

Compliance Risk

What Directors Need To Know

2016 Workshop Locations

Atlanta, GA

March 16

Santa Ana, CA

March 23

Springfield, IL

May 4

Sioux Falls, SD

July 19

Duluth, MN

September 14

New York, NY

October 4

Cincinnati, OH

November 9

Little Rock, AR

November 15

Philadelphia, PA

December 7

**REGISTER
TODAY!**



Compliance Risk What Directors Need to Know

Effective oversight of consumer laws and regulations can reduce the risk of financial loss, ensure quality service for customers, and preserve a sound reputation. Consumer protection regulations, the Bank Secrecy Act (BSA), and the Community Reinvestment Act (CRA) affect virtually all institution operations. Directors should recognize the scope and implications of the legislation that applies to their institutions.

This one-day workshop combines lectures, discussions, and exercises designed specifically for outside directors of national community banks and federal savings associations. Topics addressed include

- major compliance risks and critical regulations, such as the BSA and CRA.
- the critical elements of an effective compliance risk management program.
- compliance red flags.
- compliance hot topics.
- common OCC examination findings related to compliance risk.

Communicate With the Regulators

You will interact with instructors who are experienced OCC examiners. They are seasoned professionals who regularly assess compliance risk management systems and meet with senior managers and directors to discuss their findings and evaluations. They will share their experiences to help you improve your knowledge and skills. Enrollment is limited to 35 directors per workshop to allow open and targeted dialogue. Pre-course reading materials are provided to enhance your workshop experience.

Who Should Attend

This workshop is geared primarily to outside directors of national community banks and federal savings associations. Management directors could also benefit from attendance.

Meet the Instructors



Vonda Eanes
*Community Affairs Officer
Community Development Division*



Kim Ford
*National Bank Examiner
Western District*



Dave Grandison
*National Bank Examiner
Central District*



Paul Groot
*Assistant Deputy Comptroller
Southern District*



Beverly Hearn
*National Bank Examiner
Southern District*

Agenda

Attire is business casual.

Workshop

Registration begins at 7:00 a.m. The workshop begins promptly at 8:00 a.m. and ends by 4:00 p.m. Lunch is provided.

The workshop covers

- Fair lending.
- Home Mortgage Disclosure Act.
- Bank Secrecy Act.
- Community Reinvestment Act.
- Flood Disaster Protection Act.
- Servicemembers Civil Relief Act.
- TILA/RESPA Integrated Disclosure Rule.



Kim Hebb
*Director for Compliance
Compliance Policy Division*



Laura Lewis
*Compliance Lead Expert
Northeastern District*



Mary McKnight
*Compliance Lead Expert
Southern District*



Sheila Steck
*Compliance Lead Expert
Central District*

Part 1

- March 16, 2016**
Atlanta, GA*
- March 23, 2016**
Santa Ana, CA*
- May 4, 2016**
Springfield, IL*
- July 19, 2016**
Sioux Falls, SD*
- September 14, 2016**
Duluth, MN*
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- November 9, 2016**
Cincinnati, OH*
- November 15, 2016**
Little Rock, AR*
- December 7, 2016**
Philadelphia, PA*

Please register online at www.seiservices.com/occ, fax registrations to (240) 485-1982, or mail to SEI Services, Attn: OCC 2016, 8757 Georgia Ave., Suite 1440, Silver Spring, MD 20910.

- You must be on the board of directors of a national community bank or federal savings association.
- Registrations are accepted on a space-available basis only. A wait list will be established for all sessions that reach maximum capacity.
- Registration fee for the workshop is \$99 per participant.
- All cancellations must be in writing. Cancellations are accepted by e-mail to occ@seiservices.com or by fax to (240) 485-1982. If a cancellation is received less than one month before the workshop, no refund will be issued.
- Completion of this form in its entirety is required for conference registration.

Institution Information

Institution Name: _____

Asset Size \$ (Millions) <50 50-99 100-149
 150-249 250-499 500-749
 750-1B >1B

Institution Address: _____
Street

City State Zip Code

Telephone: _____

Point of Contact: _____

Payment Information

Billing Name: _____

Billing Address: _____
Street

City State Zip Code

Credit Card Type: Amex Visa MC Expiration Date: _____

Credit Card Number: _____

Security Code: _____

Signature of Cardholder: _____

If other payment arrangements are needed, please contact the reservation center at (240) 485-1700 or occ@seiservices.com.

* Consecutive session with the risk governance, credit risk, or operational risk workshops. Participants may attend one or more of these sessions.

Part 2

Attendee Information

Name: Mr./Ms./Mrs./Dr. _____
(Please circle one) First Name Last Name

Name on Badge: _____
First Name Last Name

Title: _____ Director: Inside Outside Other

Home Address: _____
Street

City State Zip Code

Daytime Telephone: _____ Fax: _____

Attendee E-mail: _____

Assistant's E-mail: _____

Emergency Contact

Emergency Contact Name: _____
(friend or family)

Emergency Contact Phone Number (Home or Cell): _____
(do not use the bank phone number)

Comments

If you have any comments or information concerning your registration that you wish to add, please do so below.

For workshop information, please contact (240) 485-1700. Registration center hours: 8:30 a.m.–5:30 p.m. Eastern time.

FOR REGISTRATION CENTER USE ONLY

CONFIRMATION NUMBER: _____

Dates and Locations

Atlanta, GA*—March 16, 2016

DoubleTree Atlanta Downtown
Hotel Reservations: (404) 688-8600
Room Rate: \$162.00
www.doubletree.com

Santa Ana, CA*—March 23, 2016

DoubleTree Santa Ana-Orange County Airport
Hotel Reservations: (714) 825-3333
Room Rate: \$138.00
www.doubletree.com

Springfield, IL*—May 4, 2016

Wyndham Springfield City Centre
Hotel Reservations: (217) 789-1530
Room Rate: \$100.00
www.wyndham.com

Sioux Falls, SD*—July 19, 2016

Sheraton Sioux Falls & Convention Center
Hotel Reservations: (605) 331-0100
Room Rate: \$112.00
www.sheraton.com/siouxfalls

Duluth, MN*—September 14, 2016

Holiday Inn Hotel & Suites Duluth
Hotel Reservations: (218) 822-1202
Room Rate: \$162.00
www.hiduluth.com

New York, NY*—October 4, 2016

OCC Northeastern District Office
340 Madison Ave., 5th Floor
New York, NY 10017
See www.occ.gov/conference.htm for
registration and accommodation information

Cincinnati, OH*—November 9, 2016

Hyatt Regency Cincinnati
Hotel Reservations: (513) 579-1234
Room Rate: \$159.00
www.cincinnati.hyatt.com

Little Rock, AR*—November 15, 2016

Wyndham Riverfront Little Rock
Hotel Reservations: (866)-657-4458
Room Rate: \$139.00
www.wyndham.com

Philadelphia, PA*—December 7, 2016

Sheraton Suites Philadelphia Airport
Hotel Reservations: (800)-325-3535
Room Rate: \$165.00
www.sheratonphiladelphiaairport.com

Hotel room rates for each location are guaranteed until the following dates:

DoubleTree Atlanta Downtown, Atlanta, GA	February 15, 2016
DoubleTree Santa Ana-Orange County Airport, Santa Ana, CA	February 22, 2016
Wyndham Springfield City Centre, Springfield, IL	April 4, 2016
Sheraton Sioux Falls & Convention Center, Sioux Falls, SD	June 20, 2016
Holiday Inn Hotel & Suites Duluth, Duluth, MN	August 16, 2016
Hyatt Regency Cincinnati, Cincinnati, OH	October 11, 2016
Wyndham Riverfront Little Rock, Little Rock, AR	October 16, 2016
Sheraton Suites Philadelphia Airport, Philadelphia, PA	November 7, 2016

Hotel rates for this program are discounted. To make your reservations on a space-available basis, please contact the hotel directly. Some hotels may honor the rate before and after the workshop. When making reservations, please mention the function name: OCC Director Workshops. If you encounter difficulties in making your reservations, please call (240) 485-1700 for assistance.

Registration Fee

The registration fee is \$99, payable at the time of registration. The price includes

- pre-course reading package.
- course materials.
- The Director's Toolkit, which includes *The Director's Book*, "Detecting Red Flags in Board Reports," and the "Internal Controls" booklet of the *Comptroller's Handbook*.
- lunch.

Special Needs

If you require special accommodations to participate in this workshop, please call (202) 649-6733.

Cancellation Policy

All cancellations must be in writing. Cancellations are accepted by e-mail to occ@seiservices.com or by fax to (240) 485-1982. If a cancellation is received less than one month before the workshop, no refund will be issued.

Questions

For additional workshop information, please call (240) 485-1700 or send an e-mail to occ@seiservices.com.

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