



RURAL BANKERS RESEARCH AND DEVELOPMENT FOUNDATION, INC.

2/F RBAP Building, Andres Soriano Jr. Avenue corner
Arzobispo St., Intramuros, Manila
Telephone Nos.. 527-2972 ● 527-2968 ●
Telefax Nos.. 527-2980 ● 527-2969
training@rbap.org - www.rbap.org

Compliance Officer's Development Program

Date: Aug 29-30, 2013 (Thursday – Friday)

Time: 8:30am to 5:30pm

Venue: Gov. Licaros Hall, RBAP Bldg.,
Intramuros, Manila

Resource Person: Nomer Crisostomo, CPA
Internal Auditor, InterAsia Dev. Bank-
Consultant/ Trainer and Entrepreneur

Seminar Fee:

1. **Early bird** – P4,000 (on or before Aug 09, 2013)
2. **Regular Rate** – P4,400 (After Aug 09, 2013)
3. **Non-Member/Delinquent** – P5,280.00

Mode of Payment

- ✓ A Non-Refundable commitment fee of P1,200.00 per participant.
- ✓ Bank account (**LBP – Intramuros Branch Savings Account Number 0012-1046-26**).
- ✓ Proof of payment fax to (02) 527-2980.
- ✓ **Check payments, should be payable to (RBRDFI).**

Training Policies:

1. Reserve first with RBAP-RBRDFI your training slot, and wait for RBAP-RBRDFI confirmation of your reservation. Thereafter, you may deposit the Registration Fees, book ticket (airline) and secure accommodations.

RBAP-RBRDFI will not be responsible for any damage caused by unconfirmed reservation (s).

Likewise, once training is FULL, RBAP-RBRDFI has the right to refuse participation or reimbursement on any damage brought by unconfirmed reservations.

Deadline for submission of registration is not later than **August 27, 2013**.

2. Reservation via telephone conversation is accepted. However, Registration Form and fee must be settled 10 days prior the seminar date or **August 19, 2013**. Otherwise, reservation is considered cancelled.

3. Cancellation Policy: - This will apply to non-subsidized training fee.

a) 10 days prior the seminar date is entitled for a full refund. *Regular Rate only

b) 3 days prior to the seminar date is entitled for a half refund * Regular Rate only

c) Participants who have paid but failed to show up for the seminar will only be entitled to a rebate of 50% of the total registration fee. (Regular Rate only)

d) For special cases (health, accident etc.), kindly coordinate with RBRDFI staff for refund procedures and requirements.

Course Objective:

In general, all business activities are faced with the reality of having to contend with various risks, and the banking industry is not an exemption to this rule. Compliance risk exposes the banks to fines, civil penalties, payment of damages and the voiding of contracts. It is for these reasons that the Monetary Board in its Resolution No. 116 issued Circular 747 re Revised Compliance Framework for Banks.

1. To guide the banks in adhering to all applicable and related laws issued by the regulatory bodies (BSP, PDIC, SEC, etc.);
2. To ensure that Bank comply with the provision of BSP Circular 747 by reviewing/improving their existing compliance program/manual and make them adequate in every aspect; and
3. To discuss the reports to be tested and the subsequent reporting of the results of compliance testing.

Seminar Methodologies

Lecture, Discussions and Case Studies

Expected Participants

Compliance Officer, Senior, President, & Middle Level Officers / Internal Auditors

Course Outline

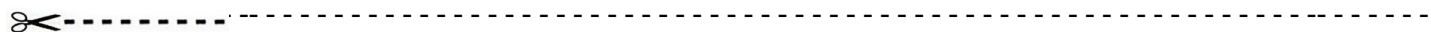
First Day

- ✓ Brief Discussion of BSP Circular 747
- ✓ Review of the bank's existing Compliance Manual Framework
- ✓ Identification of business risks and corresponding measure to mitigate the risks
- ✓ Organizational Structure
- ✓ Duties and Responsibilities of the Chief Compliance Officer

- ✓ Board and Senior Management Oversight
- ✓ Procedures to ensure integrity and accuracy of documentary submission
- ✓ Corrective Process
- ✓ Discussion of Major Local Laws and Regulations Applicable to Banks
- ✓ Monetary and Non-Monetary Sanctions for non-compliance to BSP Rules and Regulations and regulatory bodies

Second Day

- ✓ Plans and Programs of the Compliance Officer
- ✓ Sample Plans/Activities to be performed
- ✓ The Compliance Matrix
- ✓ Compliance Testing
- ✓ Reporting of the results of Compliance Testing
- ✓ Compliance tracking (validation)
- ✓ Preparing for the BSP General Examination
- ✓ Possible GE Exceptions – Compliance



CONFIRMATION SHEET

Compliance Officer's Development Program

August 29-30, 2013 (Thu-Fri) – Gov. Licaros Hall, RBAP Bldg., Intramuros

For your reservation, please coordinate to RBRDFI Training Officers Mr. Ace M. Calang /Ms. Grace Dimapilis / Ms. Jesica Cepeda Contact details: (02) 527-2969, 527-2980; 09178374604; 09178374603; 09178374599
Emails: training@rbap.org, grace@rbap.org cepedajesica_rbap@yahoo.com

Name	Designation	Nick-name	Degree and Year Graduated
1.			
2.			
3.			
4.			

(Printed Name and Signature) Date: _____

Designation: _____ Rural Bank : _____
Telephone: _____ Province : _____
Mobilephone: _____ Address : _____
Email address: _____