LAW AND REGULATION IN BANKING

SECTION LEADER: TERRI THOMAS

DESCRIPTION:
This course addresses the significant legal, regulatory, and compliance issues impacting the safety and soundness of banks, regardless of their size or location. It will accomplish this by looking at:

- Notable historical events that resulted in legal and regulatory change;
- Litigation and enforcement actions that have shaped the business of banking;
- How banks can maximize profit and growth opportunities under the current legal and regulatory environment;
- Banker-driven lobbying efforts that have made a difference, both at the state and federal level.

PURPOSE
Every bank leader needs a fundamental understanding of banking laws and regulations in order to create and maintain a successful bank. Knowledge of the boundaries created by these laws and regulations ensure that management avoids the pitfalls of litigation and regulatory violations, and seizes the opportunities that can provide for profitable growth.

OBJECTIVES
After successfully completing this course, students will be better able to:

- Understand how current events impact the future of banking laws and regulations;
- Learn from the experiences of other financial institutions faced with legal and compliance violations;
- Identify the limitations and opportunities provided with banking laws and regulations;
- Appreciate the role of banker-driven lobbying efforts in creating legislation that benefits both banks and their customers.

FEATURES
The course features lectures and question-and-answer sessions with the students. Student questions are encouraged and considered an important part of the learning process in this course.