

Presented by ProBank Austin in Conjunction with Community Bankers Association of Oklahoma

Compliance Risk Management Program

A 2019 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

Seminar Speakers



LEAH M. HAMILTON

Vice President and Senior Consultant at ProBank Austin.

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.

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

▶ PLUS...

A COMPLETE AND COMPREHENSIVE
**DESKTOP REFERENCE MANUAL
& FREE TELEPHONE SUPPORT
FOR NINETY-DAYS!**

ProBank Advisor

ProBank Trusted.
Advisor Compliance.
Advice.

ProBank Advisor is a new online compliance advisory service that provides the compliance advice you need when you need it. Connecting with an expert compliance professional is simple through ProBank Advisor's easy-to-navigate website, where you can request compliance advice or a review of advertisements, disclosures, or policies with an industry expert.



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.

How to Register

January 24, 2019
Embassy Suites Hotel
1815 S Meridian Ave
Oklahoma City, OK 73108
405-682-6000

How to Register

MAKE CHECK PAYABLE TO:

ProBank Austin

MAIL TO:

ProBank Austin
Education Division
950 Breckenridge Lane
Suite 280
Louisville, KY 40207

RECEIVE YOUR SPECIAL PRICING:

1. Mail or Fax: using this form
2. Online*: enter code **19COK25**
3. By Phone: reference code **19COK25**

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 **19COK25** and your fee is just **\$350!***

**When registering online, please register each attendee separately.*

Additional Seminar Information

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

Program Level Intermediate

Prerequisites/Advanced Preparation Basic Knowledge of Deposit and Lending Regulations

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

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

ATTENDEE NAMES *(Photocopy This Form As Necessary)*

ATTENDEE #1 \$350

E-MAIL ADDRESS

CELL PHONE #

ATTENDEE #2 \$350

E-MAIL ADDRESS

CELL PHONE #

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 2019 By ProBank Austin

Seminar Fee Includes:

- ✓ Lunch
- ✓ Coffee Breaks
- ✓ All Course Materials

Breakfast and parking are on your own.