



## Professional Compliance Officer Certificate

Clients are demanding personal service and our "Professional Compliance Officer Certificate" will teach your employees how to enhance the critical conversation skills of personal bankers- Presence, Relating, Listening, Questioning, Positioning and Checking.

**Original Price: USD 999**

### Course Details

- **Banking: Organization and Regulation**

**Duration: 60 Min**

**Code: 20064**

Explore the management structure of a typical bank and how job titles are used to show levels of authority. Discover what regulatory agencies are associated with the banking industry and how the industry is structured.

- **Banking: Products and Services**

**Duration: 120 Min**

**Code: 20063**

The more knowledge an employee has about their institution's products and services, the more successful he/she will be at selling, lending, or assisting customers with those products! After completing this course, you'll be able to identify a financial institution's three primary services; deposit and loan products and services offered, payment procedures and services, and other specialized financial services.

- **Banking: An Introduction**

**Duration: 90 Min**

**Code: 20062**

This course defines the various types of financial institutions. In this course, you'll also determine how financial institutions make money, recognize the evolution of banking, and understand your role at your financial institution.

- **Bank Security: An Overview**

**Duration: 30 Min**

**Code: 20066**

This program examines the importance of security procedures and the minimum security required by regulators and outlines additional security measures.

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- **Bank Security: Safety Procedures**

**Duration: 60 Min**

**Code: 20067**

This program covers the security related to the opening, closing and daily operations of your institution. You also will determine ways to secure drive-up and ATM locations and identify daily operational threats and concerns. It also addresses what you can do to insure your personal security.

- **Business Banking Solutions**

**Duration: 90 Min**

**Code: 20326**

This course outlines the four major groups of services financial institutions provide to business customers. By exploring cash management solutions, you can help your customers better manage their finances. With investment solutions, you can help business customers invest their resources to generate additional capital and income. With credit solutions, you can help customers apply, obtain and administer credit; while merchant solutions discuss ways you can help clients optimize payment receipts from their customers.

- **Cybercrime Essentials for Financial Institutions**

**Duration: 15 Min**

**Code: 20360**

If you don't know how to protect yourself, cybercrime can cost your institution millions of dollars each year. Upon completion of this course, users will be able to explain how the cyber black market operates and just how much cybercrime affects an organization's bottom line. In addition, users will recognize how sensitive information is compromised and identify 10 ways to protect themselves and their organization.

- **Data and Records Retention Essentials for Financial Institutions**

**Duration: 30 Min**

**Code: 20370**

Upon completion of this course, you'll be able to determine why we retain certain types of data, identify the type of records to retain, where to retain them, and the duration they should be retained. In addition, you'll be able to describe the types of destructible data and proper destruction methods.

- **Defense Against Social Engineering: Impersonation**

**Duration: 30 Min**

**Code: 20367**

Upon completion of this course, you'll be able to determine the goal of impersonators and identify the common roles they assume, explain typical ways impersonators carry

out social engineering attacks, and recognize how to defend your institution from social engineering impersonation.

- **Defense Against Social Engineering: Phishing**

**Duration: 30 Min**

**Code: 20366**

Upon completion of this course, you'll be able to identify how phishing applies to your financial institution, recognize the types of phishing attacks, including malicious websites and email attacks, and determine how you can play a role in protecting your institution from phishing.

- **Defense Against Social Engineering: Pretexting**

**Duration: 30 Min**

**Code: 20368**

Upon completion of this course, you'll be able to describe the role of trust in pretexting, identify common pretexts, summarize the stages of hypothetical pretext, and determine how to protect your institution from pretexting.

- **Email Security for Financial Institutions**

**Duration: 30 Min**

**Code: 20361**

Think of all the emails you send each day — how do you know they are secure? Upon completion of this course, you'll understand why emails at your financial institution need to be secure. In addition, you'll be able to identify how to mitigate threats to email such as viruses, spam, and worms and apply tips and email security tools that will help to decrease risk at your institution.

- **Hot Topics: Dodd-Frank Update**

**Duration: 30 Min**

**Code: HT2011Q4**

This course is first in a series of "Hot Topics" courses designed to keep financial institution staff up-to-date on the quickly changing regulatory landscape. This particular course addresses the impact that the Dodd-Frank Act has had, and is having at its one-year point, and the agencies tasked with carrying out its provisions.

- **Identity Theft: Minimize the Risk**

**Duration: 60 Min**

**Code: 20037**

This course gives employees the skills required to ensure your customers' sensitive information is kept secure. The course explores the different types of sensitive customer information, types of identity theft schemes, high-risk account activities and steps financial institution employees can take to safeguard customer information.

- **Identity Theft Red Flags: Duties of Financial Institutions and Creditors**

**Duration: 60 Min**

**Code: 20328**

It is important for all employees to understand the regulations designed to safeguard consumers and institutions from identity theft. This course will help you recognize identity theft red flags; identify the requirements of an institution to develop, implement, and maintain an identity theft prevention program; determine the procedures required for credit report users when confronted with a notice of address discrepancy from a consumer reporting agency; and apply appropriate methods for issuing credit or debit cards when confronted with an address change.

- **Internet Security Essentials for Financial Institutions**

**Duration: 30 Min**

**Code: 20365**

Utilizing the internet in some form is an essential part of most business activity. Understanding the risks and how to be secure in using the internet reduces the likelihood of an information security breach. Upon completion of this course, users will have a better understanding of the vulnerabilities inherent in “Web 2.0” technologies, protective measures that you can utilize and how to access the internet with greater safety and security.

- **Marketing: Understanding the Regulations**

**Duration: 60 Min**

**Code: 20339**

There are so many provisions that affect marketing teams throughout various regulations! This course includes all those rules in one place and will help guide your financial institution’s marketing team in the right direction by explaining each of the regulations that affect the way you advertise to consumers.

Starting with an explanation of the basics of advertising, this course also details:

- ✓ The way that you advertise such as with signs and lobby notices, or with direct mail, telephone and electronic solicitations
- ✓ Lending guidelines, for open and closed end credit, as well as charge cards
- ✓ Opening deposit account advertising, such as disclosing APYs in consumer deposit account ads
- ✓ Consumer privacy rules
- ✓ Rules around sharing consumer report information and the disclosures that are involved in that.
- ✓ Non-insured investment products
- ✓ Prohibitions that protect consumer rights, such as Do-Not-Call rules, CAN-SPAM, and the Junk Fax Prevention Act.

- **New Hire: Game Show!**

**Duration: 45 Min**

**Code: 20402**

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Reinforcement is a key component for learning retention on the job. The New Hire Game show is specifically designed to reinforce general banking knowledge acquired through the new hire training process. Specially built for classroom or single user settings, this “Who Wants to Be a Millionaire?”-style course was developed to test employee knowledge regarding all facets of New Hire training, with questions on topics ranging from money handling to financial institution organization and regulation. This course also includes an instructional guide and printable scoring sheets for the host to help conduct the classroom session.

- **Online Threat Defense for Financial Institutions**

**Duration: 30 Min**

**Code: 20369**

Upon completion of this course, users will be able to recognize how to avoid security issues in web browsers, explain the hacking technique known as Cross-Site Scripting, identify issues related to URL security, and differentiate between online threats and methods of defense.

- **Password Security for Financial Institutions**

**Duration: 30 Min**

**Code: 20362**

Upon completion of this course, users will determine how to keep passwords safe, how passwords are cracked, how to tell if a computer has been compromised, and what to do in case this occurs.

- **Preventing Identity Theft**

**Duration: 30 Min**

**Code: 20327**

The best way to solve the problem of identity theft is to prevent it from happening at your financial institution. A keen understanding of information security guidelines can protect your customers, your institution and your institution’s reputation.

This course can help your financial institution become proactive regarding the following topics:

- ✓ The definition of identity theft
- ✓ Which types of customer information to protect
- ✓ How to detect identity theft
- ✓ Common scams and how to prevent identity theft in six steps with the S.E.C.U.R.E. method

- **Privacy Compliance: Protecting Consumer Financial Information**

**Duration: 120 Min**

**Code: 20033**

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The mounting focus on consumer privacy resulted in the Gramm-Leach-Bliley Act. Effectively handling, disclosing, and safeguarding nonpublic personal information protects not only consumers and customers, but your institution. This in-depth course provides thorough coverage of privacy terms and definitions (consumer vs. customer, nonpublic personal information, opting out), explanations of how to establish a privacy compliance program, and tips on how to construct accurate disclosure statements.

- **Retail Banking Basics**

**Duration: 120 Min**

**Code: 20300**

Every employee needs to know how financial institutions meet customer needs. This course will help you identify four common categories of financial needs and determine the major features and benefits of savings accounts, checking accounts, and Certificates of Deposit. Additionally this course will enable you to differentiate among Traditional IRAs, Roth IRAs, Coverdell Educational Savings Accounts, Keoghs, SEPs, and SIMPLEs, identify four categories of loans, and recognize the six categories of electronic banking services.

- **Robbery Training**

**Duration: 90 Min**

**Code: 20322**

This course familiarizes employees with measures that can prevent robberies, actions to take during a robbery and the five essential post-robbery actions. Students will learn the characteristics of the three types of robberies and the five general description categories that should be observed during a robbery.

- **Robbery: Before, During and After**

**Duration: 30 Min**

**Code: 20110**

This course will give employees the foundation necessary to protect your institution and your customers from a bank robbery. With actual surveillance photos, this course includes real-life examples and applications.

Also covered:

- ✓ The importance of robbery training
- ✓ Preventing a robbery
- ✓ Steps to take during and after a robbery
- ✓ Ways to protect yourself and those around you

- **SAR: Be on Guard**

**Duration: 30 Min**

**Code: 20083**

This course provides frontline employees with examples of situations that warrant the completion of a SAR. This course also briefly covers the five separate parts of SAR and how to correctly file the report.

- **SAR: Essentials for Operations**

**Duration: 30 Min**

**Code: 20205OPS**

Although operations personnel seldom interact with the customers they service, their role in detecting suspicious activity is essential. In addition to introducing back office employees to various scams they may encounter, this course covers how to identify suspicious transactions and the requirements for reporting suspicious activity. This course also helps you recognize the importance of keeping SAR confidential and the importance of providing complete and accurate information when reporting suspicious activity.

- **SAR: Lender Awareness**

**Duration: 30 Min**

**Code: 20205LEN**

Lenders have face-to-face contact with customers each day, putting them in a unique position to detect suspicious activity. Designed with the lenders' specific job functions in mind, this program teaches lenders to recognize suspicious activity and when to report it. Lenders will also learn the importance of providing complete and accurate information when completing a SAR, and the significance of maintaining strict confidentiality regarding these reports.

- **SAR: Management's Involvement**

**Duration: 30 Min**

**Code: 20205MGT**

As FinCEN becomes increasingly inundated with "defensively filed" SAR, management needs to recognize the importance of filing complete, accurate and detailed reports. Created with management's responsibilities in mind, this course explains how to establish an institution wide "culture of compliance," offers guidance on what constitutes reportable activities or transactions, covers the various sections of the SAR, details recordkeeping and confidentiality requirements, and provides true-to-life case studies for each suspicious activity characterization.

- **SAR: Tellers on the Alert**

**Duration: 30 Min**

**Code: 20205TEL**

Given the high volume of customers served by tellers each day, you can imagine how these employees could easily overlook or ignore suspicious activity. This course familiarizes tellers with the types of financial crimes or unusual transactions they will likely encounter in their daily routine and how to effectively handle them. Also included

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is instruction on the purpose and necessity of SAR, and the importance of maintaining strict confidentiality.

- **Social Engineering Essentials for Financial Institutions**

**Duration: 30 Min**

**Code: 20363**

Social engineering is a real threat to financial institutions, but upon completion of this course, you'll be able to explain how social engineers are successful at gaining sensitive information or privileged access, identify social engineering techniques, including pretexting, phishing, impersonation, and dumpster diving, and demonstrate how to protect your institution against social engineering.

- **Social Media Security for Financial Institutions**

**Duration: 30 Min**

**Code: 20364**

Upon completion of this social media course, you'll be able to explain how social media enables social networking, and how social tools have evolved the way the financial institutions speak with their customers and members. In addition, you'll be able to identify social media threats that could harm your financial institution and apply safe behaviors to use while on social media to prevent risk for your financial institution.

- **UDAAP: An Overview**

**Duration: 45 Min**

**Code: 20380**

The concept of UDAAP (Unfair, Deceptive, or Abusive Acts or Practices) has the potential to completely alter the traditional understanding of regulatory compliance and can affect nearly every aspect of your organization. This course will look explore what it means to be "abusive", possible acts or practices that would now be considered abusive under this new standard, and identify steps you can take now to minimize your UDAAP risk.

- **UDAAP: Compliance Management Challenges**

**Duration: 30 Min**

**Code: 20382**

This course will look at some of the challenges managers face in mitigating the UDAAP risk at their financial institutions. The course will examine the cultural changes brought about by UDAAP, the subjectivity involved in determining UDAAP, and the CFPB's use of behavioral economics and data-driven supervision.

- **UDAAP: Regulation Between the Cracks**

**Duration: 30 Min**

**Code: 20381**

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The CFPB has not published and does not intend to publish rules that determine whether or not a specific act or practice is UDAAP. Instead, financial institutions will have to look at existing enforcement actions and make inferences from these actions as to what might pose UDAAP risks. This course is designed to help financial institutions make these inferences in order to minimize the UDAAP risks.

- **Understanding OFAC**

**Duration: 30 Min**

**Code: 20031**

OFAC's primary tenet is don't do business with the enemy. Out of this basic principle, OFAC holds the financial institution and its employees personally responsible for compliance. Learn the origin of OFAC, basic OFAC requirements, affected transactions, and consequences of noncompliance.

- **Understanding Privacy: The Essentials**

**Duration: 30 Min**

**Code: 20301**

The privacy regulations introduced by the Gramm-Leach-Bliley Act are generally regarded as some of the most difficult to understand. This short introductory program breaks down the regulations so tellers, new account reps and lenders can easily comprehend your institution's privacy policy and accurately explain this policy to customers and consumers. Subjects covered include key terms and definitions, privacy notices, and consumers' right to opt out and exceptions to this right.

- **USA PATRIOT Act**

**Duration: 60 Min**

**Code: 20087**

This informative training program will familiarize you with the USA PATRIOT Act and how it affects your institution in fighting the battles on the financial frontlines. You will also learn the procedures for handling correspondent and private banking accounts, how to report suspicious activities and determine which types of information may be shared.

- **USA PATRIOT Act: The Financial Perspective**

**Duration: 30 Min**

**Code: 20308**

This course is designed for financial institution professionals who need knowledge of the programs and procedural requirements mandated by the passage of the USA PATRIOT Act. It provides useful information to help employees perform their day-to-day operations in compliance with the law. Learning objectives include defining money laundering and the Special Measures Statute to BSA; recognizing situations that require due diligence; recognizing the main elements of a CIP; and recognizing the main elements of OFAC compliance. 20033COM

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