



# COMMUNITY BANKERS ASSOCIATION OF ILLINOIS

## Webinar – On-Demand Web Link

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

Tuesday, August 28, 2018

2 - 3:30 p.m.

As a director or senior manager, you are responsible for demonstrating a top-down compliance culture and establishing a strong compliance management system. However, navigating existing rules, new regulations, and proposed amendments can be overwhelming. This session explains your regulatory responsibilities and liabilities and provides the information needed to adequately oversee your institution's compliance program. Join us to learn the high-risk areas, required training topics, and how to make informed compliance decisions and prepare for the next regulatory exam.

#### HIGHLIGHTS

- Bank Secrecy Act responsibilities for your institution's programs, including new CDD rule compliance
- Fair lending review responsibilities and how to avoid violations
- Insider lending rules to know before your next Loan Committee meeting
- How UDAAP affects all areas of your institution
- Compliance program management: How to review and respond to compliance reports, audits, and exams
- Exam follow-up: Effectively managing and responding to examination findings
- Compliance hot buttons: Elder financial exploitation, human trafficking/smuggling, and cybersecurity

#### TAKE-AWAY TOOLKIT

- Customer due diligence rules fact sheet
- Sample quarterly BSA board report
- Sample policy review schedule
- Sample audit/examination finding tracking log
- Regulation summary for directors
- Employee training log
- Quiz you can administer to measure staff learning and a separate answer key

**Attendance verification for CE credits provided upon request.**

#### WHO SHOULD ATTEND?

This informative session is designed for directors, management, compliance officers, and auditors.

#### ABOUT THE PRESENTER

**Dawn Kincaid, Brode Consulting Services, Inc.**, began her banking career while attending The Ohio State University, Columbus. She has 17 years' experience in client service, operations, information technology, administrative and board relations, marketing, and compliance. Most recently Kincaid served as the senior vice president of operations for a central-Ohio-based community bank, where she created and refined policies and procedures, conducted self-audits and risk assessments, and organized implementation of new products and services. Kincaid has served in the roles of Compliance, BSA/AML, CRA, Privacy, and Security Officer. She has led training initiatives, prepared due diligence information, completed a variety of regulatory applications, and coordinated internal and external audits and exams.

#### 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

**Compliance Series: Regulatory Requirements for the Board & Senior Management Telephone/Webcast**  
**Tuesday, August 28, 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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