

**2019  
COMPLIANCE  
OFFICER  
BOOT CAMP**

Tuesday-Friday  
June 18-21, 2019  
Château Élan Winery & Resort  
Braselton



## SUMMARY

Compliance touches every aspect of banking – from product and service development, delivery, maintenance and cessation. Yet, there is little training or orientation to what is involved in being a Compliance Officer, Manager, Specialist or Analyst.

*How to be a Compliance Officer* is a question that looms over most compliance professionals. Many are bestowed the position due to absence one day, while some actively pursued compliance. There are lists of what a compliance officer should do without much insight as to *How*.

This 3 ½ day seminar will provide comprehensive insight on what you should be doing and how to do it to be an effective Compliance Officer. Combining lecture, written materials, breakout sessions and mini workshops, the *Compliance Officer Boot Camp* is a must whether you are new to compliance or have been moving through the motions of compliance for years.

We will have breakout sessions with your peers along with mini workshops to apply learnings. You will leave with Resources, Resources and more Resources! We will provide a list of valuable resources that are available for free to assist compliance staff.

## SCHEDULE

### Tuesday - Thursday

- 8:00 am Registration/  
Continental  
Breakfast
- 8:30 am Program
- NOON Lunch
- 1:00 pm Program
- 4:00 pm Adjourn

### Friday

- 8:30 am Continental  
Breakfast
- 9:00 am Program
- 12:15 pm Adjourn

## REGISTER TODAY

**REGISTER HERE**

Or, contact the [CBA Education department](#) to register.

## WHO SHOULD ATTEND

This boot camp will be of value to compliance officers, managers, specialists, and analysts as well as operations staff and management in order to stay ahead of compliance risk.

## SPEAKER



**Leah M. Hamilton**  
Vice President and  
Sr. Consultant  
ProBank Austin

[CLICK HERE TO VIEW SPEAKERS' FULL BIOGRAPHY AND ACCESS THEIR WEBSITE.](#)

## LOCATION & ACCOMODATIONS

### Chateau Elan Winery & Resort

100 Rue Charlemagne  
Braselton, GA 30517  
678-425-0900/800-233-9463  
[www.chateauelan.com](http://www.chateauelan.com)

Please mention you are attending a CBA program. Reservations must be made by or before Saturday, May 18<sup>th</sup> to receive CBA reduced rate. For CBA assistance, please contact the [CBA Education Department](#).

## SPONSORSHIPS AVAILABLE

Breakfast Per Day	\$600
Lunch Per Day	\$1,000
Morning Break All 4 Days	\$600
Afternoon Break 3 Days	\$450
Name Badges	\$350
Manual Printing	\$2,250
Phone Charging Station Entire Program	\$400
Door Prizes	\$400
Tent Cards with logo	\$200
Wine Tour Sponsor	\$1,500

Contact [Lindsay Greene](#) for more information.

## PRICING

**Early Bird** – CBA & Compliance Program Member: \$1200 \*if you register and pay no later than May 10

**CBA & Compliance Program Member:** \$1400 first person/\$1195 each additional person from the same institution

**CBA Member:** \$1600/\$1295 each additional person from the same institution. Early Bird for CBA Members \$1,400 \*if you register and pay no later than May 10

**Prospective Member:** \$1995 per person (prepayment required); Early Bird for prospective member \$1600 \*if you register and pay no later than May 10

## OUR PROGRAM WILL COVER

### Organizing the Compliance Function

- Compliance Risk Management Program (CRMP)
  - Regulatory vs. examiner requirements/expectations
  - Compliance Management System – what CMS includes
  - Role of Compliance Officer - Limitations and constraints
  - Reviewing policies & procedures for compliance
    - What's required? Recommended?
  - 3 Lines of Defense
    - Who's monitoring and how? What should be monitored
  - Independent audits
  - Compliance Training: methods, schedules, tips
    - Complaint management - What is a complaint, Responses to complaints, Reporting & Lessons learned
  - Compliance risk assessments
  - Regulatory change management

### Finding and understanding the applicable laws, rules, regulations, guidance

- How to read a regulation, statute, guidance
- How to conduct research and build your library

### Consumer Compliance Examinations

- Role of the Examiner & the Compliance Officer's Role
- Pre-planning, determining risk, assessing your CMS risk

### Conducting Reviews & Analysis

- Transaction testing by the numbers
- Risk assessing findings
- Communicating findings
  - How to write one report to meet the needs of the Board, Operations & Examiners
  - Management reporting
  - Issue Resolution & Tracking

Receive a highlight of key regulations – lending, deposits, enterprise-wide while exploring skills for presenting and influencing management.