



Comptroller of the Currency
Administrator of National Banks

US Department of the Treasury

ENSURING A SAFE AND SOUND
NATIONAL BANKING SYSTEM
FOR ALL AMERICANS

OCC BANKING RELATIONS

Compliance Risk: What Directors Need to Know

Register Today!

- Indianapolis, IN** • **May 21***
- Hershey, PA** • **July 9***
- Denver, CO** • **July 30***
- San Antonio, TX** • **September 17***

Workshop *for Community
Bank Directors*

Compliance Risk: What

Workshop for Comm

“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 Dugan
Comptroller of the Currency

Effective oversight of consumer laws and regulations can ensure quality service, preserve a sound reputation, and reduce the risk of financial loss. Consumer protection regulations, Bank Secrecy Act and anti-money laundering laws, and the Community Reinvestment Act impact virtually all bank operations. Directors must recognize the scope and implications of this legislation that applies to their banks. Effective compliance management processes will protect the bank from unnecessary risk, promote efficient use of resources, and minimize disruptions in daily activities.

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

- Review the major compliance risks and critical regulations, such as BSA and CRA.
- Understand the critical elements of an effective compliance risk management program.
- Identify compliance red flags.
- Review current compliance “Hot Topics.”
- Hear 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. These 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 50 national community bank directors per workshop to allow for 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 with assets less than \$1B. However, management directors could also benefit from attendance.

Meet the I



Beverly Hearn
National Bank Examiner,
Southern District



Vonda Eanes
National Bank Examiner,
Northeastern District



Maureen Whalen
Compliance Lead Expert,
Central District



Dave Grandison
National Bank Examiner,
Central District

Directors Need to Know

Community Bank Directors

AGENDA

Attire is business casual.

Reception

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

Workshop

7:00 AM Registration and Continental Breakfast

8:00 AM Morning Session

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

NOON Lunch

1:00 PM Afternoon Session

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

4:00 PM Adjourn

Reaction from Past Participant

“This stimulating and well-organized program provided excellent information to help new and seasoned directors. It was well worth the time.”

Instructors



Kim Ford

*National Bank Examiner,
Western District*



Kathleen Orell

*National Bank Examiner,
Western District*



Paul Groot

*Supervisory National Bank Examiner,
Southern District*

Dates and Locations

- **Indianapolis, Indiana***
May 21, 2008
Hyatt Regency Hotel
Hotel Reservations: (800) 233-1234
Room Rate: \$97.00
www.indianapolis.hyatt.com
- **Denver, Colorado***
July 30, 2008
The Curtis Hotel
Hotel Reservations: (800) 525-6651
Room Rate: \$140.00
www.thecurtis.com
- **Hershey, Pennsylvania***
July 9, 2008
The Hershey Lodge
Hotel Reservations: (800) 533-3131
Room Rate: \$219.00
www.hersheyloodge.com
- **San Antonio, Texas***
September 17, 2008
Hyatt Regency Hotel
Hotel Reservations: (210) 222-1234
Room Rate: \$210.00
www.sanantonioregency.hyatt.com

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

Hyatt Regency Hotel, Indianapolis - April 21, 2008
Hershey Lodge, Hershey - May 14, 2008
The Curtis Hotel, Denver - June 20, 2008
Hyatt Regency Hotel, San Antonio - August 7, 2008

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 Tuesday evening. Details will be provided with workshop materials. Attendees can meet informally with the 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 and lunch
- CD of the OCC's popular "Bank Secrecy Act" Telephone Seminar

Special Needs

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

Cancellation Policy

All cancellations must be in writing. Cancellations will be accepted by fax notification to 336-644-6205. If cancellation is received within one month of the workshop, there will be no refund issued.

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



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OCC Community Bank Director Compliance Risk Workshop Registration Form PART 1

- May 21, 2008***
Indianapolis, IN
- July 9, 2008***
Hershey, PA
- July 30, 2008***
Denver, CO
- September 17, 2008***
San Antonio, TX

Please register on-line 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

- 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 **\$65.00 per participant**.
- **All cancellations must be in writing.** Cancellations will be accepted by fax notification to 336-644-6205. If cancellation is received within one month of the workshop, there will be no refund issued.
- Completion of this form in its entirety is required for conference registration.

Bank Information

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

Bank Address: _____
Street
_____ City State Zip Code

Telephone: _____

Payment Information

Billing Name: _____

Billing Address: _____
Street
_____ City State Zip Code

Credit Card Type: Amex Visa MC Expiration Date: _____

Credit Card Number: _____

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 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

Attendee Address: _____
Street

City State Zip Code

Work Telephone: _____ Fax: _____

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. EST.

FOR REGISTRATION CENTER USE ONLY

CONFIRMATION NUMBER: _____