

# Required Compliance Series: Regulatory Compliance for the Board & Senior Management

WEBINAR OR ON-DEMAND WEB LINK (LINK INCLUDES FREE CD ROM)  
Thursday, February 9, 2012 • 3:00 pm – 4:30 pm Eastern

An effective compliance program begins at the top. Board and management training is key in a strong compliance program. It is vital that directors understand the various compliance areas that require their annual review and approval. This session will cover required training for BSA, fair lending, privacy, and red flags for identity theft. The board-specific high-risk areas will be addressed in layperson terms. Issues for financial institutions of all sizes and locales will be included. This webinar will ensure directors and management understand their responsibilities and liabilities before examiners arrive at the door!

## HIGHLIGHTS

- **BSA** – Director responsibilities and liabilities; board reporting and communication required
- **Fair Lending** – A recent hot button
  - How can your credit union mitigate the risk of any fair lending issues that may surface?
  - Key areas covered during fair lending examinations
- **Privacy Issues** – From the board room to every employee, the privacy of member information is imperative and expected
- **Red Flags for Identity Theft** – The specific requirements for board reporting will be covered to ensure the correct information is being presented to the board
- **Administrative Issues for Compliance** – Examiners are focusing on the compliance administrative processes throughout the institution, which begins at the board table. Do you know what is expected?

## IMPORTANT TOOLS PROVIDED

This training will include the following items so that you are able to provide solid documentation for examiners:

- Letter of attendance certification with webinar outline
- Electronic training log
- Quiz you can administer to measure staff learning and a password-protected answer key

All registrants will receive the attendance certification and training log, regardless of whether they attend the live or archived version.

## ABOUT THE PRESENTER – Ann Brode, Brode Consulting Services, Inc.

Ann Brode began her career in 1973 and has continued her service as a consultant to regional and community financial institutions through a wide range of areas including strategic planning, lending, deposits, marketing, training, compliance, and management. Ann is a well-respected presenter and has spoken to audiences across the country for over 25 years. She has presented sessions for numerous state associations and has taught at the School of Banking Administration at the University of Wisconsin as well as many other state banking schools. Ann is the author of *The Bank Deposit Documentation Manual for Front-Line Personnel*, published by Bankers Publishing Company, and is well represented in numerous industry publications.

**Formats:** **\$199 per** telephone or webcast connection. *Unlimited Listeners*  
**\$199** CD only and On-Demand Web Link  
**\$249** for telephone /webcast connection, On-Demand Web Link and CD

The ON-DEMAND WEB LINK is a recording of the live event including audio, visuals, and handouts. We even provide the presenter's email address so you may ask follow-up questions. This link will expire 6 months after the live program date. **AS AN ADDED BONUS, you will also receive the audio/visual CD ROM.**

Cancellation: Refunds will be issued, less a \$50 administration fee, up until the handouts and access information are emailed.

**For more info...call us at 800-572-7359 x 1204 or 1208 FAX: 423-899-8726.**

### NEW!

Listen on your  
iPad  
iPhone  
Android  
Instructions will  
be emailed to  
you with  
the on-demand  
link

**Sign Us Up! Required Compliance Series: Regulatory Compliance for the Board & Senior Management**

**February 9, 2012**

Credit Union \_\_\_\_\_

Address: \_\_\_\_\_

Contact Person \_\_\_\_\_ Format Ordered

Email Address \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_



**Distance Learning**

**Payment Method:**

Enclosed is a share draft/check for \$ \_\_\_\_\_ payable to Tennessee Credit Union League.

A share draft/check for \$ \_\_\_\_\_ payable to Tennessee Credit Union League will follow.

I authorize Vol Corp Credit Union to debit the credit union account for \$ \_\_\_\_\_

Account #: \_\_\_\_\_ Authorized Signature: \_\_\_\_\_

(Requires prior completion of Authorization Agreement for Direct Payments [ ACH Debits].)