



## Compliance Audit Manual

The **Compliance Audit Manual** gives you step-by-step guidelines for developing and conducting a complete compliance audit.

- Internal control questionnaires and audit procedure checklists lead you from program creation through compliance.
- Guidelines are grouped into 12 functional areas, such as the Bank Secrecy Act, compliance program audits, lending and open-end credit accounts, and more.
- Quarterly updates identify revisions in the laws and regulations that might trigger the need for changes in processes, helping you avoid fines and expensive corrective actions.

You'll also receive a supplement with your subscription — **A Review of Consumer Laws and Regulations** — providing detailed summaries of major requirements in the areas of consumer compliance.

Subscribers to the Electronic Edition receive an updated PDF each quarter of both the **Compliance Audit Manual** and **the Review of Consumer Laws and Regulations**.

### PRINTED

3-hole punched paper version (no binder),  
Quarterly Update Service  
Catalog #246250  
First Year  
**Member**

**\$525 List / \$350 ABA**

### ELECTRONIC EDITION

One year of PDF updates,  
emailed quarterly  
Catalog #3005777  
**Member**

**\$350 List / \$250 ABA**

*You will receive an email with your eBooks in 24-48 hours.*

**NOTE:** After the first year, subscribers of both the print and electronic editions will be invoiced at the following annual rates:  
**\$350 List/\$250 Member**

**Compliance is complex, with continuously changing regulations, heightened security issues and evolving technologies. Whether you are an emerging or experienced professional, these comprehensive solutions will help you stay up-to-date on regulatory compliance.**

## Compliance Training for Bank Boards

**Compliance Training for Bank Boards Manual** provides information to assist compliance officers to develop effective bank director training programs to keep boards well-informed on BSA/AML, OFAC, Reg O, and Fair Lending regulations. Includes information on compliance program management and exam preparation so boards can provide adequate oversight and be prepared for the bank's next regulatory exam.

### Compliance Training Topics:

- Effective Compliance Program Management
- Fair Lending
- BSA/AML Training for the Board of Directors
- Insiders and Reg O
- Preparing for the Exam – What You Need to Know – A Director's Perspective

**Each training session includes the following customizable materials:**

- A Board-ready **presentation**
- **Leader's Guide** to conduct each training session
- **Handouts** - short summaries of the Director's responsibilities.

**With Compliance Training for Bank Boards, you will be able to:**

- Educate your Board on their role in providing adequate oversight
- Summarize and cover key components of regulations in 30 minute sessions
- Train and brief your Board before your bank's next regulatory exam
- Educate the Board on new and revised rules that affect bank operations
- Ensure your bank directors' training meets examination requirements

**Compliance Training for Bank Boards** also includes a self-paced online course for the compliance officer, to effectively prepare to deliver the board training sessions, including suggestions for building credibility, and partnering with the Board to gain compliance support for business initiatives.

### PRICING

List \$595 / **\$395 ABA Member**

*This product is accessed through ABA's Learning Management System (LMS). It will be added to your Transcript in the LMS, where you can download the materials.*

## Quick Reference Guide to Banking Laws and Regulations 12<sup>th</sup> Edition

Quickly access jargon-free overviews of 40+ major banking law and regulation — all at your fingertips.

The **Quick Reference Guide to Banking Laws and Regulations** includes:

- Outlines of each law's history, goals, and requirements.
- A cross-referenced table of contents to help you easily locate information by regulation or by statute.
- Extensive glossary of related compliance terms.

The fully revised 12th edition includes the new Pay Day, Vehicle Title, and Certain High-Cost Installment Loans Rule, as well as extensive updates to the Mandatory Arbitration, BSA, and HMDA rules. Updated with all legal and regulatory changes through January, 2018.

### PRINTED

Softbound, 88 pages © 2018

Catalog #3016525

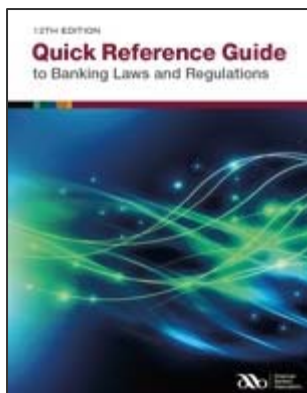
\$99 List / \$69 ABA Member

### eBook\*

Adobe Digital Editions, © 2018

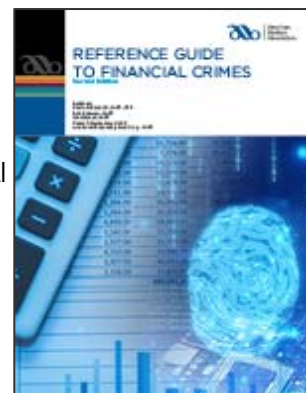
Catalog #3016526

\$99 List / \$69 ABA Member



## Reference Guide to Financial Crimes 2<sup>nd</sup> Edition

The **Reference Guide to Financial Crimes** is a first-of-its-kind, at-the-ready resource, covering the full spectrum of financial crimes — explaining what they are, how they work, and how they impact a financial institution. The fully updated Second Edition has been expanded to address the emerging risk of cyber-enabled crimes threatening U.S. banks in addition to fraud, money laundering, and terrorist financing methodologies.



This practical resource guides financial crimes professionals to think beyond a traditional “silo mentality” and move towards developing collaborations among Bank Secrecy Act (BSA) and anti-money laundering (AML) departments, fraud investigators, and in-house cyber-security units to identify suspicious activity. Discover specific details on current fraud tactics, money laundering activities, terrorist financing schemes, and Cybercriminal approaches through real-life examples and case studies. While not intended to cover the specific regulatory requirements for banks, which are covered in the *FFIEC Bank Secrecy Act/Anti-Money Laundering Examination Manual*, **The Reference Guide to Financial Crimes** explores several importance aspects for strengthening your bank's financial crimes program.

### Knowledge Areas Include:

- Governance and Oversight
- Financial Crimes Methodologies
- Program Strategy
- Monitoring, Detecting, Responding, and Reporting Processes
- Training and Education
- Other Supporting Regulations and Guidance

### Details:

- Table of Contents
- 208 pages

### Audience:

The guide is suitable for Risk Analysts & Managers within the first and second line of defense, including: Financial Crimes Professionals, Bank Compliance Officers, Auditors, and Consultants. It is also a recommended study resource for the *Certified AML and Fraud Professional (CAFP)* exam.

### PRINTED:

\$ 325 List / \$ 245 ABA Member

### eBook\*:

Adobe Digital Editions

\$ 325 List / \$ 245 ABA Member

## ABA Professional Certifications: Individual Recognition. Institutional Impact.

ABA promotes industry excellence and continuous career development for bankers through a wide range of job-specific professional certifications. Developed by experts in the financial services industry, these certifications are acknowledged industry-wide as the symbol of excellence in banking skills and knowledge. ABA Professional Certifications are awarded only to those financial services professionals who pass a rigorous examination and maintain their level of knowledge with ongoing education. See the enclosed flyer for more information on the **Certified Regulatory Compliance Manager (CRCM)** and **Certified AML and Fraud Professional (CAFP)** designations.

## Reference Guide to Regulatory Compliance

The **Reference Guide to Regulatory Compliance** is an ideal resource for compliance managers, department staff, product managers, and retail branch banking managers. The Guide is updated annually, giving you timely and relevant updates at your fingertips.



### Updates to the 28th Edition include:

- Final HMDA rule (8/17)
- Finalized TRID rules and corrections
- OFAC updated
- Reg CC
- Remote Deposit Capture
- Reg J check processing liability changes

The Guide is a recommended study resource for the *Certified Regulatory Compliance Manager (CRCM)* exam, with self-study and review questions and answers, and a cross-reference of book sections to exam topics.

### PRINTED

3-hole punched  
paper version (no binder)

© 2017

Catalog #3015092

\$495 List / **\$350 ABA Member**

### eBook\*

Adobe Digital Reader

© 2017

Catalog #3015093

\$495 List / **\$350 ABA Member**

### \*eBook Option:

For eBook option, you will receive an email within 24 hours of the eBook becoming available with access instructions. To download and view, you will need to register your copy and download Adobe Digital Editions software.

## ABA Certificate in BSA and AML Compliance

Financial institutions face increased risk from advanced money-laundering schemes and terrorist financing activities. It is critical that banks hire and train individuals who can establish and maintain an effective BSA/AML program. The ABA Certificate in BSA and AML Compliance will help financial crimes professionals improve their ability to detect and prevent suspicious and criminal activity by providing an overview of the types of criminal behavior commonly used against banks, and in-depth training on the applicable U.S. laws and regulations governing money-laundering. This certificate is an excellent refresher for experienced financial crimes professionals who wish to take the Certified AML and Fraud Professional (CAFP) exam, and may be required for those individuals with less than five years experience in the field.

### Required Courses:

Introduction to BSA/AML

SARs and Information Sharing

Currency and Correspondent Banking Accounts

Electronic Banking and Funds Transfer Activities

Higher Risk Accounts and Activities

BSA Requirements for Business Accounts

BSA Requirements for Foreign Customers and Accounts

Components of an AML Compliance Program

International Partners in AML

Office of Foreign Assets Control (OFAC) for Compliance Professionals

**Estimated time to complete these 10 courses:** approximately 7 hours

**FEE / \$1,595**

## ABA Certificate in Fraud Prevention

Fraud management professionals face an increased burden to detect and prevent fraud losses against customers and their institution. The ABA Certificate in Fraud Prevention fills a training gap within many institutions and helps both new and experienced financial crimes professionals establish and maintain a fraud management program with sufficient Internal and external controls. It provides in-depth training on the applicable U.S. laws and regulations governing fraud and an overview of the various types of criminal behavior commonly used against banks. The ABA Certificate in Fraud Prevention is an excellent refresher for experienced financial crimes professionals who wish to take the Certified AML and Fraud Professional (CAFP) exam, and may be required for those individuals with less than five years experience in the field.

### Required Courses:

Introduction to Fraud Management

Establishing a Fraud Prevention Program

Types of Fraud and Prevention Strategies

Operating a Fraud Prevention Program

Maintaining a Compliant Fraud Prevention Program

**Estimated time to complete these 5 courses:**

approximately 5 hrs and 20 min

**FEE / \$795**

## ABA Certificate in Deposit Compliance

Gain a thorough understanding in key deposit regulations, and the ability to identify and respond to compliance requirements. Study at your own pace and get unlimited access to all course content for 12 months - including and updates on new issuances and regulation changes made within that year.

### Required Courses:

- Anatomy of a Regulation
- BSA/USA Patriot Act
- Digital Compliance
- Electronic Funds Transfer Act (Reg E)
- Elements of a Compliance Program
- Expedited Funds Availability Act (Reg CC)
- Office of Foreign Assets Control (OFAC)
- Privacy/Information Sharing
- Reserve Requirements for Depository Institutions Act (Reg D)
- Truth-in-Savings Act (Reg D)
- Unfair, Deceptive or Abusive Acts or Practices (UDAAP)

**Estimated time to complete these 11 courses:** approximately 12 hours

**FEE / \$1,595**

[See Insert for more information](#)

## ABA Certificate in Lending Compliance

Demonstrate to bank management and examiners you have a thorough grounding in key lending regulations, and the ability to identify and respond to compliance requirements. This is a complete 17-course curriculum that you can access for 12 months at your own pace; no other online lending compliance curriculum offers this advantage. The certificate includes any updates on new issuances and regulation changes made within that year.

### Required Courses:

- Anatomy of a Regulation
- Community Reinvestment Act, Community Bank (CRA) **OR** Community Reinvestment Act, Large Bank (CRA)
- Credit Card Regulations
- Elements of a Compliance Program
- Equal Credit Opportunity Act (ECOA) Reg B
- Fair Credit Reporting Act (FCRA)
- Home Mortgage Disclosure Act (HMDA)
- Loans to Insiders (Reg O)
- National Flood Insurance Regulations
- Real Estate Settlement Procedures Act (RESPA)
- Reg Z Ability to Repay (ATF) and Qualified Mortgage (QM)

**Estimated time to complete these 15 courses:** approximately 28 hours

**FEE / \$2,195**

[See Insert for more information](#)

## ABA Certificate in Operational Risk Management

Banks are continuously improving their approach to manage key operational risks such as cyber attacks, fraud losses, third-party service providers and model risk. Address training needs across the bank's three lines of defense and maintain a strong operational risk management program. Understand the fundamental governance structures, procedures, controls, and cultural aspects necessary for an institution to successfully manage operational risk.

### Required Courses:

- Elements of an Operational Risk Management Program
- Cybersecurity Management
- Fraud and Criminal Threats
- Incident Management and Resilience
- Operational Risk Model Management
- Oversight and Management of Operational Risk
- Payments and Settlements
- Physical Security
- Regulatory Exam Management
- Risk Control and Self Assessment
- Vendor Risk Management

**Estimated time to complete these 11 courses:** approximately 10 hours

**FEE / \$1,595**

## ABA Certificate in Risk Management Frameworks

New in risk management training, this certificate includes nine courses covering the entire risk management lifecycle. Each course walks through a critical process in sufficient detail for a targeted, yet integrated view of risk management activities vital to an institution, such as establishing an effective governance process followed by risk identification, measurement, evaluation, monitoring, controls and reporting.

### Required Courses:

- Introduction to Enterprise Risk Management
- Board and Senior Management Oversight
- Enterprise Risk Management Reporting
- Risk Policies, Procedures, and Limits
- Risk Management Control Framework
- Risk Identification
- Risk Measurement and Evaluation
- Risk Mitigation
- Risk Monitoring

**Estimated time to complete these 9 courses:** approximately 8 hours

**FEE / \$1,395**





# Online Training for Compliance Professionals

**ABA Online Training for Compliance Professionals** offers flexible, affordable access to the content of the lending and deposit modules — shaped and taught by expert faculty — found at ABA's prestigious Compliance Schools. Our interactive courses are designed to meet the needs of bank staff completely new to regulatory compliance and experienced compliance officers looking to hone existing skills.

## Online Training for Compliance Professionals - \$275 per course

Anatomy of a Regulation for Compliance Professionals  
BSA/USA Patriot Act for Compliance Professionals  
Community Reinvestment Act, Community Bank (CRA) for Compliance Professionals  
Community Reinvestment Act, Large Bank (CRA) for Compliance Professionals  
Credit Card Regulations for Compliance Professionals  
Digital Compliance for Compliance Professionals  
Electronic Funds Transfer Act (Reg E) for Compliance Professionals  
Elements of a Compliance Program for Compliance Professionals  
Equal Credit Opportunity Act (ECOA) for Compliance Professionals  
Expedited Funds Availability Act (Reg CC) for Compliance Professionals  
Fair Credit Reporting Act (FCRA) for Compliance Professionals  
Federal Flood Insurance Regulations for Compliance Professionals  
Good Faith Estimate and HUD-1 for Compliance Professionals  
Home Mortgage Disclosure Act (HMDA) for Compliance Professionals  
Loans to Insiders (Reg O) for Compliance Professionals  
Office of Foreign Assets Control (OFAC) for Compliance Professionals  
Privacy/Information Sharing for Compliance Professionals  
Real Estate Settlement Procedures Act (RESPA) for Compliance Professionals  
Reg Z Ability to Repay (ATR) and Qualified Mortgage (QM) for Compliance Professionals  
Reg Z Closed-End Credit for Compliance Professionals  
Reg Z Open-End Credit for Compliance Professionals  
Reserve Requirements for Depository Institutions Act (Reg D) for Compliance Professionals  
Servicemembers Civil Relief Act (SCRA) for Compliance Professionals  
Truth-in-Savings Act (Reg DD) for Compliance Professionals  
Unfair, Deceptive, or Abusive Acts or Practices (UDAAP) for Compliance Professionals

**Let ABA's experts train you or your team on key regulations – all without leaving the bank. Choose between individual courses or take advantage of the certificate options and save.**

## KEY BENEFITS

- Gain core lending and deposit regulation expertise
- Available on-demand
- Self-paced courses fit your schedule
- One-year access to course content as regulations change, course content changes
- Earn an industry-recognized certificate
- Earn credits toward the CRCM certification

# Compliance & Risk Management Resources

## 2019 ORDER FORM

### CONTACT INFORMATION

Name			Title				
Company Name			Phone				
Company Address	City		State		Zip		
Email	Supervisor's Initials			Billing Authorization Initials			

### BILLING INFORMATION

Please Bill Our Bank <input type="checkbox"/>	A Check Is Enclosed <input type="checkbox"/>	Student Signature	
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Compliance Resources :	Price and Format Information:	
<b>Compliance Audit Manual</b>	<b>Printed:</b> <input type="checkbox"/> List \$525 <input type="checkbox"/> ABA Member \$350 <b>Electronic:</b> <input type="checkbox"/> List \$350 <input type="checkbox"/> ABA Member \$250	Quantity of Printed Requested: _____  Quantity of Electronic Requested: _____
<b>Compliance Training for Bank Boards</b>	<input type="checkbox"/> List \$595 <input type="checkbox"/> ABA Member \$395	Quantity Requested: _____
<b>Quick Reference Guide to Banking Laws and Regulations – 12<sup>th</sup> Edition</b>	<b>Printed:</b> <input type="checkbox"/> List \$99 <input type="checkbox"/> ABA Member \$69 <b>Electronic:</b> <input type="checkbox"/> List \$99 <input type="checkbox"/> ABA Member \$69	Quantity of Printed Requested: _____  Quantity of Electronic Requested: _____
<b>Reference Guide to Financial Crimes – 2<sup>nd</sup> Edition</b>	<b>Printed:</b> <input type="checkbox"/> List \$325 <input type="checkbox"/> ABA Member \$245 <b>Electronic:</b> <input type="checkbox"/> List \$325 <input type="checkbox"/> ABA Member \$245	Quantity of Printed Requested: _____  Quantity of Electronic Requested: _____
<b>Reference Guide to Regulatory Compliance</b>	<b>Printed:</b> <input type="checkbox"/> List \$495 <input type="checkbox"/> ABA Member \$350 <b>Electronic:</b> <input type="checkbox"/> List \$495 <input type="checkbox"/> ABA Member \$350	Quantity of Printed Requested: _____  Quantity of Electronic Requested: _____

<b>ABA Certificate in BSA and AML Compliance</b>	<input type="checkbox"/> \$1,595	Name	
		Email	
<b>ABA Certificate in Fraud Prevention</b>	<input type="checkbox"/> \$795	Name	
		Email	
<b>ABA Certificate in Deposit Compliance</b>	<input type="checkbox"/> \$1,595	Name	
		Email	
<b>ABA Certificate in Lending Compliance</b>	<input type="checkbox"/> \$2,195	Name	
		Email	
<b>ABA Certificate in Operational Risk Management</b>	<input type="checkbox"/> \$1,595	Name	
		Email	
<b>ABA Certificate in Risk Management Frameworks</b>	<input type="checkbox"/> \$1,395	Name	
		Email	
<b>Online Training for Compliance Professionals</b>	<input type="checkbox"/> \$275 each	Name	
		Email	
		Class	

### HOW TO REACH US:

	TOTAL DUE
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