



2020 Risk Officer Webinar Series



The 15 Worst Security Mistakes

A Year in the Life of a Compliance Officer: Tips, Tools & Annual Requirements

Advanced BSA Officer Training: Risk, Compliance & Real-Life Scenarios

Risk Management Officer: Expectations & Responsibilities

Introduction

WHY PARTICIPATE?

Each risk officer, including the compliance officer, risk management officer, security officer and those responsible for AML/BSA – whether new or seasoned – is considered the expert at their institution. It's important that these critical staff members stay abreast of changing technology and the regulatory environment. So how can you effectively assess, measure and control risk? Although there is no one-size-fits-all strategy, this webinar series provides training, insight, resources and tools to ensure success!

THREE REGISTRATION OPTIONS

1. LIVE WEBINAR

The live webinar allows you to have up to three audio and Internet connections to view online visuals as the presentation is delivered. You may have as many people as you like listen from your office speaker phone. Registrants receive a toll-free number and pass code that allow entrance to the seminar. The session is approximately 90 minutes, including question and answer sessions. Seminar materials, including instructions, PIN number and handouts are emailed to

you prior to the broadcast. You need the most-current version of Adobe Reader available free at www.adobe.com.

2. ON-DEMAND WEB LINK

Can't attend the live webinar? The on-demand web link is a recording of the live event including audio, visuals and handouts. You even receive the presenter's e-mail address so you may ask follow-up questions. Within five business days following the webinar, you are provided with a web link that can be viewed anytime for the next six months. This link expires six months after the live program date.

3. BOTH LIVE WEBINAR AND ON-DEMAND WEB LINK

Includes options 1 and 2 above.

Listen on your iPad, iPhone, or Android

(Instructions will be emailed to you with the on-demand link).

Dates and Time

THE 15 WORST SECURITY MISTAKES

September 17, 2020

ADVANCED BSA OFFICER TRAINING: RISK, COMPLIANCE & REAL-LIFE SCENARIOS

October 27, 2020

A YEAR IN THE LIFE OF A COMPLIANCE OFFICER: TIPS, TOOLS & ANNUAL REQUIREMENTS

October 8, 2020

RISK MANAGEMENT OFFICER: EXPECTATIONS & RESPONSIBILITIES

November 17, 2020

All Risk Officer Series webinars are from 2 - 3:30 p.m.

For More Information

Tracy McQuinn, Senior Vice President
Melinda McClelland, Vice President
Jennifer Nika, Vice President
Kim Cordier, Administrative Assistant
Tina Wilder, Administrative Assistant
Department of Education & Special Events
800/736-2224 or 217/529-2265 Fax: 217/585-8738
Terry Griffin, Chicago Area Vice President
773/209-2260

THE 15 WORST SECURITY MISTAKES

September 17, 2020

Barry Thompson, Thompson Consulting Group, LLC

There are hundreds of ways to make critical security mistakes within a financial institution — and little time to deal with the aftermath. This session identifies the 15 worst security mistakes that consultants find at financial

institutions and how to correct them. The mistakes and remedies are drawn from extensive consulting experiences across the country.

A YEAR IN THE LIFE OF A COMPLIANCE OFFICER: TIPS, TOOLS & ANNUAL REQUIREMENTS

October 8, 2020

Dawn Kincaid, Brode Consulting Services, Inc.

Each day compliance officers work to manage and implement numerous regulations, guidance and monitoring reports – all to protect their financial institution from violations and avoid consumer harm. But since they often wear many hats, it's easy for a monthly review or annual report to slip through the cracks. This

program walks through a year in the life of a compliance officer, including required training, risk assessments, reviews, reports and audits. Useful tools and a sample annual calendar for compliance officers is provided.

ADVANCED BSA OFFICER TRAINING: RISK, COMPLIANCE & REAL-LIFE SCENARIOS

October 27, 2020

Susan Costonis, Compliance Consulting and Training for Financial Institutions

During exams, BSA examiners are digging deeper and have begun to ask more questions about high-risk activities. Will your BSA/AML program pass the next exam? BSA/AML programs must be constantly updated because of the evolving threats of money laundering,

financial crimes, cybersecurity, elder financial exploitation and regulatory changes. This webinar highlights hot issues and provides key take-aways that enhance your BSA/AML program.

RISK MANAGEMENT OFFICER: EXPECTATIONS & RESPONSIBILITIES

November 17, 2020

Molly Stull, Brode Consulting Services, Inc.

Risk management officers fulfill a robust role. They must understand the institution's compliance risks, confirm that appropriate monitoring and testing are conducted, and ensure that both internal and external changes are properly managed. A working knowledge of the numerous compliance regulations is essential to ensure that the institution is generating compliant

documents. In addition, communication with the board, management and staff is a critical element of success. This webinar provides the tools and best practices necessary to manage and fulfill the expectations and responsibilities of being a risk management officer.

Registration Forms and Fees

You can choose to participate in the Risk Officer Telephone/Webcasts as a series or as one or more stand-alone webinars.

RISK OFFICER TELEPHONE/WEBCAST SERIES (ALL FOUR SESSIONS)

Purchase (Check one)	Training Options <i>(Registration includes one location hook-up)</i>	CBAI Member	Non-Member*
	Live Webinar	\$1,100	\$1,900
	On-Demand Link	\$1,100	\$1,900
	Special Pricing for Live Webinar & On-Demand Link	\$1,500	\$2,300

INDIVIDUAL SESSION

Purchase (Check one)	Training Options <i>(Registration includes one location hook-up)</i>	CBAI Member	Non-Member*
	Live Webinar	\$275	\$475
	On-Demand Link	\$275	\$475
	Special Pricing for Live Webinar & On-Demand Link	\$375	\$575

***Only financial institutions/firms eligible for CBAI membership.**

Please check below which session(s) you are registering for.

- September 17, 2020 – The 15 Worst Security Mistakes
 October 8, 2020 – A Year in the Life of a Compliance Officer: Tips, Tools & Annual Requirements
 October 27, 2020 – Advanced BSA Officer Training: Risk, Compliance & Real-Life Scenarios
 November 17, 2020 – Risk Management Officer: Expectations & Responsibilities

Name _____

Bank _____

Address _____

Phone _____ Email* _____

*(E-mail address required for registration).

Fax this registration form to: 217/585-8738 Call for more information: 800/736-2224

Mail Registration to: CBAI Education Department, 901 Community Drive, Springfield, IL 62703

Name as It Reads on Card _____ Card Number _____

Billing Address of Card _____

Expiration Date _____ Three-Digit Security Code _____ *(MasterCard, Visa & Discover accepted)*