



GENERAL BULLETIN

CONNECTICUT
BANKERS
ASSOCIATION
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2009 – 190

October 6, 2009

SENT TO:

TO THE CHIEF EXECUTIVE OFFICER
OR INDIVIDUAL ADDRESSED

CEO, CEO+, CIO, COO,
CRO, Audit & Compliance
Specialists

RE: CBA Web Seminar - Preparing For Your Next Regulatory Exam
Wednesday, November 4, 2009 -- 2:30 p.m. - 4:30 p.m.

If you're not prepared, you may be subject to the examiners' version of a risk management program. This timely web seminar breaks down the risk assessment process and helps you prepare for and manage your next exam. In today's environment, the examiners are looking for more than the request items to be waiting for them when they show up for the on-site fieldwork. They want to find evidence that their banks' have implemented risk management programs that stratify bank operations, identify issues, and provide for timely reporting and remediation mechanisms...if not, you may be subject to the examiners' version of a risk management program. Please join us as we discuss strategies to aid in being prepared for and managing your next exam.

SEMINAR HIGHLIGHTS

- Breaking down the Risk Assessment process
 - Control Risk - Operational Activities
 - Control Risk - Regulatory Requirements
 - Liquidity Risk
 - Concentration Risk - Balance Sheet
 - Concentration Risk - Income Statement
- Trend analysis
- Trends in audit cycle frequency
- The importance of self-identification of issues
- Documenting and monitoring remediation plans
- Managing an examination that is heading in the wrong direction

AUDIENCE

Senior managers, CEOs, CFOs, risk managers, auditors and directors. **CE Applied**: 2.5 hours towards the CRCM designations with the Institute of Certified Bankers, an affiliate of the American Bankers Association.

SPEAKER

Brett A. Schimanski, CRCM, is a Senior Managing Consultant for BKD, L.L.P. Brett serves financial institution clients in the areas of Sarbanes-Oxley 404 compliance, internal audit outsourcing and co-sourcing, information technology, risk assessment, internal control analysis, regulatory compliance, trust audit and loan review. He also participates on various SAS70 projects related to financial institution controls. Brett has served the financial services industry since 1990. He has a broad range of experience in banking, including positions as a teller, credit analyst, business development officer,

compliance officer, commercial lender and auditor. Brett was senior auditor responsible for banks totaling \$1 billion in assets. He was also a senior commercial analyst and underwrote credits up to \$30 million. He has experience as a business development officer and has served as the lead internal audit and compliance officer for a community bank.

WHAT IS A WEB SEMINAR?

A web seminar is an enhanced telephone seminar. The audio portion is delivered by speaker phone. However, you may now view a corresponding PowerPoint presentation using a PC or PC connected to an A/V projector. No special hardware is needed. You may still participate by phone only. The program consists of 90 minutes of instruction and 30 minutes live Q&A. Each registration provides one connection to the web seminar, materials and 30 days access to the online seminar. You may have unlimited listeners on your connection by speaker phone and PC. You will receive a confirmation with your PIN, materials and instructions. If you do not receive a confirmation within two days of the event call 888-262-7701. You may also purchase the CD and materials.

Free 30-Day Replay - Within five working days after the broadcast, you will receive a URL providing unlimited access to a recorded copy of the presentation for 30 days. This enables you to participate in the live web seminar, train additional staff and review the material as needed.

Transmission, retransmission or republishing of the audio portion of the web seminar is prohibited. Your registration entitles you to one connection at one location with permission to make copies of materials for participants. Please complete one registration per location.

The **On-Demand Web Seminar** is a live web seminar that has been recorded and then streamed to your computer to watch at your convenience. The program can be viewed anytime 24/7. You can watch a portion, come back and pick up where you left off! Anyone at your branch may access the program from a computer using the login and password. When purchasing an On-Demand Web Seminar, you have unlimited access to the program for 6 months from the date of purchase.

REGISTRATION INFORMATION

Registrations are requested to be submitted three days prior to the date of the web seminar. On-line registrations can be made at <http://www.bankersed.com/CTBANKERS/>. For all other registrations, please complete the attached registration form and send directly to Bankers Ed in advance of the program. Fee information for this program is listed on the registration form. **Payment is expected at the time of registration unless other arrangements are made prior to the event with the CBA.**

Late Registration: Registrations are accepted until the program starts. To ensure timely delivery of materials, etc., please register online when registering **two working days prior** to the broadcast (credit cards, e-checks and invoices accepted). If you would like assistance with online registration, contact 888-262-7701.

Please do not hesitate to contact either Kathy Parks or me if you have any questions about this web seminar.

Very truly yours,

LINDSEY R. PINKHAM
Senior Vice President & Secretary

attachment

CBA WEB SEMINAR

PREPARING FOR YOUR NEXT REGULATORY EXAM

Wednesday, November 4, 2009

2:30 p.m. - 4:30 p.m. (EST)

REGISTER (Each registration entitles you to one connection at one location where an unlimited number of listeners may participate):

Name _____ Title _____

Company _____

Address _____

City _____ State _____ Zip _____

Phone _____ Fax _____ E-mail _____

FOUR WAYS TO REGISTER FOR CBA WEB SEMINARS:

Prior to October 28th

Mail: Complete this form, include payment and mail it to: Bankers Ed: 5700 S. Mopac, #C310, Austin, TX 78749

Anytime Prior to the Program

On-line: Register on-line at <http://www.bankersed.com/CTBANKERS/>

Fax: Complete the registration and credit card information below and fax to: 512-381-1571

Phone: Call 888-262-7701 with credit card information

CBA WEB SEMINAR – PREPARING FOR YOUR NEXT REGULATORY EXAM

Wednesday November 4, 2009 - (Seminar code: SW2-1251)

Web Seminar/Materials (live hookup) \$255 member \$510 non-member

On-Demand Web Seminar/Materials \$275 member \$550 non-member

METHOD OF PAYMENT (check one):

Check made payable to: Bankers Ed

Discover Card MasterCard Visa AMEX

Card Number _____ Exp. Date _____

Security Code (3 or 4 digits on back of card) _____

Signature _____ Amount \$ _____

For registration questions, please contact Bankers Ed customer support at 877-880-1335 or Kathy Parks at the Connecticut Bankers Association parks@ctbank.com or 860-677-5060.

*****Registrations must be sent to Bankers Ed*****

(Seminar code: SW2-1251)