



ABA

Alabama Bankers Association, Inc.

Live Seminar

Fish or Cut Bait! Compliance Tackle Box

Credits – 5.5 CPE

May 09, 2019

[Marriott Prattville Hotel & Conference Center](#)

The pole is in the water and you're looking to reel in the big one, but are you fishing with the right bait? Whether you are a rookie compliance officer or a seasoned veteran, you need the right tackle to help you manage your increasing compliance responsibilities and achieve a compliance rating for your bank that is worthy of mounting on the wall.

This fully stocked one-day session will provide you with the lures, hooks and jigs (checklists, tools and resources) you need to manage the mackerel that is compliance.

Learning Objectives:

- **Utilizing Checklists** – A review of daily, weekly, monthly, quarterly and annual checklists that can help you track your responsibilities and focus on the big catch.

- **Implementing Tracking Methods**- A discussion of best practices for tracking everything from policy approvals to audit and exam exceptions.

- **Establishing an Effective Training Program** - A thorough discussion of going beyond simply “chumming” a topic out to the staff, including how to document and track your employee’s training efforts.

- **Effective Board Reporting**- A discussion of how to make your compliance reports to management and the board efficient and thorough.

- **Awareness of Current Regulatory Hot Buttons** – A review of current and upcoming regulatory topics entering the waters and how you can best prepare.

- **Understanding of Tools and Resources Available To You** – A discussion of how to avoid feeling like you are on an island as a compliance officer including tips and tricks for where to locate up-to-date compliance information and how to remain organized.

PRESENTER: Dawn Kincaid

WHO SHOULD ATTEND: This informative session is designed for Compliance Officer and Internal Auditors

QUESTIONS? Call Debbie Pharr at (334) 386-5735.

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.