

OCC's Community Bank Audit and Internal Controls Telephone Seminar

Registration Form

Registrant Name _____

Title _____

Bank/Company _____

Street Address _____

City _____

State _____

Zip _____

Phone Number _____

Fax Number _____

E-mail Address _____

Please check here if you are unable to receive your materials via the Internet. We will ship you a hard copy. (To receive via the Internet, you will need Acrobat Reader, available free at www.adobe.com.)

Site registration and one set of written materials
• National Banks: \$99
• Others: \$125

Audiocassette tapes and one set of written materials
• National Banks: \$49 participants, \$99 non-participants
• Others: \$65 participants, \$125 non-participants

Check method of payment:

Check made payable to KRM

American Express

VISA

MasterCard

Discover Card

Card Number #: _____

Expiration Date: _____

Signature: _____

Registrations after 10/26/00, please add \$8 for expedited handling.

Total Payment: _____

If you would like to submit questions prior to the telephone seminar, please e-mail Teri.Pote@occ.treas.gov or fax them to 415/777-5386 before 10/26/00.



Comptroller of the Currency
Administrator of National Banks

Issues in Community Bank Audit and Internal Controls: *The OCC Approach*

A Telephone Seminar

**Wednesday,
November 1, 2000
11 a.m. – 12:30 p.m. EST**

Convenient • Informative • Cost Effective

*Participants will receive a complimentary copy of
Internal Controls: A Guide for Directors*

This Seminar Will Enable Participants to:

- Gain Insight into OCC Policies on Audit & Internal Controls
- Review the Key Principles of Effective Audit & Internal Control Programs
- Learn How Examiners Assess Audit & Internal Control Programs
- Understand the Resources Available to Monitor and Manage Your Programs

Interact with OCC Experts:



Deputy Comptroller
John Bodnar,
Dallas District Office



Deputy Comptroller
Mark O'Dell,
*Bank Supervision Policy,
Washington, DC*



Assistant Deputy Comptroller
Kit Sugiyama,
Denver Field Office



Welcome by
John D. Hawke, Jr.,
Comptroller of the Currency

Discuss Topics:

- Regulatory Perspective — Emerging technology risk and control issues - OCC priority and focus - Examination findings - Guide to internal controls.
- Regulatory Expectations — OCC examination objectives and focus - Review of internal audit work papers - Guiding the industry through advisories and handbooks.
- OCC Initiatives — Communication with the industry - Examiner training - Addressing supervisory issues with banks.
- Open Forum — Participants may comment on points raised and submit questions for the experts, either prior to the call or interactively during the seminar.

Who Should Participate?

The topics discussed at this seminar will be of particular interest to a bank's:

- Chief executive officers
- Directors
- Senior management
- Auditors
- Counsel/attorneys
- Compliance officers
- Risk management officers
- Consultants

How to Register

Those wishing to attend the seminar may register by:

- Filling out the online registration form at www.occ.treas.gov.
- Calling 800/775-7654 between the hours of 8 a.m. and 5 p.m. CST and providing registration information.

What Is a Telephone Seminar?

This 90-minute telephone seminar allows an unlimited number of people to listen to OCC experts and to discuss with them their experiences and policy imperatives over individual telephones or with colleagues on speakerphones. The experts' interaction with you, the listener, will make the program a valuable learning experience and enjoyable to listen to. And you can ask questions from wherever you are.

There is no rush-hour traffic, no parking, no travel time or expenses. You can remain in the office and share information with a large group of colleagues for one price per site. A moderator guides the presentation and the open forum, much like participating in a talk-radio program.

Price

Participation is \$99 per connection for each national bank listening site and \$125 per connection for each non-national bank listening site.

Audiocassette Tapes

Audiocassette tapes of the seminar, with supporting materials, are available for purchase. The price for national banks is \$99; for others, it is \$125. Seminar participants (national banks and others) can order tapes for \$49 and \$65, respectively.

- Faxing the form to 800/676-0734.
- Mailing the registration form to KRM Information Services, P.O. Box 1187, Eau Claire, WI 54702-1187.

Registrants receive a special toll-free number and a PIN number for entrance to the telephone seminar. You will receive written materials prior to the call via the Internet or direct mail.