

Compliance Risk

What Directors Need
to Know

2015 Workshop Locations

Denver, CO*

April 21

Louisville, KY*

May 6

Birmingham, AL*

May 20

Jacksonville, FL*

June 17

Des Moines, IA*

July 15

Wichita, KS*

August 18

Albuquerque, NM*

September 30

Dallas, TX*

October 20

St. Louis, MO*

November 17

**REGISTER
TODAY!**

Dates and Locations

Denver, CO*—April 21, 2015

Sheraton Denver Downtown Hotel
Hotel reservations: (888) 627-8405
Room rate: \$156
www.sheratondenverdowntown.com

Louisville, KY*—May 6, 2015

Louisville Marriott East
Hotel reservations: (502) 491-1184
Room rate: \$151
www.marriott.com

Birmingham, AL*—May 20, 2015

Sheraton Birmingham Hotel
Hotel reservations: (205) 324-5000
Room rate: \$129
www.sheratonbirmingham.com

Jacksonville, FL*—June 17, 2015

Omni Jacksonville Hotel
Hotel reservations: (904) 355-6664
Room rate: \$115
www.omnihotels.com/jacksonville

Des Moines, IA*—July 15, 2015

Embassy Suites Des Moines Downtown
Hotel reservations: (515) 244-1700
Room rate: \$149
www.embassysuitesdesmoines.com

Wichita, KS*—August 18, 2015

Hyatt Regency Wichita
Hotel reservations: (316) 293-1234
Room rate: \$98
www.wichita.hyatt.com

Albuquerque, NM*—September 30, 2015

Sheraton Albuquerque Uptown
Hotel reservations: (888) 627-7127
Room rate: \$112
www.sheratonalbuquerqueuptown.com

Dallas, TX*—October 20, 2015

Wyndham Dallas Suites-Park Central
Hotel reservations: (972) 233-7600
Room rate: \$123
www.wyndhamdallashotel.com

St. Louis, MO*—November 17, 2015

Hilton St. Louis at the Ballpark
Hotel reservations: (314) 421-1776
Room rate: \$139
www.hiltonstlouis.com

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

Sheraton Denver Downtown Hotel, Denver, CO	March 30, 2015
Louisville Marriott East, Louisville, KY	April 13, 2015
Sheraton Birmingham Hotel, Birmingham, AL	April 27, 2015
Omni Jacksonville Hotel, Jacksonville, FL	May 25, 2015
Embassy Suites Des Moines Downtown, Des Moines, IA	June 22, 2015
Hyatt Regency Wichita, Wichita, KS	July 27, 2015
Sheraton Albuquerque Uptown, Albuquerque, NM	September 7, 2015
Wyndham Dallas Suites-Park Central, Dallas, TX	September 19, 2015
Hilton St. Louis at the Ballpark, St. Louis, MO	October 26, 2015

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.

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

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.
- critical elements of an effective compliance risk management program.
- how to identify compliance red flags.
- compliance hot topics.
- common OCC examination findings related to compliance risk.
- answers to your questions.

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*



Paul Groot
*Assistant Deputy Comptroller
Central District*



Kim Hebb
*Director for Compliance
Compliance Policy Division*



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.
- Truth in Lending Act.



Laura Lewis
*Compliance Lead Expert
Northeastern District*



Mary McKnight
*Compliance Lead Expert
Southern District*



Dave Grandison
*National Bank Examiner
Central District*



Sheila Steck
*Compliance Lead Expert
Central District*

Part 1

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Please register online at www.seiservices.com/occ, fax registrations to (240) 485-1982, or mail to SEI Services, Attn: OCC 2015, 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.
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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.