

Legal, Compliance & Risk virtual

16 - 16 Nov 2022

Poll results

Table of contents

- Firm-wide, how many employees do you have? If you are affiliated/part of parent company - answer just for the real estate group.
- Are you considering a mock SEC exam in 2023?
- How many of those employees are dedicated legal and compliance staff?
- Will you recruit new compliance FTEs in 2023?
- If you are recruiting new compliance FTEs in 2023, what level will you be recruiting at?
- Are you considering purchasing/investing in new legal & compliance software or systems in 2023?
- If yes, what issues is the technology attempting to address? Multiple answers are allowed. Write no more than 2-3 words (eg, side letters, marketing, personal trading, etc). The answers will appear as a word cloud, largest word indicating response rate.

**Firm-wide, how many employees do you have?
If you are affiliated/part of parent company -
answer just for the real estate group.**

0 1 6

0-50



50-100



100-500



500+



Are you considering a mock SEC exam in 2023?

0 1 4

Yes - full scope mock exam



Yes - limited scope mock exam

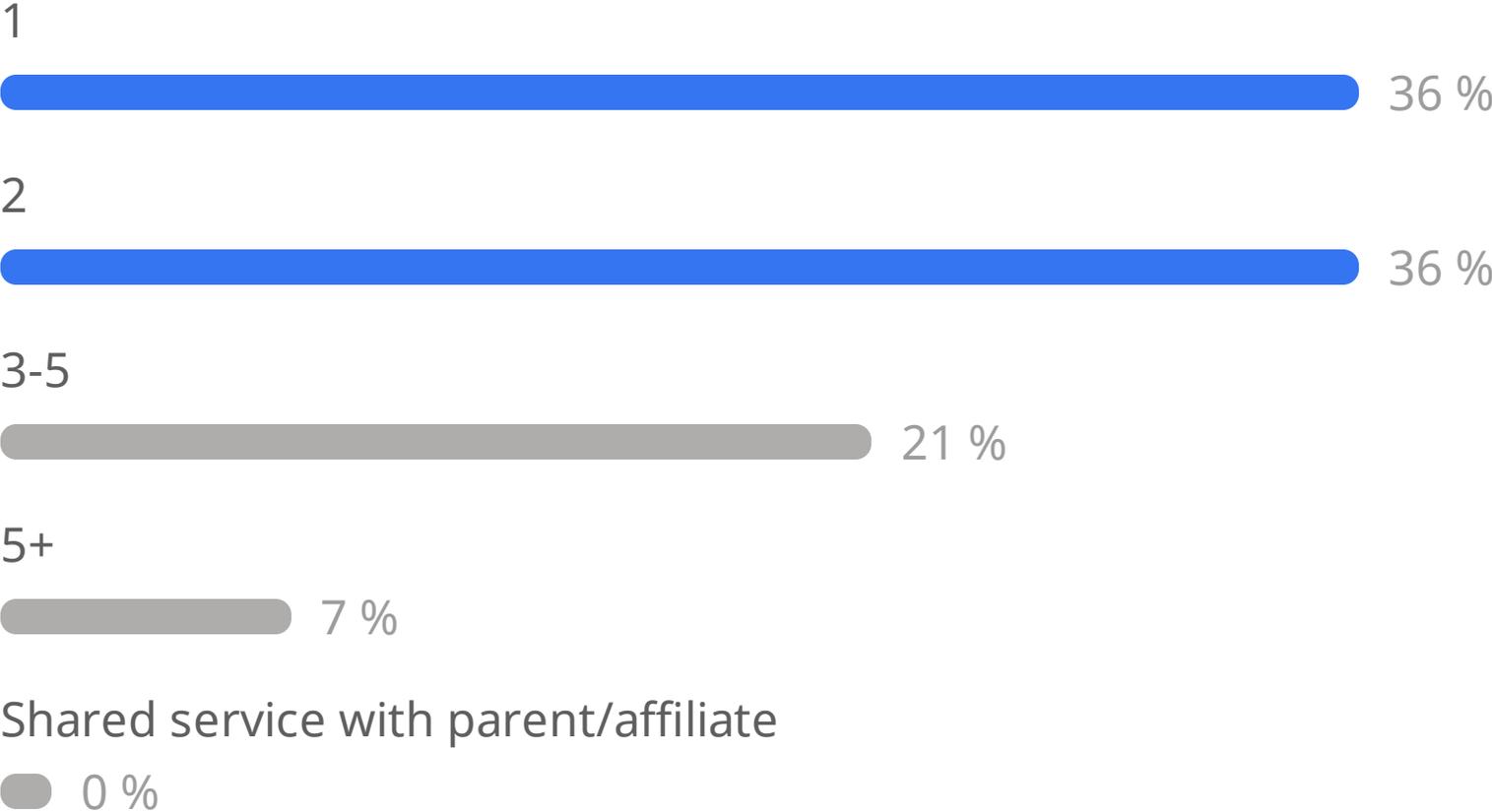


No



How many of those employees are dedicated legal and compliance staff?

0 1 4



Will you recruit new compliance FTEs in 2023?

0 1 3

Yes



No



If you are recruiting new compliance FTEs in 2023, what level will you be recruiting at?

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Junior (No personnel oversight; usually report to mid-level; <5 yrs)



Mid-level (Report to group head; 5-10 yrs)



Senior-level (Group head; reporting to exec mgt; 10-15 yrs)



Executive-level (CCO, high-ranking reporting to board/CEO; 15 yrs>)



Are you considering purchasing/investing in new legal & compliance software or systems in 2023?

0 1 0

Yes



No



Wordcloud poll

If yes, what issues is the technology attempting to address? Multiple answers are allowed. Write no more than 2-3 words (eg, side letters, marketing, personal trading, etc). The answers will appear as a word cloud, largest word indicating response rate.

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Marketing

Side letters

Contract management