

MAY

2015

Webinar

Compliance Responsibilities of Financial Institution Directors

Thursday, May 21
10:00 – 11:30 a.m.

Presented by
Mark E. Aldrich,
Principal, Aldrich & Bonnefin, PLC

WHO SHOULD ATTEND?

- Directors
- Board chairs
- Committee chairs
- Compliance officers & staff
- Chief executive officers
- Chief financial officers
- Corporate secretaries
- Attorneys

Presented by Counsel for Bankers' Compliance Group®
ALDRICH & BONNEFIN, PLC

More and more regulations specifically require board approval, oversight and periodic review. Not surprisingly, the board's level of support will directly bear upon the success of the institution's compliance program. In order to ensure an effective approach, compliance must be a major objective in the institution's organization including the actions of the board of directors. In this Webinar, we will focus on the compliance responsibilities of directors and how to integrate board oversight into the compliance function.

The board of directors and senior management must set goals for the compliance effort of the institution. Once formulated, the compliance program should be specifically established by board resolution. Involvement of the board and management should be periodically reflected in minutes of the board and committee meetings to evidence compliance management and review functions. We will provide specific guidance on how these efforts of the board can be managed and documented.

In this program, we will identify the areas of compliance that require, at least annually, review and approval by an institution's board of directors. In addition, we will identify specific areas where annual review and approval is not specifically required by law or regulation, but periodic reviews are recommended. A helpful board checklist will be provided.

Topics to be covered:

- ◆ The board's role in a compliance program
- ◆ Board commitment and involvement
- ◆ Risk assessment of the compliance program
- ◆ Importance of board and committee meeting minutes
- ◆ Compliance matters requiring annual board review by law or regulation
- ◆ Compliance matters recommended for review on a periodic basis
- ◆ Board of directors regulatory checklist

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