



# COMMUNITY BANKERS ASSOCIATION OF ILLINOIS

## Webinar – On-Demand Web Link

### Simplifying the Compliance Function: Tools & Checklists to Keep You on Track

Tuesday, February 6, 2018

2 - 3:30 p.m.

Whether you are a new compliance officer or a seasoned veteran, everyone is looking for ways to manage increasing compliance responsibilities. Do you need a way to document monitoring activities? Is your exception tracking process efficient? Are you maximizing available electronic resources? Now is a great time to incorporate tools and checklists that will keep the compliance function on track in 2018!

#### HIGHLIGHTS

- Maximizing electronic resources, including using the CFPB's eRegulations tool
- Monitoring approved policies and annual reporting requirements
- Tips for creating an electronic filing system to eliminate the paper shuffle
- Tracking internal and external exceptions to ensure resolution is obtained
- Creating an efficient and thorough compliance report for management

#### TAKE-AWAY TOOLKIT

- Quick and easy form to document monitoring activities
- Compliance website links
- Sample daily, weekly, monthly, quarterly, and yearly compliance checklists
- Compliance officer report template
- Sample compliance review schedule and policy review checklist
- Form to document training and a checklist to ensure annual training requirements are satisfied
- Exception tracking log that is sortable by regulation or area of responsibility
- Employee training log
- Quiz you can administer to measure staff learning and a separate answer key

#### DON'T MISS THE COMPLIANCE SERIES!

Attendance verification for CE credits provided upon request.

#### WHO SHOULD ATTEND?

This informative session is designed for staff with compliance responsibilities, including compliance officers, risk management staff, and compliance auditors.

#### ABOUT THE PRESENTERS

**Molly Stull, Brode Consulting Services, Inc.**, began her career as a teller while working on her undergraduate degree and has continued working in the financial industry ever since. She has experienced the growth of a hometown bank, acquisitions of branches, mergers, charter changes, name changes, etc. Stull has activated business resumption plans, performed secondary market quality control reviews, processed wires, filed SARs, and coordinated reviews with external auditors and examiners. Her favorite role has always been educating staff and strongly believes that if staff understands the reason for a process they will be more compelled to follow the procedures. Stull holds a bachelor's from the University of Akron and an MBA from Ashland University.

#### THREE REGISTRATION OPTIONS

##### 1. LIVE WEBINAR

The live webinar option allows you to have one telephone connection for the audio portion and one Internet connection (from a single computer terminal) to view online visuals as the presentation is delivered. You may have as many people as you like listen from your office speaker phone. Registrants receive a toll-free number and pass code that allow entrance to the seminar. The session is approximately 90 minutes, including question and answer sessions. Seminar materials, including instructions, PIN number, and handouts are emailed to you prior to the broadcast. You need the most-current version of Adobe Reader available free at [www.adobe.com](http://www.adobe.com).

##### 2. ON-DEMAND WEB LINK\*\*

Can't attend the live webinar? 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. Within five business days following the webinar, you are provided with a web link that can be viewed anytime for the next six months. This link expires six months after the live program date.

##### 3. BOTH LIVE WEBINAR AND ON-DEMAND WEB LINK\*\*

Includes options 1 and 2 above.

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**AFFORDABLE TRAINING, WHEN AND WHERE YOU CHOOSE.**

# REGISTRATION FORM

**Simplifying the Compliance Function: Tools & Checklists to Keep You on Track Telephone/Webcast**  
**Tuesday, February 6, 2018 2 - 3:30 p.m.**

**Choose Your Training Option:**

<b>Purchase</b> (Check one)	<b>Training Options</b> <i>(Registration includes one location hook-up)</i>	<b>CBAI Member</b>	<b>Prospective-Member*</b>
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