

Presented by ProBank Austin in Conjunction with Community Bankers Association of Oklahoma Compliance Risk Management Program

A 2018 ONE-DAY SEMINAR!

A one-day seminar providing a comprehensive look at building and maintaining a Compliance Risk Management Program (CRMP).

Already have a CRMP in place? This seminar will cover more than the core compliance management program; it will guide you to take your program to the next level. For all, this seminar will show how to efficiently maintain your CRMP.

Although there are no regulatory requirements to have and maintain a robust CRMP, the regulators expect all financial institutions to have one in place. They have provided some guiding principles, but what does it really include? There are some regulatory requirements for written policies and procedures, many of which small creditors are exempt but should have nonetheless.

This seminar will break down the CRMP for you, including what is a policy vs. procedure, monitoring vs. audit, what training is required vs. recommended, complaint management, risk assessments, and who should be responsible for which (compliance, audit, operations). The volume of regulatory changes requires a strong change management process in your CRMP – and we will review best practices for that, too!

Compliance is every employee's responsibility every day. No one person can (or should) be responsible for the institution's Compliance Risk Management Program. The lines between compliance, audit, and operations seems to blur with each new rule. Join us as we begin to clarify the lines to make your CRMP more manageable.

Here is what you will learn:

Compliance Risk Management Program (CRMP)

- ▶ Regulatory vs. examiner requirements

Breaking down, building up your CRMP

- ▶ Policies
 - What is a policy
 - Buy vs. draft
 - How to draft a policy
 - Required vs. recommended
- ▶ Procedures
 - Operational vs. compliance
 - Drafting procedures
- ▶ Monitoring
 - Who is responsible for what
 - Creating a monitoring schedule
- ▶ Audit
 - Auditing compliance
- ▶ Training
 - Required vs. recommended
 - Methods of training
 - Creating a training schedule
- ▶ Complaint management
- ▶ Compliance risk assessments

▶ PLUS...

A COMPLETE AND COMPREHENSIVE
**DESKTOP REFERENCE MANUAL
& FREE TELEPHONE SUPPORT
FOR ONE FULL YEAR!**

Who Should Attend

This seminar will be of value to compliance officers, BSA officers, operations staff (including branch, deposits and loans), and management. This seminar would also benefit board of directors and other executive members who are learning what regulators expect of their CRMP.

Program Level: Intermediate

Prerequisites/Advanced Preparation: Basic Knowledge of Deposit and Lending Regulations

The Manual

Attendees receive a detailed seminar manual with narrative explanations of regulatory requirements. The manual is an excellent resource for future reference.

Seminar Agenda

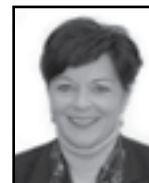


All times are local at seminar site.

Registration	8:30 am
Program	9:00 am - 4:00 pm
Lunch (included)	12:00 noon - 1:00 pm
Instructional Method	Group – Live

Seminar Speaker

LEAH M. HAMILTON, JD is a Vice President and Senior Consultant with ProBank Austin's Education Division. She has a broad range of expertise in federal regulatory compliance. With nearly 25 years of experience in the financial services industry, her compliance knowledge spans Lending, Deposits, BSA/AML and Compliance Management. Leah is nationally recognized for her practical compliance advice and her engaging approach to teaching regulatory compliance matters with her quick wit, sense of humor and examples, making compliance an enjoyable educational experience. Where compliance is every employee's responsibility every day, she provides tools and valuable insight to effectively understand and manage compliance. As a compliance expert, Leah has served as a lead advisor on consent order remediation engagements and management responses to examiner concerns. She is often called upon to assist in potential RESPA Section 8, UDAAP and Overdraft matters. Leah has trained more than 1,000 lenders on TRID and served as a TRID and 2018 HMDA expert for the American Bankers Association. Prior to joining the firm, Leah has served as the Chief Compliance Officer for a \$4 billion community bank, a start-up mortgage company and, most notably, for TriComply, Temenos' Compliance Division. Additionally, she has served as in-house counsel and worked for several leading banking software firms. Leah received her Juris Doctorate from Northern Illinois University College of Law and her Bachelor of Arts in General Studies degree from the University of Texas at Dallas where she majored in law and minored in business management. Leah also serves as a faculty member of Southern Methodist University's SW Graduate School of Banking in Dallas where she teaches Compliance 101, Fair Lending, and the Mortgage Loan Process.



**ProBank
Austin**



NATIONAL ASSOCIATION OF STATE BOARDS OF ACCOUNTANCY
ProBank Austin, Louisville, KY, is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.learningmarket.org.





Date and Locations

August 9, 2018
Embassy Suites Hotel
1815 S Meridian Ave
Oklahoma City, OK 73108
405-682-6000

Community Bankers Association of Oklahoma Compliance Risk Management Program

FINANCIAL INSTITUTION

MAILING ADDRESS/PO BOX

CITY, STATE, ZIP

ROUTING/MICR NUMBER

TELEPHONE #

I / WE WILL ATTEND THE SEMINAR IN:

CITY/STATE

PROGRAM DATE

How to Register

MAKE CHECK PAYABLE TO:

ProBank Austin

MAIL TO:

ProBank Austin
Education Division
Suite 305
6200 Dutchmans Lane
Louisville, KY 40205

RECEIVE YOUR SPECIAL PRICING:

1. Mail or Fax: using this form
2. Online: enter code **18COK25**
3. By Phone: reference code **18COK25**

CHARGE PAYMENTS ONLY:

FAX: 502-451-6755
PHONE: 800-523-4778,
Select Option 1 (or Ext. 205 or 235)
WEB: www.probank.com

**Standard Registration fee is \$375, use this form or
code **18COK25** and your fee is just \$350!**

ATTENDEE NAMES *(Photocopy This Form As Necessary)*

ATTENDEE #1 \$350

E-MAIL ADDRESS

CELL PHONE #

ATTENDEE #2 \$350

E-MAIL ADDRESS

CELL PHONE #

Additional Seminar Information

Suggested Dress Meeting room temperatures are often difficult to control. Please dress for comfort. Business casual dress is appropriate for all ProBank seminars.

Field Of Study Specialized Knowledge and Applications.

Questions? Call 800-523-4778. For program questions, more information or refunds, ask for ext. 205 or ext. 235. For administrative policies, such as complaint resolution, ask for extension 222.

Confirmations You will receive a written confirmation of your seminar registration within ten days after we receive payment. If an e-mail address is provided, your confirmation will be sent via e-mail. Please make sure to add registrar@probank.com to your list of approved e-mail addresses.

ProBank Inclement Weather Line In the event of inclement weather in your area, please call (502) 479-5241 for any seminar cancellations. If ProBank cancels a program due to weather, ProBank will refund the entire registration fee. If a program is not canceled and you choose to cancel your attendance, refunds will not be granted; however, substitutions are always welcome or you may transfer to another seminar by calling ProBank no later than the day of the program.

Cancellation Policy If you cancel at least seven days prior to the seminar date, we grant full refunds. If you cancel six days or less, there will be a cancellation fee of \$100 for each day of the seminar. Refunds will not be granted for "no-shows" or for cancellations received on the date of the seminar. Substitutions are welcome at any time. If ProBank cancels a seminar for any reason, we will refund the entire registration fee.

Approved for 6.5 CPE Credits.

Eligible for 6.75 CRCM Credits through ABA Professional Certifications.
Visit their website at: www.aba.com/Training/Certifications/Pages/default.aspx

Payment must accompany registration

☐ PAYMENT BY CHECK ENCLOSED ☐ TOTAL REGISTRATION FEES: \$ _____

☐ CHARGE MY: ☐ MASTERCARD ☐ VISA ☐ DISCOVER ☐ AMEX

CARD NUMBER

EXP DATE

CVV (SECURITY CODE)

CARDHOLDER'S NAME

CARDHOLDER'S BILLING ADDRESS

CITY / STATE / ZIP

AUTHORIZED SIGNATURE

Presented In 2018 By ProBank Austin

Seminar Fee Includes:

- ✓ Lunch
- ✓ Coffee Breaks
- ✓ All Course Materials
- ✓ One Full Year Call-In Service

Breakfast and parking are on your own.