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| **Exhibit CS 2-6**  **Template for Completing Scenario 3** | | | |
| **Compliance Program Attribute** | **Current Assessment and Rationale** | **Desired Level per Management** | **Recommendations to Close Gaps** |
| **Code of Ethics** *(How effectively does the code outline management’s expectations regarding ethical conduct?)* |  |  |  |
| **Cultural and Consistency** *(How does the organization perceive management’s commitment to compliance?)* |  |  |  |
| **Awareness** *(How aware are employees and outside stakeholders of the compliance and ethics program and its requirements?)* |  |  |  |
| **Structure and Accountability** *(How effective is the structure for managing the program and enforcing accountability?)* |  |  |  |
| **Process Automation and Integration** *(How effectively are compliance and ethics controls and processes standardized, integrated, and automated?)* |  |  |  |
| **Goals and Metrics** *(How is success of the compliance and ethics program measured?)* |  |  |  |