



Comptroller of the Currency
Administrator of National Banks

US Department of the Treasury

2012 OCC Director Workshops

Compliance Risk

What Directors Need to Know

2012 Workshop Locations

New Brunswick, NJ*
March 28

St. Louis, MO*
September 6

Birmingham, AL*
April 18



Money Laundering:
A Banker's Guide to
Avoiding Problems

Office of the Comptroller of the Currency
Washington, DC
December 2002



Federal Financial Institutions Examination Council
Board of Governors of the Federal Reserve System
Federal Deposit Insurance Corporation
National Credit Union Administration
Office of the Comptroller of the Currency
Office of Thrift Supervision
State Liaison Committee

**Bank Secrecy Act/
Anti-Money Laundering
Examination Manual**

2010



OCC Director Workshops

Compliance Risk What Directors Need to Know

“As compliance requirements have multiplied, so have the responsibilities facing directors. After participating in this workshop, directors can expect to have a better understanding of the breadth of these responsibilities and what it takes to fulfill them.”

Jennifer Kelly,
Senior Deputy Comptroller for
Midsize and Community Bank
Supervision

Effective oversight of consumer laws and regulations can reduce the risk of financial loss, ensure quality service, and preserve a sound reputation. Consumer protection regulations, the Bank Secrecy Act (BSA) and anti-money laundering laws, and the Community Reinvestment Act (CRA) affect virtually all institution operations. Directors must 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 during the day are:

- Major compliance risks and critical regulations, such as BSA and CRA
- Critical elements of an effective compliance risk management program
- How to identify compliance red flags
- Current 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 examiners from the OCC. 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 will be 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 that have assets less than \$5 billion. Management directors could also benefit from attendance.

Meet the Instructors



Dave Grandison
National Bank Examiner,
Central District



Vonda Eanes
Community Affairs Officer,
Community Development Division



Laura Lewis
Compliance Lead Expert,
Northeastern District



Kim Ford
National Bank Examiner,
Western District

Agenda

Attire is business casual.

Workshop

“This very informative workshop was well worth the time. All directors, regardless of length of service, should attend.”

Reaction From Past Participant

- 7:00 a.m. Registration Opens

- 8:00 a.m. Morning Session
 - Introductions and Program Overview
 - Regulations You Need to Know: Bank Secrecy Act
 - Group Exercises

- 12:00 p.m. Lunch

- 1:00 p.m. Afternoon Session
 - Compliance Risk Management
 - Director’s Role
 - Group Exercises
 - Wrap-Up

- 4:00 p.m. Adjourn



Spencer Doak
*Compliance Lead Expert,
Western District*



Beverly Hearn
*National Bank Examiner,
Southern District*



Mary McKnight
*Compliance Lead Expert,
Southern District*



Part 1

- March 28, 2012
New Brunswick, NJ*
- April 18, 2012
Birmingham, AL*
- September 6, 2012
St. Louis, MO*

Please register online at www.seiservices.com/occ, fax registrations to (240) 485-1982, or mail to SEI Services, ATTN: OCC 2012, 8757 Georgia Avenue, Suite 1440, Silver Spring, MD 20910.

- You must be on the board of directors of a national community bank or federal savings association.
- Registrations will be accepted on a space-available basis only. A wait list will be established for all locations at which sessions are at maximum capacity.
- Registration fee for the workshop is \$99 per participant.
- All cancellations must be in writing. Cancellations will be accepted by e-mail to occ@seiservices.com or by fax notification 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 50-100 100-150
 150-250 250-500 500-750
 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: (240) 485-1700 or occ@seiservices.com.
* Consecutive session with the risk assessment or credit 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)

Special Needs/Comments

If you have special needs that may affect your participation in this event, please check here.
OCC will contact you to discuss your needs.

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. ET.



Dates and Locations

New Brunswick, NJ*—March 28, 2012

Hyatt Regency New Brunswick
Hotel Reservations: (732) 873-1234
Room Rate: \$149.00
www.newbrunswick.hyatt.com

Birmingham, AL*—April 18, 2012

The Wynfrey Hotel
Hotel Reservations: (800) 996-3739
Room Rate: \$119.00
www.wynfrey.com

St. Louis, MO*—September 6, 2012

Hilton St. Louis at the Ballpark
Hotel Reservations: (877) 845-7354
Room Rate: \$104.00
www.hilton.com

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

Hyatt Regency New Brunswick, New Brunswick, NJ February 27, 2012

The Wynfrey Hotel, Birmingham, AL March 16, 2012

Hilton St. Louis at the Ballpark, St. Louis, MO August 13, 2012

Hotel rates for this program have been 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
- CD of several of the OCC's popular telephone seminars
- *Director's Toolkit*, which includes *The Director's Book*, *Detecting Red Flags in Board Reports*, and "Internal Controls"
- Lunch

Special Needs

If you require special accommodations to participate in this workshop, please call (202) 874-6415.

Cancellation Policy

All cancellations must be in writing. Cancellations will be accepted by e-mail to occ@seiservices.com, or fax notification 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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