

Your Compliance Management System – Is it Working?

July 2021

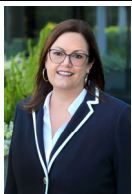
Aldrich & Bonnefin is pleased to invite your compliance staff, business line managers and executive management of your financial institution to take a fresh look at your Compliance Management System (CMS) and reassess what's working and what's not. This Seminar will focus on structuring an effective, 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 increasing 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 mitigate any occasional violations that inevitably occur.

WHO SHOULD ATTEND?

Please invite your compliance managers, compliance staff, risk managers, compliance auditors, senior executives, outside directors and in-house counsel.

We have scheduled only Recording Playbacks with Live Q&As for this Seminar.



Janet M. Bonnefin, Esq., is a principal of Aldrich & Bonnefin, specializing in mortgage and consumer lending, fair lending, compliance management and CRA. Ms. Bonnefin manages Bankers' Compliance Group, an innovative group legal service, for the firm and serves as editor of BCG's publications.

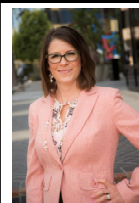
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SEMINAR HIGHLIGHTS

- ... 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



Stephanie A. Shea, Esq., is a principal of Aldrich & Bonnefin. Ms. Shea obtained her juris doctor degree from Chapman University School of Law in May 2011, Magna Cum Laude. While at Chapman, she served as Article Editor for Chapman Law Review. As a member of the firm's Consumer & Mortgage Finance Practice Group, Stephanie specializes in consumer and mortgage lending, including TILA, RESPA, ECOA and FCRA, as well as the flood insurance regulations.

BANKERS' COMPLIANCE GROUP®

phone: 800.742.3600

fax: 949.474.0617

Email: info@bankerscompliancegroup.com



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

	PLAYBACK DATE AND TIME	REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Thursday, July 15, 2021, 8:30 a.m. - 3:00 p.m.	Monday, July 12, 12:00 p.m.
RECORDING PLAYBACK #2	Tuesday, July 20, 2021, 8:30 a.m. - 3:00 p.m.	Thursday, July 15, 12:00 p.m.
RECORDING PLAYBACK #3	Thursday, July 22, 2021, 8:30 a.m. - 3:00 p.m.	Monday, July 19, 12:00 p.m.
RECORDING PLAYBACK #4	Wednesday, July 28, 8:30 a.m. - 3:00 p.m.	Friday, July 23, 12:00 p.m.
RECORDING PLAYBACK #5	Thursday, July 29, 8:30 a.m. - 3:00 p.m.	Monday, July 26, 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 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-serve basis.

MATERIALS

For this Seminar, Standard Procedures Manual #10, "Compliance Management," will be updated. Each member institution will receive via email a link to a downloadable PDF of the Standard Procedures "E-Manual." As noted above, registered attendees will be able to download the Agenda and Discussion Outline prior to the Seminar. Members Only may purchase additional hard copies of SPM #10 during July 2021 for \$35.00 per copy plus shipping charges and applicable sales tax.

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: American Bankers Association (ABA) Professional Certifications has approved "Your Compliance Management System - Is it Working?" for CRCM 5.75 CE credits. ABA Professional Certifications is dedicated to promoting the highest standards of performance and ethics within the financial services industry. This statement is not an endorsement of this program or its sponsor.

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 **4.75** hours of CPE Continuing Education credit.