



ABA
Alabama Bankers Association, Inc.
Live Seminar

Agency Issued Exam Exceptions: How to Ensure They Don't Become YOUR Issues!

August 25, 2021

Registration: 8:00 AM

Business Session: **8:30 AM – 3:00 PM**

[Marriott Prattville Hotel & Conference Center](#)

Join us as we analyze consumer compliance issues identified by the FDIC and other regulatory agencies. Not only will we discuss the issues in detail, but we have developed auditing and monitoring activities that you can utilize to test for compliance at your organization! Internal auditing and monitoring for consumer compliance is an important component of the bank's compliance management system. Even if you are not supervised by the FDIC, this session will be beneficial to attend! Join us as we discuss regulatory agency identified compliance weaknesses and how to implement an effective testing program designed to proactively identify consumer compliance issues at your bank.

Topics Include:

- Tips on Developing Auditing & Monitoring Schedules
- Understanding the Components of the FFIEC Consumer Compliance Examination
- The Benefits of a Proactive Compliance Program
- Most Frequently Cited Regulatory Violations
 - CFPB: *Supervisory Highlights*
 - FDIC: *Consumer Compliance Supervisory Highlights Overview*
 - Federal Reserve System: *Consumer Compliance Outlook*
- Examples of communications that result in UDAP concerns
- Utilizing CMP Reports as Auditing and Training Tools
- Flood - Issues that lead to CMP's!
- Ready to use checklists for several of the areas discussed!

PRESENTED For ABA by: Brode Consulting, Molly Stull

WHO SHOULD ATTEND: This informative session is designed for operations managers, compliance officers, risk officers and auditors but will cover issues identified on both the lending and deposit areas.

FEES:

Members: \$395

Non-Members: \$595

QUESTIONS? EMAIL Debbie Pharr at dpharr@alabama.bank

By registering for this seminar, you give your permission to be photographed and for those photographs to be used by the association.

ABA Cancellation Policy: A processing fee of \$100 applies to all cancellations. We will gladly refund 100 percent of your registration fee (minus \$100 processing fee) if notice is given by 12:00 noon, 10 business days before an event.

After 10 business days, no money can be refunded, credited or transferred, although substitution of a participant is welcomed.

Schools and sessions 2 days or more, cancellation processing fee - \$200 or more TBD.

Late Registration: Please note, there will be a \$50 late registration fee for all attendees that register later than 10 business days before the seminar.

Non-ABA Members: Prepayment is required for all non-member attendees for any event.

Early Bird Rates: When applicable, to qualify for the early bird rate, full payment MUST be received by advertised date. Otherwise, additional billing for the regular rate will be necessary.

Note: If registrant has received any manual/handouts prior to cancellation, no money can be refunded, credited or transferred.