



ABA

Alabama Bankers Association, Inc.

Live Seminar

I'm a New Compliance Officer, Now What?

August 26, 2021

Registration: 8:00 AM

Business Session: 8:30 AM – 3:00 PM

[Marriott Prattville Hotel & Conference Center](#)

I am the “Compliance Officer” is a statement that you will be able to say with confidence after attending this interactive training session. Whether you are a compliance officer rookie or a seasoned veteran looking to reinforce your understanding of compliance examiner expectations, this one-day session is designed to tackle the challenges of the compliance function. We will provide you the tools to make you a strong and capable compliance officer. For those seasoned compliance officers who might have become complacent, now is the time to try some new ideas to strengthen your existing compliance program!

The session will explain the various components of the compliance function and then demonstrate tools that can be customized by each compliance officer to strengthen their bank's compliance program. Yes, the compliance officer will walk away with numerous documents that can be customized for their program! Here are some of the topics to be covered:

- **Understanding of the FFIEC Consumer Compliance Management System** – Review the three pillars of the rating system and obtain a thorough understanding of what's expected under each assessment factor.
- **Navigating the Regulatory Alphabet Soup** – Overview of the compliance regulations and helpful tips on how to search for answers to compliance related questions.
- **Training Schedule** – Developing an effective training program for employees and the board that mirrors their level of responsibility.
- **Resources** – Compliance is all about being in the know and being proactive. We will share resources that will enable you to stay in the loop on regulatory compliance changes.
- **Compliance Committee** – Creating a team to help achieve compliance success within the bank! Even in compliance, success relies on a team working together!
- **Developing a Routine** – Just like any good exercise program, it is good to conduct exercises that test all functions of the bank. Learn how to utilize a risk assessment to develop a compliance testing program that monitors your bank's regulatory compliance.

This live program focuses on the tools that are critical to the success of the compliance officer. From understanding the elements of the compliance management system, to knowing how and where to research compliance questions, this session will provide the training needed to run a successful compliance program. A reference manual will be included along with a toolkit that will include a sample compliance policy, risk assessment, training schedule, customizable monitoring form, audit report and exceptions tracking log just to name a few!

PRESENTED For ABA by: Brode Consulting, Molly Stull

WHO SHOULD ATTEND: Compliance officers. Whether you are a rookie or a seasoned compliance officer looking to enhance their compliance program, this boot camp will provide the training, insight and tools to develop a successful compliance management system.

QUESTIONS? EMAIL Debbie Pharr at dpharr@alabama.bank

By registering for this seminar, you give your permission to be photographed and for those photographs to be used by the association.

ABA Cancellation Policy: A processing fee of \$100 applies to all cancellations. We will gladly refund 100 percent of your registration fee (minus \$100 processing fee) if notice is given by 12:00 noon, 10 business days before an event.

After 10 business days, no money can be refunded, credited or transferred, although substitution of a participant is welcomed.

Schools and sessions 2 days or more, cancellation processing fee ~ \$200 or more TBD.

Late Registration: Please note, there will be a \$50 late registration fee for all attendees that register later than 10 business days before the seminar.

Non-ABA Members: Prepayment is required for all non-member attendees for any event.

Early Bird Rates: When applicable, to qualify for the early bird rate, full payment MUST be received by advertised date. Otherwise, additional billing for the regular rate will be necessary.

Note: If registrant has received any manual/handouts prior to cancellation, no money can be refunded, credited or transferred.