



**Compliance Management Essentials (CMS)**  
**Building a Strong Foundation for Compliance Success**  
**Virtual Live Event Via Zoom**

June 26, 2025 10:00am-11:30am

Member Fee: \$295 Non-Member \$395

Today's financial institutions must have sound compliance management systems (CMS). From making sure everyone is following policies and procedures to training staff to tracking, understanding, and implementing new regulations and predicting the impact of proposed rules, it's a never-ending exercise in organization and education. That's why federal regulators require financial institutions to have a CMS. While each agency has its own definition of a CMS, it all boils down to one simple concept: how a financial institution manages consumer compliance risk.

This program provides a practical, risk base review of the basic requirements of a CMS.

**Topics:**

1. A review of the basic requirements of a CMS and tailoring them to your financial institution.
2. How changing regulatory requirements pose a risk if not tracked and managed properly.
3. Breaking down institutional silos to build and maintain a better CMS.
4. Reviewing, testing, and monitoring operations to ensure requirements are working as intended.
5. Training business units.
6. Correcting and preventing consumer harm.

**WHY?**

All Regulators expect it. A CMS is how an institution:

- Learns about its compliance responsibilities
- Ensures that employees understand these responsibilities
- Ensures that requirements are incorporated into business processes
- Reviews operations to ensure responsibilities are carried out and requirements are met
- Takes corrective action and updates materials as necessary

In addition, it helps manage risk! A CMS helps manage risks associated with:

- Changing product and service offerings
- New legislation enacted to address developments in the marketplace
- Noncompliance with consumer protection laws may result in: Litigation, monetary penalties, and other formal enforcement actions

**WHO?**

This session is designed for anyone who needs a better understanding of a Strong CMS. It may be particularly beneficial for new compliance officers, as well as those working in compliance, risk, auditing, and management.

**PRESENTER**

Kimberly Boatwright is EVP and Director of Risk and Compliance at Compliance Resource, LLC and has more than a two decades of experience working in the financial services industry. Ms. Boatwright is a well-regarded financial

industry risk and compliance professional with a strong background in program development and implementation. She is a thought leader who specializes in Fair Lending, Anti-Money Laundering, OFAC and consumer compliance. During her career she has worked for and consulted with all types of financial institutions helping to establish and evolve compliance and risk programs. She is a frequent public speaker, trainer, and author on compliance and risk management topics. Kimberly is a Certified Regulatory Compliance Manager, a Certified Anti-Money Laundering Specialist, and Fair Lending Expert.



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