

# COMPLIANCE MANAGEMENT SCHOOL



*A focus on compliance management, compliance leadership, and the day-to-day issues that may arise in your banks.*

**July 21 & 22, 2020**

**IBA Center for Professional Development  
8425 Woodfield Crossing Blvd. Suite 155E  
Indianapolis, IN 46240**

*Sponsored By:*



*Presented By:*

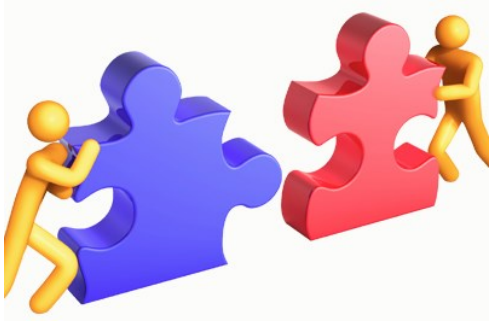


Consultants to the Financial Industry

**Young & Associates, Inc.**

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Kent, OH 44240  
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# COMPLIANCE MANAGEMENT SCHOOL



Sponsored by Indiana Bankers Association and Ohio Bankers League, the Compliance Management School is designed specifically for those who want to upgrade their skills in compliance management, as well as their ability to influence others to solve compliance problems facing their bank. This interactive course will generally not discuss individual regulations, but will focus on compliance management, compliance leadership, and the day-to-day issues that may arise.

This course is designed to be extremely interactive and the input of attendees is required. Each attendee will be challenged to share experiences, challenges, successes and failures so that the larger group may benefit from best practices and approaches that did and did not work. The course will include multiple case studies and a round table discussion of pre-planned compliance management topics.

Attendees are encouraged to bring questions and suggest topics they would like addressed by the group. Prior to the school, all attendees will be solicited for topics, and that topic list will be forwarded to all attendees for their "contemplation" before the school. The input and comments of the attendees is a vital part of this school, as much of the presentation is designed to be interactive rather than lecture.

Given the events of the spring, we will include a session on how banks reacted to the pandemic. It will be a combination of lecture and conversation regarding what worked and did not work in your compliance world. The goal is to offer suggestions should the pandemic or some similar issue reappear in the future.

The school will train attendees to recognize and assess regulatory problems facing their banks and discuss potential solutions to resolve these problems. Bankers will learn how to develop process models, assess compliance risk, determine weaknesses in controls, create controls to prevent and detect problems, manage a compliance-monitoring program, work through regulatory changes and influence others to implement solutions. Attendees will gain valuable hands-on experience through case studies that require them to make judgments and develop influence strategies in scenarios designed to depict real-world situations.

By attending this school, attendees will receive two days of intense, practical compliance training that can be applied directly to their careers as compliance professionals.

## Dates and Location

*IBA will be offering this seminar as follows:*

**July 21 & 22, 2020**

**IBA Center for Professional Development  
8425 Woodfield Crossing Blvd. Suite 155E  
Indianapolis, IN 46240**

Registration will be at 8:30 AM on the first day. Each day's session will run from 9 AM to 4 PM.

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## Who Should Attend

While any level of compliance expertise will gain some knowledge, this course is directed toward compliance professionals with at least a few years of compliance experience.

## AGENDA

- Compliance Management Systems
  - Risk Rating Compliance issues
  - Pandemic and Compliance
- Dealing with Management
- Influence and Negotiation Strategies
- Managing Compliance Monitoring
- Implementing Change
- Managing Audit
- Topics as Suggested by Attendee
- Case Study – Responding to an Exam
- Case Study – Putting it all together

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## Professional Certification Credits Available

ABA Professional Certifications is dedicated to promoting the highest standards of performance and ethics within the financial services industry. The **2020 Compliance Management School has been approved for 15 CRCM credits**. This statement is not an endorsement of this program or its sponsor.

Certification holder reporting instructions: 1. Log into your certification record at [aba.csod.com](http://aba.csod.com) 2. Hover on, ADD EXTERNAL TRAINING-choose APPROVED NON-ABA TRAINING option 3. Search and click on program 4. Click MARK COMPLETE to receive credits.

Note: Any other use of the American Bankers Association (ABA) name and logo is strictly prohibited.

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## Presenter



### ***Bill Elliott, CRCM, Sr. Consultant and Director of Compliance Education, Young & Associates, Inc.***

With over 40 years of banking experience, Bill Elliott leads the compliance department at Young & Associates, Inc. where he conducts compliance reviews, leads compliance seminars, conducts in-house training, and writes compliance articles and training materials. During his career as a banker, Bill spent 15 years as a compliance officer in a large community bank. He has also been a lender for consumer, commercial, and mortgage loans, and has managed a variety of bank departments including loan review, consumer/commercial loan processing, mortgage loan processing, loan and credit administration, collections, and commercial loan workout.

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## July 21 & 22, 2020

### Registration Fees:

- \$595 for each attendee for banks who are members of the IBA or OBL CBC Program.
- \$695 for each attendee for banks who are members of IBA or OBL, but who are not members of the CBC Program.

*Participation in IBA programs is limited to members, associate members, and nonmembers from an eligible membership category at applicable member or non-member rates. Surcharge of 100% for Non-Members.*

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Center for Professional  
Development**

**8425 Woodfield Crossing Blvd.  
Suite 155E  
Indianapolis IN 46240**

**For additional information  
and to register, please feel  
free to contact:**

**Indiana Bankers Association  
Laurie Rees**

**Lrees@indiana.bank**

**PHONE: 317.387.9380**

**FAX: 317.387.9374**

### Designated Banker:

Bank Name \_\_\_\_\_

Attendee Name \_\_\_\_\_

Email Address \_\_\_\_\_

Additional Attendee Name \_\_\_\_\_

Email Address \_\_\_\_\_

Check if you prefer electronic manuals

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Cell # (in case of weather emergency) \_\_\_\_\_

E-Mail Address(es) \_\_\_\_\_

Total Enclosed \$ \_\_\_\_\_

Participation in IBA programs is limited to members, associate members, and nonmembers from an eligible membership category at applicable member or non-member rates.

Credit Card Information (check one):  MasterCard  VISA  Check  Bill Me

\_\_\_\_\_  
Card Holder Name                      Credit Card Number                      Expiration Date

\_\_\_\_\_  
Card Holder Signature

### Cancellation Policy

Within three or more business days prior to the day of an educational program, no cancellation charge will be assessed. Within two days prior, 50% of the fee is assessed. Refunds are not provided for cancellations one day prior or absences on the day of the program. Substitutions are welcome any time.

### Green Statement

In an effort to reduce waste and decrease the use of paper products in our seminars, we are now offering the manuals electronically. We will provide each attendee the manual in a PDF Format that you can download and save to your computer and/or laptop. One week prior to the school, you will be provided with a web link to the manual.

**Return registration form along with payment to:**

**IBA Foundation Inc.**

**8425 Woodfield Crossing Blvd., Suite 155E, Indianapolis IN 46240**

**FAX: (317) 387-9374**