



**VIRTUAL**

# Compliance Management System (CMS) Essentials

**WHEN**


**April 18, 2024  
9:00 a.m. - 4:00 p.m.**

**WHERE**

**Comfort of your own desk**

Today's financial institutions must have sound compliance management systems (CMS). From making sure everyone is following policies and procedures to training staff to tracking, understanding, and implementing new regulations and predicting the impact of proposed rules, it's a never-ending exercise in organization and education. That's why federal regulators require financial institutions to have a CMS. While each agency has its own definition of a CMS, it all boils down to one simple concept: how a financial institution manages consumer compliance risk. This program provides a practical, risk-based review of the basic requirements of a CMS.

## **TOPICS**

- TA review of the basic requirements of a CMS and tailoring them to your financial institution.
  - How changing regulatory requirements pose a risk if not tracked and managed properly.
  - Breaking down institutional silos to build and maintain a better CMS.
  - Reviewing, testing, and monitoring operations to ensure requirements are working as intended.
  - Training business units.
  - Correcting and preventing consumer harm.
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## ABOUT THE INSTRUCTOR



**Kimberly Boatwright, CAMS, CRCM** is EVP and Director of Risk and Compliance at COMPLIANCE RESOURCE, LLC, and has over two decades of experience in the financial services industry. Ms. Boatwright is a well-regarded financial industry risk and compliance professional with a strong background in program development and implementation. She is a thought leader who specializes in Fair Lending, Anti-Money Laundering, OFAC, and consumer compliance. During her career, she has worked for and consulted with all types of financial institutions, helping to establish and evolve compliance and risk programs. She is a frequent public speaker, trainer, and author on compliance and risk management topics. Kimberly is a Certified Regulatory Compliance Manager and a Certified Anti-Money Laundering Specialist.

### REGISTRATION FEES

**ABA Members:**

Early Registration Price: \$340; After March 21: \$390

**Non-Members:**

Early Registration Price: \$680; After March 21: \$780

**NOTE**

Registration fees are per person, not connection. Please register each person in attendance separately.

### CANCELLATION

Full registration fees will be refunded if a cancellation is received before April 4. No refunds will be given for cancellations made after April 4. All cancellations must be submitted in written format prior to the event.

### VIRTUAL LIVE FORMAT

Attendees will need Internet access and a standard web browser to join this video and web conferencing. They will receive an email with a link to join the virtual meeting, handouts, and any additional information a few days before the event.

You do not need your own Zoom account. You will use the link, meeting ID and password we provide.

- You can log in on a desktop computer, laptop or download the Zoom app on your smart device.
- Internet access
- Audio on computer or a phone line

## COMPLIANCE MANAGEMENT SYSTEM (CMS) ESSENTIALS

APRIL 18, 2024

Bank/Company Name \_\_\_\_\_ Phone \_\_\_\_\_

Registrant Name \_\_\_\_\_ Title \_\_\_\_\_ E-mail \_\_\_\_\_

Registrant Name \_\_\_\_\_ Title \_\_\_\_\_ E-mail \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Registration Contact \_\_\_\_\_ Phone \_\_\_\_\_ E-mail \_\_\_\_\_

### PAYMENT INFORMATION

Charge my:

- Mastercard   Visa 
- American Express   Discover 

Account Number \_\_\_\_\_

Name on Card \_\_\_\_\_

Expiration Date \_\_\_\_\_ CSC Number \_\_\_\_\_

(3-digit security code on back of your card)

Billing Zip Code \_\_\_\_\_

If you would prefer to pay via credit card over the phone, please call the ABA at (501) 376-3741. Please do not email your credit card information.

Note: Non-Members must pay with a credit card or check prior to the event.

**Email:** abigail.johnson@arkbankers.org

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Professional Development Department  
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