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4 Managing Your Next Examination: You Got This!

BY MARK DABERTIN, ESQ., AND TOM PAREIGAT, J.D.

Examinations can be especially stressful for compliance staff. This article provides some guidance in how to best prepare yourself and your staff for your next supervisory event.



10 Harnessing Technology to Automate Monitoring and Testing

Mowing Down Compliance Errors Through Automation

BY MAJOR SANDIN AND LAURA FOOTE

Harnessing the power of emerging technologies makes the economics of automating compliance functions and business processes too compelling for financial institutions to ignore. Here we discuss levels of automation with varying degrees of sophistication and cost, in addition to factors to consider and examples of each.



18 How to Avoid Credit Reporting Compliance Pitfalls

BY EMILY MORRISSEY, CRCM, AND PAUL R. OSBORNE, CPA, AMLP, CAMS-AUDIT

Considering that mistakes on credit reports can lead to higher credit costs for consumers—or denial of jobs or mortgages—it is critical that banks report data accurately. Here we discuss periodic reviews, policies and procedures, to ensure continued effectiveness given the nature, size, complexity and scope of your bank's activities.



26 Elevating the Management of Conduct Risk

BY BARBARA BOCCIA, J.D., CRCM

How the risk of misconduct is managed should be a priority. Here you'll find the key evolving concepts, strategies and expectations for integrating elements of a Conduct Risk Program into your Compliance Management System.



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