

Agenda

Friday, Sept. 15, 2017

- 5-6 p.m. - Registration
- 6-6:15 p.m. - Welcome and Introduction
- 6:15-7:15 p.m. - Financial Institutions Regulatory Environment: A Brief History of Financial Services Regulation
- 7:15-7:30 p.m. - Break
- 7:30-9 p.m. - Financial Institutions Regulatory Environment: Overview of Financial Services Regulations

Saturday, Sept. 16, 2017

- 9-11:45 a.m. - Key Components of an Effective Compliance & Risk Management Program: Developing a Financial Services Compliance & Risk Assessment Plan: Parts 1 & 2
- 11:45 a.m.-1 p.m. - Lunch and Keynote Speaker: Marc Franson, Partner, Chapman and Cutler
- 1-1:15 p.m. - Break
- 1:15-3 p.m. - Hot Topics in Financial Services Compliance & Risk Management
- 3-3:15 p.m. - Break
- 3:15-5 p.m. - Compliance & Risk Management in Practice

CLE Information

- Approved for 8.5 CLE hours by the State of Iowa (Activity ID: 266297).
- Approved for 10.75 Certified Regulatory Compliance Manager credits by the American Bankers Association. (This statement should not be viewed as an endorsement of this program or its sponsor. ICB Members must report these credits at aba.csod.com.)
- The Compliance Certification Board (CCB)[®] has approved this event for up to 10.2 CCB CEUs. Continuing Education Units are awarded based on individual attendance records. Granting of prior approval in no way constitutes endorsement by CCB of this event content or of the event sponsor.



Creating and Maintaining a Robust Financial Services Compliance and Risk Management Program
Cartwright Hall, Room 206

To register online, visit www.drake.edu/law/cle.

Topics

“Financial Institutions Regulatory Environment: A Brief History of Financial Services Regulation”

Jeff Jungman, Dickinson Law Firm and Former Vice President-Senior Audit and Compliance Manager, Bankers Trust

This session will provide an overview of regulatory agencies and requirements governing financial institutions, including the Office of the Comptroller of the Currency, the Federal Deposit Insurance Corporation, the Consumer Financial Protection Bureau, the Federal Reserve Board, and the State of Iowa. It will also briefly address the role of compliance and risk management employees in financial services regulatory compliance.

“Financial Institutions Regulatory Environment: Overview of Financial Services Regulations”

Julie Gliha, Vice President for Regulatory Compliance, Iowa Bankers Association; Cathy Lesser Mansfield, Compliance and Risk Management Program Director and Professor of Law, Drake Law School

This session will provide an overview of the principal regulations governing financial institution lending and account management, including the Truth in Lending Act, the Real Estate Settlement Procedures Act, the Home Mortgage Disclosure Act, the Ability to Repay and Qualified Mortgage Rules, mortgage servicing and loss mitigation rules, the Uniform Commercial Code Articles 3 and 4, the Electronic Funds Transfer Act, the Expedited Funds Available Act, the Bank Secrecy Act, the Truth in Savings Act, and Unfair, Deceptive, or Abusive Acts or Practices.

“Key Components of an Effective Compliance and Risk Management Program: Developing a Financial Services Compliance and Risk Assessment Plan: Parts 1 & 2”

Julie Gliha; Jeffrey Karch, Associate Chief Counsel, John Deere Financial

This two-part session will cover development of a Compliance and Risk Management System utilizing regulatory guidance documents as its basis. Sources discussed will include the FFIEC Uniform Interagency Consumer Compliance Rating System, which covers board/management oversight and factors for assessing consumer harm from violations of law, and guidances from the CFPB, OCC, and FDIC for creating and maintaining a robust compliance management system. Topics will include inventorying laws and processes for updating and staying current, risk assessments, business controls, monitoring, reporting, corrective action, governance structure, and training.

“Hot Topics in Financial Services Compliance and Risk Management”

John McKinney III, Senior Vice President and General Counsel, West Bank

This session will cover ongoing and emerging compliance and risk management topics including cyber security, vendor management, litigation management, suspicious activity reports, and recent enforcement actions against financial institutions.

“Compliance and Risk Management in Practice”

Moderator: Jeff Jungman, Dickinson Law Firm and former Vice President-Senior Audit and Compliance Manager, Bankers Trust

Panelists: Bob Hartwig, Legal Counsel, Iowa Bankers; Melissa Ballard, Vice President and Director, First Iowa State Bank; John McKinney III, Senior Vice President and General Counsel, West Bank

In this session, panelists will discuss how their own financial institutions put into practice the key components of a robust compliance and risk management plan, and how they deal with emerging challenges such as cyber security.

Academic Information

Optional classroom work is available to qualify for one-half credit toward Drake Law School's Compliance and Risk Management Master of Jurisprudence (MJ) or Master of Laws (LLM) degrees. Attendees who are not currently enrolled in Drake Law School's Compliance and Risk Management MJ or LLM program who complete the academic requirement for two intensives can receive this credit toward an MJ or LLM if they later apply for and are accepted into Drake Law School's Compliance and Risk Management MJ or LLM program.

COURSE DESCRIPTION:

Building on the knowledge gained from “Key Components of an Effective Compliance and Risk Management Program: Developing a Financial Services Compliance and Risk Assessment Plan,” participants will discuss, develop, and present a formal risk assessment plan. The plan will help identify, measure, monitor, mitigate, and control real-world financial industry risk exposures.

Tuesday, Sept. 19, 2017 and Wednesday, Sept. 27, 2017
7-9 p.m., Cartwright Hall, Room 213

FACULTY:

Jeffrey Karch, Associate Chief Counsel, John Deere Financial
John McKinney III, Senior Vice President & General Counsel, West Bank