

PRINGLE® Compliance Policies & Audit Procedures— National Banks (regulated by the OCC)

PRINGLE Compliance Policies & Audit Procedures is an electronic documentation resource providing an effective means to set up and maintain a comprehensive set of compliance policies and audit procedures. It contains all of the policies and procedures necessary to meet the requirements of a federal compliance exam.

PRINGLE Compliance Policies & Audit Procedures offers:

- Ready-to-use policies and audit procedures—right out of the box.
- Simple, easy-to-follow format to conveniently review applicable regulatory requirements.
- Delivery on CD-ROM.
- Software compatibility with Microsoft® Word for Windows®.
- Instructional tools (for the board of directors and compliance officers) to assist in implementation.
- Operations manual for easy reference.

How you can benefit from using PRINGLE Compliance Policies & Audit Procedures:

- You'll receive comprehensive information on the areas of law expected to be covered in a federal compliance exam as regulated by the Office of the Comptroller of the Currency (OCC).
- You'll save time researching and developing policies.
- You'll have immediate access to policies, procedures, and legal citations.
- You'll receive regular updates to keep your documentation current.
- You'll receive valuable audit check lists to help you verify compliance.
- You'll receive periodic informational newsletters; toll-free software and legal support; and optional implementation, training, and auditing assistance (this optional assistance is priced separately).

General Policies and Procedures

Bank Bribery Act and Conflicts of Interest
(Code of Conduct)

Bank Secrecy Act, Anti-Money Laundering, and
Customer Identification

Branch Closing

Consumer Complaints

Consumer Protections for Sales of Insurance
and Retail Securities Brokerage

Emergency Preparedness, Business Recovery,
and Corporate Contingency Planning

Fair Credit Reporting Act

Financial Disclosure

Internal Compliance Review

Internet Banking Consumer Disclosures

Privacy, Suspicious Activity Reports,
and Subpoenas

Safeguarding Customer Information and
Information Security

Security Procedures

Lending Policies and Procedures

Affiliates Act

Community Reinvestment Act

Consumer Leasing (Regulation M)

Credit Practices (Regulation AA)

Equal Credit Opportunity Act (Regulation B)
and Fair Lending

Fair Debt Collection Practices Act

Lending Policies and Procedures cont.

Fair Housing Act

Flood Disaster Protection Act

Home Mortgage Disclosure Act (Regulation C)

Insider Borrowing (Regulation O)

Real Estate Appraisals

Real Estate Settlement Procedures Act

Truth-in-Lending Act (Regulation Z)

Deposit Policies and Procedures

Truth-in-Savings Act (Regulation DD)

Electronic Fund Transfer Act (Regulation E)

Expedited Funds Availability Act and Check 21 Act
(Regulation CC)

Utilities

Abbreviated Audit

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Monthly Compliance Report to Board of Directors

Organizational Chart

Resolution of the Board of Directors

Review Questions

To see an online demo of the PRINGLE® Compliance Policies & Audit Procedures solution, visit www.WoltersKluwerFS.com/pringle-demo.

For more information, visit our web site at www.wolterskluwerfs.com, contact your Wolters Kluwer Financial Services | Bankers Systems Account Representative, or call us toll free at 1-800-552-9410.

