Records Management and Retention: Can a Program be Comprehensive and Efficient at the Same Time?

A web-based seminar

Tuesday, August 31st, 2010,
9:00 AM–11:00 AM Mountain

WYOMING BANKERS ASSOCIATION
200 East 8th Ave.
P.O. Box 2190
Cheyenne, Wyoming 82003
(307)638-5008   FAX(307)638-5013

Program Content:

The Institute of Certified Bankers™(ICB) is dedicated to promoting the highest standards of performance and ethics within the financial services industry. This webinar has been approved for 2.5 CRCM credits.

Retention and management of records is more complicated than just deciding what to keep and for how long. In what form should records be kept? Should we keep more than what the regulations require? If so, what? What about possible litigation needs? Examiner expectations must be met, of course, but other parties, such as law enforcement, auditors, and of course your customers, to name just a few, may require access to information, as well.

To manage an effective program in a cost-effective manner, compliance professionals must rely on information from a broad range of resources within the organization. Records management is the point of convergence of these resources, which is why effective and reliable records management must be part of your Compliance Program.

Covered Topics:

- What types of information constitutes a record that we should retain?
- Where can I look for retention requirements?
- Are there best practices we can follow?
- How can I set up or enhance our bank's records management program?
- What are the risks involved in records retention?
- What should an effective and comprehensive program look like?
- How should the program be organized? What is a taxonomy hierarchy, for instance?
- Litigation needs – how does this process factor in?
- Destruction of records and information – when and how should this be done?

This will be an interactive session with several opportunities for questions and answers, so come prepared to discuss your needs and issues.

Presenter:

Carl Pry is a Certified Regulatory Compliance Manager (CRCM) and Certified Risk Professional (CRP) who is a Vice President and Compliance Manager for a large financial institution in Ohio. Through his working career, as well as through his experience as a banking attorney and officer, he has provided a variety of regulatory compliance and financial performance services to financial institutions and other clients throughout the country. He has written extensively regarding consumer and commercial compliance, tax, audit, and financial institution legal issues, and is a frequent contributor to and currently serves on the Editorial Advisory Board for the ABA Bank Compliance magazine. He has spoken at dozens of banking, compliance, and state bar associations, and has conducted training sessions for financial institutions across the country.

Who Should Attend:

Anyone involved in the creation, management, and destruction of information and records will benefit from the knowledge and information shared in this session, including compliance officers, auditors, information security and management, IT personnel, senior management, bank counsel, operations, privacy, and others with a vested interest to ensure a cost-effective and comprehensive records management program.

Registration Fee:

$255 per web connection, per session. Additional branches will receive a reduced rate of $150!

Cancellation Policy:

Refunds will be given only for cancellations received in written form 3 business days prior to the program. If your bank is unable to participate after registering, you can also select to receive an audio CD plus a special password to see the information online of the seminar at no additional charge.

If you are unable to attend the webinar but would like to have this information for training purposes, you may also purchase an audio CD, handout materials and a password to view the information online.

Name: ______________________________

Bank: ______________________________

Address: ______________________________

City, State, ZIP: ______________________________

Phone: ______________________________

***Email Address:** ______________________________

**Please include an email address as this is how your webinar materials will be delivered to you.*

Please check one of the following:

☐	Web connection	$255
☐	Additional connection for a branch	$150
☐	Only audio CD and materials	$255
☐	Web connection and audio CD plus materials	$375

Ways to Register:

ONLINE: www.bankwebinars.com
FAX: (800) 831-3776
PHONE: (800) 831-0678
MAIL: TTS, PO Box 310, Waunakee, WI 53597
Please Do Not fax registrations to the Wyoming Bankers Association

Method of Payment:

☐ Please invoice our bank
☐ Check made payable to TTS
☐ Mastercard ☐ Visa
Card Number: ______________________________
Expiration Date: ______________________________
Signature: ______________________________

For assistance, please call Cheryl Johnston, (307)638-5008