

Regulatory Compliance for the Board & Senior Management

WEBINAR – ON-DEMAND WEB LINK & FREE CD ROM

Thursday, April 15, 2010

3:00 pm – 4:30 pm Eastern

Do you have a compliance examination looming on the horizon or have you just undergone the process? Recent enforcement actions prove that an effective compliance program begins at the top. Board and management training is key to establishing and maintaining a strong compliance program. It is extremely important for bank directors to understand the various areas of compliance that require their annual review and approval. This session will provide a list of those areas, with a focus on risk-based compliance management.

We will cover the high-risk areas in lay terms, with the board in mind (presenting the information most important to the board). Compliance issues considered high-risk for banks of all sizes and locales will be included. Understand your responsibilities and liabilities before the examiner is at the door!

HIGHLIGHTS

- The board's responsibilities for your Bank Secrecy Act program
- **Fair lending issues - currently a VERY "hot button"**
- Regulation O – Insider Lending
- Red flags for identity theft
- Privacy Regulation – Reg P
- A checklist of regulations will be provided so directors and management have a useful tool to assist with on-going training requirements
- How to prepare the board to respond to your regulators

WHY SHOULD YOU PARTICIPATE?

This session is a cost-effective way to meet your board's annual training requirement in one easy session! You may train as many individuals as you like for one set price. There will be no travel costs, no time lost from work, and no one will be required to leave the institution.

WHO SHOULD ATTEND?

This informative session is designed for directors, management, compliance officers, and auditors.

PLEASE NOTE: Your registration fee allows you to have **one telephone connection**. However, as many people as you like may listen from your office speaker phone. If you register for the webinar, your registration fee also includes **one internet connection** from a single computer terminal.

ABOUT THE PRESENTER – Ann Brode, Brode Consulting Services, Inc.

Ann Brode began her career in 1973 and has continued her service as a consultant to regional and community financial institutions through a wide range of areas including strategic planning, lending, deposits, marketing, training, compliance, and management. Ann is a well-respected presenter and has spoken to audiences across the country for over 20 years. She has presented sessions for numerous state associations and has taught at the School of Banking Administration at the University of Wisconsin as well as many other state banking schools. Ann is the author of *The Bank Deposit Documentation Manual for Front-Line Personnel*, published by Bankers Publishing Company, and is well represented in numerous industry publications.

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