

Seminar 08/21/02 #OCC7118-1
Seminar 08/22/02 #OCC7118-2

OCC's Telephone Seminar

Risk Management Principles for Third-Party Relationships

Registration Form:

Registrant name _____

Title _____

Bank/company _____

Street address _____

City _____

State _____ Zip _____

Phone number _____

Fax number _____

E-mail address _____

Select seminar: _____

August 21, OCC 7118-1

August 22, OCC 7118-2

Please check here if you are unable to receive your materials via the Internet. We will ship you a hard copy. *(To receive via the Internet, you will need Acrobat Reader, available free at www.adobe.com.)*

Site registration and one set of written materials.

National banks: \$99 each session

Others: \$125 each session

Check method of payment:

Check made payable to KRM

American Express

Visa

MasterCard

Discover Card

Card number: _____

Expiration date: _____

Signature: _____

Registrations after 08/09/02, please add \$8 for expedited handling.

Total payment: _____



Comptroller of the Currency
Administrator of National Banks

A Telephone Seminar for Community Banks

Who should participate?

The topic for this telephone seminar will be of particular interest to bank—

- Chief executive officers
- Directors
- Senior credit and technology managers
- Compliance officers
- Risk management officers
- Auditors
- Consultants

Price:

Participation is \$99 per connection for each national bank listening site and \$125 per connection for each non-national bank listening site.

Questions for speakers?

If you would like to submit questions to the speakers in advance, please e-mail your questions to OCCTeleSeminar@occ.treas.gov or fax them to (415) 442-5388.

Risk Management Principles for Third-Party Relationships

Wednesday, August 21, 2002

2:00 p.m.—3:30 p.m. EDT

and again on

Thursday, August 22, 2002

11:00 a.m.—12:30 p.m. EDT

Convenient • Informative • Cost Effective

What is a telephone seminar?

This 90-minute telephone seminar allows an unlimited number of people to listen to OCC experts and to discuss with them their experiences and policy imperatives over individual telephones or with colleagues on speaker-phones. The experts' interaction with you, the listener, will make the program a valuable learning experience and enjoyable to listen to. And you can ask questions from wherever you are.

There is no rush-hour traffic, no parking, no travel time or expenses. You can remain in the office and share information with a large group of colleagues for one price per site. A moderator guides the presentation and the open forum, much like participating in a talk-radio program.



Welcome by
John D. Hawke, Jr.,
Comptroller of the Currency

This telephone seminar will feature:

An overview and discussion of the OCC's expectations for a sound risk-management process over third-party activities, with an emphasis on outsourced technologies and credit-related third-party activities, such as:

- The types of activities and relationships that fall within the scope of OCC Bulletin 2001-47
- The benefits—and risks—associated with third-party relationships
- Aspects of the strategic planning and risk assessment process
- Components of the due-diligence process in selecting a third party
- Function and content of contracts in third-party relationships
- Key points of the ongoing oversight and monitoring process

A discussion on outsourced technologies and credit-related third-party activities, including such topics as:

- Security and safekeeping of customer information
- Business resumption contingency planning
- SAS-70 audit reports
- User groups
- Third-party arrangements for loan generation with:
 - brokers
 - dealers
 - nonbank lenders
 - marketing companies

Seminar panel:



Kirk Spurgin
*National Bank Examiner and
Core Policy Development Analyst
Chief National Bank Examiner's Office*



Greg Isaacs
*National Bank Examiner and
Credit Risk Specialist
Chief National Bank Examiner's Office*



Mike Koll
*National Bank Examiner and
Information Technology Lead
Midwestern District*



James F.E. Gillespie, Jr.
*Assistant Chief Counsel
Law Department*

How to register:

Those wishing to attend the seminar may register by:

- Filling out the online registration form at www.occ.treas.gov

- Calling 1 (800) 775-7654 between the hours of 8 a.m. and 5 p.m. CDT and providing registration information
- Faxing the form to 1 (800) 676-0734
- Mailing the registration form to KRM Information Services, P.O. Box 1187, Eau Claire, WI 54702-1187

Registrants receive a special toll-free number and a PIN number for entrance to the telephone seminar. You will receive written materials prior to the call via the Internet or direct mail.