

WE STILL MAKE  
HOUSE CALLS



RISK AND COMPLIANCE  
INFORMATION EXCHANGE



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# INFORMATION EXCHANGE

## How Often Does a Leading Industry Expert Come to You?

At most banks, a comprehensive team of executive officers, managers, and staff are involved in the day-to-day management of risk and compliance. Although training opportunities for these different individuals are available from many sources, **how often do you get the chance to bring the entire team together to discuss the strategy and effectiveness of your bank's risk and compliance programs?**

Sheshunoff Consulting + Solutions (SC+S) is pleased to introduce the Risk and Compliance Information Exchange — a true House Call that brings an industry thought leader in risk management and compliance directly to your bank for a meeting that allows both organizations to gain a mutual understanding of your risk and compliance activities and **our** capabilities to assist with the unique challenges you face.

## The Building Blocks to a Sound Risk Management Program

SC+S believes that sound Enterprise Risk Management doesn't just result in compliance. **It builds a better bank.** The ultimate goal of every bank should be to create a unified view of risks and controls across all business units and processes, establish a common assessment and measurement system, and implement sound policymaking to govern all risk and compliance functions.

## A No-Cost House Call to Check the Health of Your Risk Management Program

During this time of industry-wide regulatory uncertainty, SC+S is offering the Risk and Compliance Information Exchange as a no-cost, four-hour meeting between our team and yours to establish what's working and what

could work better across the scope of your risk and compliance programs. The chart to the right illustrates the different aspects of risk and compliance that every bank must manage not only for compliance, but also for success.

At the close of the session, you will have both a clearer picture of your existing risk and compliance programs and ideas about how to improve going forward.

### Schedule Today!

Because of the highly sought-after nature of this opportunity, the time slots for Risk and Compliance Information Exchange sessions are limited. You can request a time online at [www.smslp.com](http://www.smslp.com) or call **(800) 477-1772** to schedule your session today.

### Who From the Bank Should Attend?

Include the Chief Risk Officer, Chief Financial Officer, Chief Credit Officer, Chief Information Officer, Compliance Manager, BSA Officer, Operational Risk Manager, Security Director, Fraud Manager, Business Continuity Coordinator, SOX Coordinator, General Auditor, and selected Operations Managers.

Risk and Compliance Governance	<ul style="list-style-type: none"> <li>Organizational structure/roles for risk and compliance</li> <li>Board and bank committees</li> <li>Risk and compliance culture</li> </ul>
Credit and Market Risks	<ul style="list-style-type: none"> <li>Loan concentrations and quality</li> <li>Liquidity and interest rates</li> <li>Stress testing portfolios</li> <li>Hot issues from the regulators</li> </ul>
Consumer Compliance	<ul style="list-style-type: none"> <li>Compliance program</li> <li>Risk assessments and audits</li> <li>Hot issues from the regulators</li> </ul>
Compliance and Operational Risk: Anti-Money Laundering and Fraud Prevention	<ul style="list-style-type: none"> <li>BSA, AML, OFAC programs</li> <li>Fraud prevention program</li> <li>Cross-channel fraud and ID theft</li> <li>Risk assessments</li> <li>Technologies</li> <li>Employee training</li> </ul>
Operational Risk: Information Security, Privacy, and Vendor Risk	<ul style="list-style-type: none"> <li>Information security program</li> <li>Data privacy risk assessment</li> <li>Vendor risk assessment</li> <li>Technologies</li> <li>Employee training</li> </ul>
Operational Risk: Business Continuity and IT Recovery	<ul style="list-style-type: none"> <li>BIA assessment and prioritization</li> <li>IT, business unit, and vendor recovery strategies</li> <li>Testing activities</li> <li>Technologies</li> <li>Employee training</li> </ul>

