



ABA

Alabama Bankers Association, Inc.

Live Seminar

DEEP DIVE: Regulatory Compliance Fundamentals

July 27-30, 2021

Registration: Day 1 **8:00 AM**
Business Sessions: Day 1 - 3 **8:30 AM – 4:30 PM**
Day 4 **8:30 – 12:00**

[Renaissance Ross Bridge Hotel](#) - 4000 Grand Avenue, Birmingham, AL 35226

Compliance, like service, is every banker's responsibility. The **DEEP DIVE: Regulatory Compliance Fundamentals** covers the most prominent credit, deposit, operations, and other consumer regulations and laws financial institutions deal with on a *day-to-day basis*. Whether you have no experience in banking, or are beginning your career, or are new to regulatory compliance, or need a refresher, this deep dive is a concentrated introduction into the world of banking regulations. The program will examine regulations and laws at a broad level in order to prevent getting lost in the technicalities of regulations and will assist in developing the skill sets necessary to read and understand regulations. The program is packed with tips, tools, case studies, job aids as well as a resource reference manual.

As a result of this interactive program, bankers will be able to:

- Locate, research, review, and understand banking regulations
- Identify which regulations apply to different situations in banking
- Anticipate and minimize potential penalties and violations
- Research pending regulatory updates and hot topics
- Understand the role compliance plays in financial institutions

Agenda Includes:

- How Federal Laws and Regulations are Created
- How to Read and Find Laws, Acts or Statutes and Regulations
- Elements of a Compliance Program
- Incorporating Regulatory Change Management
- Regulations 101
- Regulation Deep Dive - How the Regulations Impact the Bank's Operations
- Deposit Compliance Basics
- Consumer Loan Compliance Basics
- Residential Loan Compliance Basics
- Basics of Fair Lending and UDAAP/UDAP
- Commercial Loan Compliance Basics
- Compliance Risk Management
- Identifying Risks and Effective Risk Assessments
- Reviewing the Bank's Policies and Procedures
- Monitoring the Compliance Program
- Keeping the Board Updated on the Bank's Compliance Program
- Compliance Training Requirements
- Complaint Monitoring

And more...

PRESENTED For ABA by: Performance Solutions, inc., & Warren Averett

WHO SHOULD ATTEND: This program's target audience includes bankers throughout the financial institution needing a foundation, "real world" knowledge of compliance requirements.

FEES:

Members: \$945
Non-Members: \$1785

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.