

Regulatory Compliance for the Board & Senior Management

WEBINAR – ON DEMAND WEB LINK & FREE CD ROM

Thursday, April 15, 2010

12 - 1:30 pm PT
1 - 2:30 pm MT
2 - 3:30 pm CT
3 - 4:30 pm ET

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!

Continuing Education: Attendance verification for CE credits provided upon request.



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

WHO SHOULD ATTEND?

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

MEET THE PRESENTER

**Ann Brode,
Brode Consulting Services, Inc.**



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