

COMPLIANCE MANAGEMENT SEMINAR

A full-day seminar providing a framework to organize and evaluate your consumer compliance management program.

This one-day program provides a framework within which a financial institution can organize or evaluate its consumer compliance management program. It begins with an overall review of compliance activities and responsibilities and progresses through the various stages of program development, risk assessment and auditing.

The seminar is designed to meet the needs of compliance officers and auditors. It is particularly helpful to those who are new in compliance management, who serve in a part-time basis or are new to the institution and want to evaluate existing procedures. The program gives you a step-by-step explanation of how to manage the compliance function.

The seminar reflects two basic philosophies: first, compliance is a fundamental requirement for all personnel.

Second, techniques and procedures used by bank examiners represent the logical starting point for an effective program.

Attendees learn how to organize the compliance function, fix responsibility for compliance and establish effective internal controls. All of these tasks are explained using current compliance issues such as Fair Lending and the Bank Secrecy Act /Anti-Money Laundering as examples.

Auditing compliance is another focal point of the seminar. Speakers explain regulatory audit techniques and show how they can be modified to become "bank specific".

To receive full benefit from the program, attendees need a basic knowledge of compliance issues.

TOPICS

- *Organizing the Compliance Function*
- *Performing a Risk Assessment*
- *Conducting Compliance Research*
- *Managing the Regulatory Examination*
- *Internal Controls*
- *Compliance Auditing*
- *Responding to Consumer Complaints*
- *More Effective Communications with the Board*
- *Writing Practical Compliance Policies*

AGENDA

- 8:30** **Registration**
9:00 **Program**
4:00 **Adjourn**

WHO SHOULD ATTEND

This comprehensive program will benefit anyone with responsibility for developing or managing a compliance program including the compliance officer, members of the compliance committee and financial institution auditors. No advance preparation is required.

CANCELLATION POLICY

If you cancel seven days before the seminar date, we grant full refunds. If you cancel later, but prior to the date of the seminar, we impose a \$50 cancellation fee. If PBS cancels a seminar for any reason we refund all fees paid and supply you with a complimentary copy of the manual. For more information regarding administrative policies such as complaint and refund, please contact our offices at 800 523-4778.

REGISTRATION FEES

\$290.00 for each attendee.
SAVE on your first attendee.

(Normally \$335 for first attendee and \$290 for each additional.)

Includes lunch, coffee breaks and all course materials. Breakfast and parking are on your own.

Payment must accompany registration.

DATE & LOCATION

These programs are presented by Professional Bank Services, Inc. in conjunction with the Arizona Bankers Association.

March 20
Hilton Phoenix Airport
2435 S. 47th Street
Phoenix, AZ
480-894-1600

THE MANUAL The manual contains a comprehensive yet "plain language" explanation of each topic covered. Like all of our seminar manuals, it is organized and designed to serve not only as a teaching guide at the seminar but also as an ongoing reference guide.

CONFIRMATIONS You will receive a written confirmation of your seminar registration within ten days after we receive payment. If you do not, please call our office: 800 523-4778, Ext. 205.

IN-HOUSE TRAINING We can bring these seminars to your institution. Professional Bank Services, Inc. provides in-house training to financial institutions on a wide variety of topics. Call Kathy Schlafer at 800-523-4778 ext. 237 for more information.

SEVEN REASONS YOU SHOULD REGISTER TODAY

- 1 Our comprehensive seminar manual.** You'll return to our easy-to-understand references again and again.
- 2 Free follow-up support for one year.** Call our support hotline with questions and help implement your new knowledge.
- 3 Earn continuing education credits**
6 CPE Credit Hours
- 4 Network with your peers** for brainstorming and suggestions about your institution's compliance policies.
- 5 Instruction by leading experts.** We trained more than 12,000 professionals last year.
- 6 The answers you need** to comply with recent regulation changes.
- 7 Your satisfaction is guaranteed.** Attend the seminar until the morning break. If you don't think the seminar lives up to its promises, return your materials to the registration table and we'll refund your registration fee...no questions asked!

ADDITIONAL SEMINAR INFO

CE CREDITS:
Eligible for 6 CPE credits.

MAKE CHECK PAYABLE TO:
Professional Bank Services, Inc.

MAIL TO:
Education Division
Professional Bank Services, Inc.
Suite 305
6200 Dutchman's Lane
Louisville, KY 40205-3309

CHARGE PAYMENTS ONLY:
FAX 502-451-6755
PHONE 800-523-4778, EXT. 747
WEB www.probank.com
Enter Promotion Code:
CMPAZB08

SUGGESTED DRESS:
Meeting Room temperatures are often difficult to control. Please dress for comfort. Business casual dress is appropriate for all PBS seminars.

COMPLIANCE MANAGEMENT SEMINAR • ARIZONA BANKERS ASSOCIATION

INSTITUTION INFORMATION

FINANCIAL INSTITUTION _____

ADDRESS _____

CITY _____

STATE, ZIP _____

ROUTING/MICR NUMBER _____

TELEPHONE _____

FAX _____

I / WE WILL ATTEND THE SEMINAR IN _____ ON _____
CITY PROGRAM DATE

ATTENDEE NAMES & EMAIL ADDRESSES

ATTENDEE #1 _____

ATTENDEE #2 _____

ATTENDEE #3 _____

ATTENDEE #4 _____

ATTENDEE #5 _____

ATTENDEE #6 _____

EMAIL ADDRESS \$290

EMAIL ADDRESS \$290

EMAIL ADDRESS \$290

EMAIL ADDRESS \$290

EMAIL ADDRESS \$290

EMAIL ADDRESS \$290

TOTAL REGISTRATION FEES: \$ _____
PAYMENT MUST ACCOMPANY REGISTRATION. THANK YOU.

PAYMENT INFORMATION

PAYMENT BY CHECK ENCLOSED **CHARGE MY:** MASTERCARD VISA DISCOVER **PLEASE PRINT CLEARLY!**

CARD NUMBER _____

EXP DATE _____

CARDHOLDER'S NAME _____

AUTHORIZED SIGNATURE _____