

Graduate School of Compliance Management

December 3 – 5, 2014 in Palm Springs



Based on the success of our *Regulatory Compliance School* for the past seven years, we asked our instructors to develop this new school targeted toward graduates and senior compliance officers. This *two and a half-day* program will provide in-depth guidance on developing, implementing and maintaining an effective Compliance Management System (CMS) that fits your institution's strategic plans and footprint.

Our new [Graduate School of Compliance Management](#) is designed for compliance officers and managers with at least five years of experience. We'll weave the board and management's perspective into all aspects of the program, and focus on the intricacies of managing the compliance function. The instructors will also highlight the latest regulatory changes, and how to get your institution ready to deal with them. Topics will include:

- "How To" develop and implement a "Compliance Is Everyone's Business" culture
- Completing a baseline/annual risk assessment
- Speaking the Language of Management and the Board
- Managing Limited Time and Using Resources
- CMS Program Components
 - Policies and Procedures:
 - Compliance Change Management
 - Compliance Vendor Management
 - Monitoring/Quality Assurance
 - Training
 - Corrective Action Responsiveness
 - Independent Testing
- Consumer Complaints
- Board Reporting
- Preparing for (and Surviving) Examinations

Our Faculty

Jim Dray, CRCM, President of Thomas Compliance Associates (TCA), began his banking career in 1983 as a bank teller, progressing through the ranks to manage operations and compliance. When the bank merged with a multi-bank holding company, Jim helped manage the compliance function for the four banks in the holding company. During his career, he also oversaw operations, compliance and retail banking for various banks.

Wylli Foote, CRCM, director of TCA's unique VCM services, has more than 30 years of bank regulatory compliance and risk management experience. In addition to his involvement with our regulatory school since its inception in 2007, he is a trainer/speaker for the American Bankers Association, and serves on the Editorial Advisory Board for the ABA Bank Compliance Magazine.

The program will be held from Tuesday, December 3, through noon, December 5, 2013 at the [Renaissance Esmeralda Indian Wells Resort & Spa](#), where CBA has arranged a room rate of \$139 a night.

Register by November 4 to save \$300 on your tuition.

Group discounts are also available.

Questions? Contact John Lingvall
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 or at 916/438-4428