

JTM Compliance Training: Topic List Q1 2024

Note: The topics listed below consist of recent trainings delivered and/or content created. The list is updated when any changes occur in the regulatory and/or economic environment globally. To compile the list of topics, research was conducted by understanding the current industry trends, corporate & individual purchasing of specific topics, regulatory guidance, and discussions with other subject matter experts.

If you have other topics not listed, please inquire.

AML/BSA/OFAC

- AML Fundamentals: Overview
- AML in Cryptocurrencies
- AML Model Validation
- AML Risk Management
- AML Training on Red Flags
- BSA Best Audit Practices
- BSA Overview & Fundamentals
- BSA/AML/OFAC Risk Assessments
- BSA: Reporting requirements
- Creating & Managing an Effective AML Compliance Program
- Currency Transaction Reports (CTRs): How to deal with common issues for filing.
- FinCEN: Overview and purpose
- Fundamentals of CIP, CDD, EDD, CTR and Current Issues
- Key US AML Regulation Changes for 2024: Important for Compliance Staff
- KYC: Overview of regulations and what we need to do!
- OFAC: An overview, purpose and understanding of how sanctions occur and why.
- Sanctions: We have an OFAC violation: What to do!
- How to Prepare & Conquer a Regulatory Examination of Your OFAC Program

Banking

- CFPB ABC Regulations: Regulation B, C, E, F, G, M, P, V, X, Z, DD
- CFPB Regulation E: Payroll Card Compliance, Preauthorized Transfer, Prepaid Account, Remittance Rule
- CFPB's Debt Collections Rules
- EFT Act and Regulation E In 2024
- E-Sign Act: Overview, technical requirements, Regulations
- Fair Debt Collection Practices Act (FDCPA)
- Fair Lending Regulations: CRA, UDAAP, ECOA, FHA, TILA
- Federal Deposit Insurance Corporation Improvement Act (FDICIA)
- Regulation E - Basics and Error Resolution
- Regulatory Compliance on Deposits: TISA, EFA Act, Check 21, The Garnishment Rule
- Understanding the UDAAP examination procedures: Necessary for 2024

Artificial Intelligence (AI)

- Understanding AI and what it could do for regulatory compliance
- Chat GPT: Fundamentals, how to search
- How accountants can use Chat GPT Effectively

Digital Assets

- Introduction to Blockchains
- Introduction to Cryptocurrencies
- Cryptocurrencies: Basics, regulations in US & Aboard
- Digital Assets: Overview and understanding of AML risks

Fraud

- Fraud in Banking: Creating a fraud program.
- Fraud dealing with Community Banks
- Introduction to Fraud in Banking
- Payments Fraud: Detect & Prevent Check, ACH and P-Card Schemes
- Fraud: Insider trading, Embezzlement, Cyber Crime, Online Banking,

Examinations

- FFIEC Examinations Manual
- UDAAP examination procedures
- Preparing and thriving in 2024
- Understanding Examinations and what to do
- Conducting examinations from beginning to end

Regulatory Updates

- Regulatory Compliance Quarter wrap-up: Connect Rules to Roles
- Regulatory updates: CFPB, CFTC, FCA, FINRA, NCUA, Nacha OCC, SEC and more

Cybersecurity

- Cyber Security: basics, Data Breaches and Data Privacy, malware, phishing, ransomware, and social engineering
- FCRA CFPB Compliance Requirements Metro 2 and e OSCAR
- New Incident Notification Requirements

Privacy

- Canada's anti-spam legislation (CASL)
- California Consumer Privacy Act (CCPA)
- General Data Protection Regulation (GDPR)
- Gramm–Leach–Bliley Act (GLBA)
- Fair and Accurate Credit Transactions Act (FACTA)
- Privacy Act of 1974
- Fair Credit Reporting Act (FCRA)

RIA & B/D Compliance

- RIA Compliance: marketing, communications, cyber security, conflicts of interest, code of ethics, investment advisors act, insider trading, Best Price and Execution
- Investment Advisor Act of 1940
- Regulation Best Interest (BI)

NCUA

- Overview & Regulations
- Interest Rate, Credit and Liquidity Risk for Credit Unions
- Fraud Prevention and Detection
- Information Security

Nacha

- ACH WSUD vs. Stop Payment
- Nacha Overview, Rules & Enforcement
- Nacha Quarterly Regulatory Update
- Nacha: the year ahead
- Simplifying ACH Returns - Faster Returns in a Same-Day

Compliance Training

- Conducting a thorough needs analysis and developing a solid compliance training program
- Enhancing Compliance Officers capabilities
- The Importance of Training Compliance Officers
- How to Enhance the Culture of Compliance

Soft Skills

- Soft Skills: Being the Center of Attention, Impromptu Meetings & Presentations, Writing High-Impact Executive Summaries, Emotional Intelligence, running effective meetings, Understanding your target audience
- Remote Working – How to manage teams effectively when working from home.
- Writing High-Impact Executive Summaries

Other topics:

- Learn the Dos and Don'ts of Opening Business Bank Accounts
- Secure and Fair Enforcement for Mortgage Licensing Act (S.A.F.E. Act)
- Dodd-Frank: Overview and regulations
- Third Party Vendor Risk