

Compliance Management

November 2025

Aldrich & Bonnefin is pleased to invite the compliance staff and business line managers of your financial institution to take a fresh look at your Compliance Management System (CMS) and reassess what's working and what's not. This Seminar will focus on structuring an effective, risk-based CMS specifically for financial institutions and implementing the program's objectives. There will be case studies to make the Seminar of immediate practical value to all who attend.

With ever-present regulatory scrutiny and civil litigation against financial institutions, as well as the need to implement ever-changing regulations, attention must be paid to systems and procedures for compliance with federal and state laws and regulations. Without a structured compliance program, compliance dollars can be wasted and an institution's ability to comply can be dramatically diminished. Without a formal compliance program, an institution is exposed to the risk of liability to shareholders, customers and regulators alike. In contrast, having a strong, well-managed compliance program can help mitigate occasional violations that inevitably occur.

WHO SHOULD ATTEND?

Please invite your compliance managers, compliance staff, risk managers, compliance auditors, and in-house counsel.

We have scheduled only
Recording Playbacks with Live Q&As
for this Seminar.
No in-person Seminar locations will be held.



Andrew J. Litchy, CRCM, joined Aldrich & Bonnefin, PLC in July 2023. Mr. Litchy is part of the firm's Consumer Finance Practice Group, specializing in regulatory compliance matters involving mortgage and commercial loans, the Community Reinvestment Act, compliance risk management, and compliance management systems. Mr. Litchy has extensive experience as a banker in compliance and operations positions of community and regional banks in Missouri and California, including holding senior level officer and management roles.



Harry S. Khalsa, Esq., is an associate at Aldrich & Bonnefin, PLC. Mr. Khalsa graduated from Loyola University New Orleans College of Law, *Cum Laude*. Mr. Khalsa went on to obtain an LL.M. in Property Development Law from the University of Miami School of Law. Prior to joining Aldrich & Bonnefin, Mr. Khalsa worked as Senior Counsel in the commercial workout section of Wells Fargo Bank, N.A. Throughout his career, he has also worked for several law firms serving clients in the banking and financial services industry.

SEMINAR HIGHLIGHTS

- Purpose of a compliance management system (CMS)
- Regulators' expectations
- Implementing a risk-based compliance approach
- Components of a CMS
- The role of the compliance manager in today's regulatory environment
- Hallmarks of an effective compliance training program
- Responsibilities of senior management and directors of financial institutions



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* Janet Bonnefin has retired from the firm.

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SEMINAR RECORDING PLAYBACKS - BCG MEMBERS ONLY
(Continuing education credit will be provided only to the registrant)

	DATE AND TIME	REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Wednesday, November 5, 2025, 8:30 a.m. - 3:00 p.m.	Friday, October 31, 2025, 12:00 p.m.
RECORDING PLAYBACK #2	Friday, November 7, 2025, 8:30 a.m. - 3:00 p.m.	Tuesday, November 4, 2025, 12:00 p.m.
RECORDING PLAYBACK #3	Wednesday, November 12, 2025, 8:30 a.m. - 3:00 p.m.	Friday, November 7, 2025, 12:00 p.m.
RECORDING PLAYBACK #4	Friday, November 14, 2025, 8:30 a.m. - 3:00 p.m.	Tuesday, November 11, 2025, 12:00 p.m.

LOGIN INFORMATION: Registrants will receive an email two business days prior to the Recording Playback Date with the login information. Registrants also will receive a second email when the PIN is activated and the Seminar materials are available to download. There will be live question and answer sessions both during and at the end of the presentation.

REGISTRATION

MEMBERS: To register for this Seminar, please contact your institution's BCG Main Contact, or if you are authorized, log in at <http://register.bankerscompliancegroup.com/subadmin> and select "Register for Events." We recommend that you register as soon as possible as registrations are accepted on a first-come, first-served basis.

MATERIALS

For this Seminar, Standard Procedures Manual #10, *Compliance Management*, will be updated. BCG Members will receive the updated SPM through their membership subscription to Compliance Companion® by the first week of November 2025. As noted above, registered attendees will be able to download the Agenda and Discussion Outline prior to the Seminar.

ACCREDITATION
(Continuing education credit will be provided only to the registrant)

MCLE: Aldrich & Bonnefin, PLC certifies that this activity conforms to the standards for approved education activities prescribed by the rules and regulations of the State Bar of California governing MCLE. This activity has been approved in the amount of 4.75 hours.

CRCM: "Compliance Management" has been submitted to ABA Professional Certifications for CE credit review and is pending approval. Once we receive notification of the credit approval, we will notify attendees.

CPE: Aldrich & Bonnefin, PLC follows Continuing Education (CE) regulations as outlined in the California Accountancy Act. CE credit may be obtained for Certified Public Accountants and Public Accountants. This activity is eligible for 5.5 hours of CPE Continuing Education credit.