

Management Interlocks

Laws	12 UCS 3202-3203, “Depository Institution Management Interlocks”
Regulations	12 CFR 26 and 12 CFR 196, “Management Official Interlocks”

Purchases from and Sales to Insiders

Laws	12 USC 1828(z), “General Prohibition on Asset Sales”
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Prompt Corrective Action

Laws	12 USC 1831o, “Prompt Corrective Action”
Regulations	12 CFR 6, “Prompt Corrective Action”
	12 CFR 165, “Prompt Corrective Action”

Receipt of Fees for Procuring Loans

Laws	18 USC 215, “Receipt of Commissions or Gifts for Procuring Loans”
Regulations	12 CFR 160.180, “Prohibition on Loan Procurement Fees”

Role of a National Bank Director

OCC Issuances	<i>The Director’s Book</i> , October 2010
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Self-Dealing (Fiduciary Accounts)

Regulations	12 CFR 9.12, “Self-dealing and Conflicts of Interest”
	12 CFR 150.350, “Restrictions on Self-Dealing”
Comptroller’s Handbook	“Conflicts of Interest” (<i>Asset Management</i> series)

Suspicious Activity Reporting

Regulations	12 CFR 21.11, “Suspicious Activity Report”
	12 CFR 163.180, “Suspicious Activity Reports”

Usurpation of Corporate Opportunity

Regulations	12 CFR 163.201, “Corporate Opportunity”
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