



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!

■ **Point Clear, AL***

— *April 8, 2009*

■ **Greenville, SC**

— *May 5, 2009*

■ **Bloomington, MN***

— *June 30, 2009*

■ **Omaha, NE***

— *September 2, 2009*

■ **Phoenix, AZ***

— *November 18, 2009*

Workshop *for* Community Bank Directors

Compliance Risk: What Directors Need to Know

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 (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 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 major compliance risks and critical regulations, such as BSA and CRA
- 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. 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 optimize the opportunity 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 \$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*



Kathleen Orell

*Compliance Lead Expert,
Western District*



Kim Ford

*National Bank Examiner,
Western District*



Beverly Hearn

*National Bank Examiner,
Southern District*



Rusty Cronan

*National Bank Examiner,
Memphis Office*



Maureen Whalen

*Compliance Lead Expert,
Central District*



Greg Nagel

*Compliance Policy Specialist,
Compliance Policy Division*

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

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

Reaction from Past Participant

“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

Dates and Locations

- **Point Clear, Alabama***
April 8, 2009
Grand Hotel Marriott
Hotel Reservations: (800) 544-9933
Room Rate: \$179.00
www.marriottgrand.com
- **Greenville, South Carolina**
May 5, 2009
Hyatt Regency Hotel
Hotel Reservations: (800) 233-1234
Room Rate: \$120.00
www.greenville.hyatt.com
- **Bloomington, Minnesota***
June 30, 2009
Sofitel Minneapolis Hotel
Hotel Reservations: (952) 835-1900
Room Rate: \$130.00
www.sofitel-minneapolis.com
- **Omaha, Nebraska***
September 2, 2009
Embassy Suites Hotel
Hotel Reservations: (402) 346-9000
Room Rate: \$139.00
www.embassysuitesomaha.com
- **Phoenix, Arizona***
November 18, 2009
Wyndham Phoenix Hotel
Hotel Reservations: (602) 333-0000
Room Rate: \$189.00
www.wyndhamphx.com

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

Grand Hotel Marriott, Point Clear, AL
— March 6, 2009

Hyatt Regency Hotel, Greenville, SC
— April 12, 2009

Sofitel Minneapolis Hotel, Bloomington, MN
— June 8, 2009

Embassy Suites Hotel, Omaha, NE
— August 21, 2009

Wyndham Phoenix Hotel, Phoenix, AZ
— October 26, 2009

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 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 several of OCC's popular telephone seminars

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 cancellation is received within one month of the workshop, no refund will be issued.

Questions

For further 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 Community Bank Director Compliance Risk Workshop Registration Form PART 1

- April 8, 2009**
Point Clear, AL*
- May 5, 2009**
Greenville, SC
- June 30, 2009**
Bloomington, MN*
- September 2, 2009**
Omaha, NE*
- November 18, 2009**
Phoenix, AZ*

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

- 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 cancellation is received within one month of 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)

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: _____

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 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: _____

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: _____