want to go to jail” story too often  
• Repeats predefined messages from compliance | The Jail Bird 1 | • “Totally unethical”  
• Always looking for a deal  
• A total “bad egg” that will end up in jail | • Cuts out another person to make more money  
• Lies, cheats and misrepresents to make money  
• Won’t turn up to training because they are “too busy” | **LOW RANGERS** |

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