



Comptroller of the Currency
Administrator of National Banks

US Department of the Treasury

OCC BANKING RELATIONS

Compliance Risk: What Directors Need to Know

Register Today!

Revised!

■ **Miami, FL***

— *January 13, 2010*

■ **Shreveport, LA***

— *April 20, 2010*

■ **Boston, MA***

— *June 16, 2010*

■ **Peoria, IL***

— *July 28, 2010*

■ **Kansas City, MO***

— *September 22, 2010*

■ **San Diego, CA***

— *November 3, 2010*

Workshop *for* National Community Bank Directors

Compliance Risk: What Directors Need to

“A host of compliance issues — consumer protection, fair lending, CRA, BSA — compete for directors’ attention. This workshop will provide the insight and skills that directors will find useful in addressing those responsibilities.”

John C. Dugan,
Comptroller of the Currency

Effective oversight of consumer laws and regulations can preserve a sound reputation, reduce the risk of financial loss, and ensure quality service. Consumer protection regulations, Bank Secrecy Act (BSA) and anti-money laundering laws, and the Community Reinvestment Act (CRA) impact virtually all bank operations. Directors must recognize the scope and implications of the legislation that applies to their banks.

This one-day workshop combines lectures, discussions, and exercises designed specifically for outside directors of national community banks to:

- Review major compliance risks and critical regulations, such as fair lending
- Review the critical elements of an effective compliance risk management program
- Identify compliance red flags
- Review current compliance hot topics
- Learn about common OCC examination findings related to compliance risk
- Answer your questions

Communicate With the Regulators

You will interact with instructors who are experienced bank examiners from the OCC. They are seasoned professionals who regularly assess bank risk and compliance risk management systems and meet with bank managers and directors to discuss their findings and evaluations. They will share their experiences to help you improve your knowledge and skills. Enrollment is limited to 35 national community bank directors per workshop to allow open and targeted dialogue. Pre-course reading materials will also be made available to enhance your workshop experience.

Who Should Attend

This workshop is geared primarily to outside directors of national community banks that have assets less than \$1 billion. However, management directors could also benefit from attendance.

Meet the Instructors



Dave Grandison
National Bank Examiner,
Central District



Vonda Eanes
Community Affairs Officer,
Community Development Division



Rusty Cronan
National Bank Examiner,
BSA/AML Compliance Division



Mary McKnight
Compliance Lead Expert,
Southern District

Know

AGENDA

Attire is business casual.

Reception

A reception will be held from 5:00 p.m. to 7:00 p.m. on one selected evening. Details will be provided with workshop materials. Attendees can meet informally with OCC faculty. Hors d'oeuvres and beverages will be served.

Workshop

7:00 a.m. Registration and Continental Breakfast

8:00 a.m. Morning Session

- Introductions and Program Overview
- Regulations You Need to Know
- Bank Secrecy Act
- Group Exercises

12:00 p.m. Lunch

1:00 p.m. Afternoon Session

- Compliance Risk Management
- Director's Role
- Group Exercises
- Wrap-up

4:00 p.m. Adjourn

“Valuable insight from senior OCC staff as to how they view compliance issues and evaluate bank processes and procedures.”

Outside director
Fifteen years on board
\$200 million national bank



Kim Ford

National Bank Examiner,
Western District



Greg Nagel

Compliance Policy Specialist,
Compliance Policy Division



Beverly Hearn

National Bank Examiner,
Southern District



Laura Lewis

Compliance Lead Expert,
Northeastern District

Dates and Locations

- **Miami, Florida***
January 13, 2010
Hyatt Regency Coral Gables
Hotel Reservations: (305) 441-1234
Room Rate: \$189.00
www.coralgables.hyatt.com
- **Shreveport, Louisiana***
April 20, 2010
Hilton Shreveport
Hotel Reservations: (800) 445-8667
Room Rate: \$109.00
www.hilton.shreveport.com
- **Boston, Massachusetts***
June 16, 2010
Hyatt Regency Boston
Hotel Reservations: (800) 233-1234
Room Rate: \$231.00
www.regencyboston.hyatt.com
- **Peoria, Illinois***
July 28, 2010
Embassy Suites Hotel
Hotel Reservations: (309) 694-0200
Room Rate: \$129.00
www.embassysuiteseastpeoria.com
- **Kansas City, Missouri***
September 22, 2010
Westin Crown Center
Hotel Reservations: (816) 474-4400
Room Rate: \$149.00
www.starwoodhotels.com/westin
- **San Diego, California***
November 3, 2010
Hyatt Regency Mission Bay
Hotel Reservations: (800) 233-1234
Room Rate: \$185.00
www.missionbay.hyatt.com

Hotel room rates for each location are guaranteed until the following dates:

Hyatt Regency Coral Gables, Miami, FL
— December 21, 2009

Hilton Shreveport, Shreveport, LA
— March 19, 2010

Hyatt Regency Boston, Boston, MA
— May 24, 2010

Embassy Suites Hotel, Peoria, IL
— July 3, 2010

Westin Crown Center, Kansas City, MO
— August 30, 2010

Hyatt Regency Mission Bay, San Diego, CA
— October 1, 2010

Hotel rates for this program have been discounted. To make your reservations on a space-available basis, please contact the hotel directly. Some hotels may honor the rate before and after the workshop. When making reservations, please mention the function name: OCC Bank Directors' Workshop. If you encounter difficulties in making your reservations, please call (336) 451-0557 for assistance.

Reception

A reception will be held from 5:00 p.m. to 7:00 p.m. on one selected evening. Details will be provided with workshop materials. Attendees can meet informally with OCC faculty. Hors d'oeuvres and beverages will be served.

Registration Fee

The registration fee is \$65, payable at the time of registration. The price includes:

- Pre-course reading package
- Course materials
- Continental breakfast, lunch, and reception
- CD of several of OCC's popular telephone seminars
- Bank Director's Toolkit, which includes The Director's Book, Red Flags in Board Reports, and the Internal Controls guide

Special Needs

If you require special accommodations to participate in this workshop, please call (202) 874-6415.

Cancellation Policy

All cancellations must be in writing. Cancellations will be accepted by e-mail to regcenter@cmpmeetings.com, or fax notification to (336) 644-6205. If a cancellation is received less than one month before the workshop, no refund will be issued.

Questions

For additional workshop information, please call (336) 451-0557 or send an e-mail to regcenter@cmpmeetings.com.

*Consecutive session with the risk assessment and/or credit risk workshops. Participants may attend one or more of these sessions.



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OCC National Community Bank Director Compliance Risk Workshop Registration Form PART 1

- January 13, 2010
Miami, FL*
- April 20, 2010
Shreveport, LA*
- June 16, 2010
Boston, MA*
- July 28, 2010
Peoria, IL*
- September 22, 2010
Kansas City, MO*
- November 3, 2010
San Diego, CA*

Please register online at www.cmpmeetings.com/occ, fax registrations to (336) 644-6205, or mail to CMP Meeting Services – Registration Center, 3505 Vernon Woods Drive, Summerfield, NC 27358, USA.

- You must be on the board of directors of a national community bank.
- Registrations will be accepted on a space-available basis only. A wait list will be established for all locations at which sessions are at maximum capacity.
- Registration fee for the workshop is **\$65 per participant**.
- **All cancellations must be in writing.** Cancellations will be accepted by e-mail to regcenter@cmpmeetings.com, or fax notification to (336) 644-6205. If a cancellation is received less than one month before the workshop, no refund will be issued.
- Completion of this form in its entirety is required for conference registration.
- Registration is not complete until you receive your confirmation letter in the mail.

Bank Information

Bank Name: _____ Asset Size \$ _____ (Millions)

<input type="checkbox"/> < 50	<input type="checkbox"/> 50-100	<input type="checkbox"/> 100-150
<input type="checkbox"/> 150-250	<input type="checkbox"/> 250-500	<input type="checkbox"/> 500-750
<input type="checkbox"/> 750-1B	<input type="checkbox"/> >1B	

Bank Address: _____
Street

_____ City State ZIP Code

Telephone: _____

Bank Point of Contact: _____

Payment Information

Billing Name: _____

Billing Address: _____
Street

_____ City State ZIP Code

Credit Card Type: Amex Visa MC Expiration Date: _____

Credit Card Number: _____

Security Code: _____

Signature of Cardholder: _____

If other payment arrangements are needed, please contact the reservation center: (336) 451-0557 or regcenter@cmpmeetings.com.



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OCC National Community Bank Director Compliance Risk Workshop Registration Form PART 2

Attendee Information

Name: Mr./Ms./Mrs./Dr. _____
(Please circle one) First Name Last Name

Name on Badge _____
First Name Last Name

Title: _____ Director: Inside Outside Other

Home Address: _____
Street
City State ZIP Code

Daytime Telephone: _____ Fax: _____

Attendee E-mail: _____

Assistant's E-mail: _____

Emergency Contact

Emergency Contact Name: _____
(friend or family)

Emergency Contact Phone Number: (Home or Cell) _____
(do not use the bank phone number)

Special Needs/Comments

If you have special needs that may affect your participation in this event, please check here .
OCC will contact you to discuss your needs.

If you have any comments or information concerning your registration that you wish to add, please do so below.

For workshop information, please contact (336) 451-0557. Registration Center Hours: 8:30 a.m. – 5:00 p.m. ET.

Registration is not complete until you receive your confirmation letter in the mail.

FOR REGISTRATION CENTER USE ONLY

CONFIRMATION NUMBER: _____