



Office of the Comptroller of the Currency

Washington, DC 20024

**OFFICE OF THE COMPTROLLER OF THE CURRENCY
2019 SCHOOLS FOR
FOREIGN BANKING SUPERVISORS**

The Office of the Comptroller of the Currency (OCC) is very pleased to distribute its 2019 training sessions available to Foreign Banking Supervisors.

Problem Bank Supervision	June 17 – 21, 2019
Anti Money Laundering/Terrorist Financing	June 24 – 28, 2019
Balance Sheet Management/ Liquidity Risk Management	July 29 - August 2, 2019
Bank Information Technology	September 30 – October 4, 2019

The OCC would like to invite representatives from your banking supervisory organization to attend any of the schools scheduled for 2019. We are limiting the number of participants for each session to 30, as the courses are designed to be interactive and to encourage discussion and the exchange of ideas. We invite you to nominate up to two (2) individuals from your respective banking agency per session, as this will encourage diversity among the students and provide insight on varied supervisory perspectives. We will waitlist additional nominees and will make available on a case by case basis additional slots depending on availability. The courses are instructed in English only; therefore, both verbal and written communication skills in English are required. It is also important to stress that **all available slots will be filled on a first come first serve basis.**

Cost

There is an enrollment fee of \$200.00 per participant for attending a school. In addition, all participants are responsible for their own travel and hotel reservations.

Class Location

The week-long training sessions will be held at the OCC's Headquarters located at 400 7th Street, S.W., Washington, DC 20219

Lodging

Each participant is required to make their own hotel reservations and travel plans. [Click here](#) for hotel information that I hope will be useful in making hotel arrangements.

Dress Code

Proper dress for the school is business casual—dress slacks/pants (jacket and tie is not required) and an appropriate shirt or top. Very casual attire, such as jeans, shorts, tank tops, t-shirts, or sneakers, should not be worn.

How to Enroll

If your banking supervisory organization would like to send a representative, please respond by sending an e-mail to FTA@occ.treas.gov and provide the following information:

- **Name of School**
- **Banking Agency Name**
- **Participant's Name **** (Must Match Name on Passport) ******
- **Participant's Telephone Number**
- **Participant's E-Mail Address **(Required)****

Attachments:

Course Descriptions:

- Problem Bank Supervision
- Anti Money Laundering
- Balance Sheet Management/Liquidity Risk Management
- Bank Information Technology

Course Description
Problem Bank Supervision
June 17 - 21, 2019

Audience:

Examiners who have experience as an Examiner-in-Charge of banks, or examiners with problem bank examination experience, or examiners with onsite and offsite examination experience who will likely deal with problem banks. Bank attorneys may also wish to attend to understand the enforcement actions and bank resolution options used by OCC. This course places primary emphasis on on-site examination work. Class participants will work in teams on a case study.

Course Objectives:

Upon completion, a participant should be able to:

- Recognize emerging problems in banks
- Identify appropriate supervisory strategies and enforcement remedies available for supervising banks
- Determine resolution alternatives

Course Topics:

- IDENTIFICATION OF ROOT CAUSES & APPROPRIATE SOLUTIONS
- SUPERVISORY APPROACH
- ENFORCEMENT ACTIONS AGAINST INDIVIDUALS
- BANK ENFORCEMENT ACTIONS
- DETERMINE COMPLIANCE WITH ENFORCEMENT ACTIONS
- COMMUNICATION WITH BANKS
- PROMPT CORRECTIVE ACTION
- BANK RESOLUTION OPTIONS
- BANK CLOSINGS

Pre-Course Reading Materials

PPM 5000-7 (REV) Civil Money Penalties; PPM 5310-3 (REV) Enforcement Action Policy; and Banking Circular 268 - Prompt Corrective Action (will be provided after enrollment with the invitation letter)

Class Location: Office of the Comptroller of the Currency
Constitution Center – 400 7th Street SW
Washington, D.C. 20219

Cost: The cost for attending this session is \$200 per participant. Instructions for payment will be provided with the invitation letter after enrollment.

Lodging: Participants are responsible for making their own travel and hotel arrangements.

Course Description
Anti-Money Laundering School
June 24 – 28, 2019

Audience:

The objective of the school is to increase the banking supervisor's knowledge of money laundering and how it is perpetrated. The school is designed for field examiners and supervisors with 5-10 years of experience and provides an overview of anti-money laundering examination techniques, tools, and case studies. The school is patterned after a similar school the OCC gives to our own examiners, with modifications to make the school relevant to non-US banking supervisors.

Course Objectives:

- Recognize the potential money-laundering risks confronting financial institutions
- Assess the adequacy of financial institution policies, procedures and practices in complying with Anti-Money Laundering programs
- Maintain up-to-date knowledge of international initiatives and significant trends related to anti-money laundering

Course Topics:

- INTRODUCTION AND OVERVIEW
- THE U.S. EXPERIENCE AND REGULATORY REQUIREMENTS
- CUSTOMER DUE DILIGENCE/KNOW YOUR CUSTOMER
- EXAMINATIONS
- HIGH RISK AREAS:
 - NON-BANK FINANCIAL INSTITUTIONS
 - ELECTRONIC PAYMENTS
 - FOREIGN CORRESPONDENT BANKING
 - PRIVATE BANKING RELATIONS
- TERRORISM FINANCING
- SUSPICIOUS ACTIVITY REPORTING
- UTILITY OF SUSPICIOUS ACTIVITY REPORTING
- FINANCIAL INTELLIGENCE UNITS

Class Location: Office of the Comptroller of the Currency
Constitution Center – 400 7th Street SW
Washington, D.C. 20024

Cost: The cost for attending this session is \$200 per participant. Instructions for payment will be provided with the invitation letter after enrollment.

Lodging: Participants are responsible for making their own travel and hotel arrangements.

<p style="text-align: center;">Course Description Balance Sheet Management / Liquidity Risk Management July 29 – August 2, 2019</p>
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Audience:

The objective of the school is to increase the banking supervisor's knowledge of balance sheet risk management and investment portfolio analytics. The school is designed for field examiners and supervisors with 5-10 years of experience and provides a critical assessment of balance sheet management and liquidity risk management. The school is patterned after similar schools the OCC gives to our own examiners, with modifications to make the school relevant to non-US banking supervisors. Class participants will work in teams on case studies.

Course Objectives:

- Assess balance sheet management processes and risk levels within a midsize bank
- Evaluate liquidity risk and contingency funding plans
- Evaluate investment portfolio risk management
- Evaluate interest rate risk management
- Evaluate trading book risk management
- Identify tools for balance sheet risk analytics

Course Topics:

- INTRODUCTION
 - US BANKING STRUCTURE
 - MARKET CONDITION
- LIQUIDITY RISK MANAGEMENT
 - CONTINGENCY FUNDING PLAN
 - LIQUIDITY COVERAGE RATIO
 - NET STABLE FUNDING RATIO
- INVESTMENT PORTFOLIO MANAGEMENT
 - INVESTMENT PORTFOLIO
 - CREDIT, LIQUIDITY AND INTEREST RATE IMPLICATIONS
- INTEREST RATE RISK
 - SHORT TERM/LONG TERM VALUATION, SOURCES OF RISK
 - INTEREST RATE RISK MANAGEMENT
 - BASEL INTEREST RATE RISK IN THE BANKING BOOK
- TRADING BOOK
 - SWAP MARGIN RULE

Pre-Course Reading Materials – will be provided after enrollment

Class Location: Office of the Comptroller of the Currency
Constitution Center – 400 7th Street SW
Washington, D.C. 20219

Cost: The cost for attending this session is \$200 per participant. Instructions for payment will be provided with the invitation letter after enrollment.

Lodging: Participants are responsible for making their own travel and hotel arrangements.

<p style="text-align: center;">Course Description Bank Information Technology September 30 – October 4, 2019</p>

Audience:

Examiners who have experience as an Examiner-in-Charge of banks, or examiners with information technology examination experience. This course places primary emphasis on on-site examination work. Class participants will work in teams on a case study.

Course Objectives:

Upon completion, a participant should be able to:

- Assist with and/or lead a review of a complex IT environment
- Communicate conclusions and risks
- Identify unique or emerging risks in bank technology

Course Topics:

- IT GOVERNANCE
- NETWORK AND ARCHITECTURE
- INFORMATION SECURITY & CYBERSECURITY
- IT AUDIT
- THIRD PARTY RISK
- BUSINESS CONTINUITY MANAGEMENT
- EMERGING TECHNOLOGY RISKS AND REGULATORY ISSUES
- SYSTEMS DEVELOPMENT & ACQUISITION

Pre-Course Reading Materials – will be provided after enrollment

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