



SEE COMPLIANCE CLEARLY IN 20/20

DACA Newsletter

January 2020

CELEBRATING 30 YEARS: 1990-2020

WHAT'S HAPPENING...

President's Message

I am thrilled to be starting 2020 as your DACA President! The Board has given much thought to our theme for the year, which is *See Compliance Clearly in 20/20* – a blend of this year and the importance of your roles at financial institutions across the metro area. The consumer compliance profession is complex, affecting many people at each of your institutions . . . and you help those people see, and think clearly about, the impact of laws & regs on a daily basis. One of DACA's 2020 goals is to continue bringing you relevant content and speakers – enabling you to create compliance clarity at your bank, credit union, mortgage company or consumer lender.

I also see DACA as the premier networking organization for DFW professionals with a consumer compliance skill set. If a compliance issue is keeping you awake at night, chances are that someone at DACA has grappled with it at some point.

If you're adding a compliance position – or looking for one – another member likely has a helpful connection. If you're new to a compliance role, DACA or both, take advantage of the opportunity to learn more about members' diverse backgrounds. These include job roles, certifications, career paths and more. DACA members have had experience at over 100 financial institutions and companies, and also enjoy life outside work. DACA has been a personally and professionally rewarding organization for many people.

On an administrative note, please check out the address (later in the newsletter) of our new venue for General Membership Meetings – we want to be sure you go to the correct location for our January 29th meeting. I look forward to seeing you later in January, and throughout 2020!

Gene Collett; DACA President



General Meeting Information

January 2020						
S	M	T	W	TH	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

Topic: Vendor Management

Presenter: Gene Collett

Date: January 29, 2020

Time: 11:30 am

NEW Location: Addison Conference and Theatre Center: 15650 Addison Road, Addison TX 75001

Avoid the Line, [Reserve Online!](#)

Member Spotlight

For 2020, we continue to identify DACA peers with a clear vision of what it takes to be successful in this regulatory environment.

We encourage you to network with these experts to identify resources that will improve your institution's compliance view.



Introducing our newest DACA Board member: **Chrysti Petersen**



Chrysti has been in the financial services industry for nearly 20 years, with the majority of that in compliance. She has served as the compliance officer within institutions, and also as a consultant providing outsourced compliance management and compliance audit and review services for banks and credit unions.

She has been with Ciera Bank, in Fort Worth, since May 2019 where she is responsible for oversight of the Compliance and BSA departments.

Some of her favorite experiences throughout her years have been observing and participating in providing solutions for the regulatory expectations laid before us - seeing how we all solve the same problems, but in keeping with our individual cultures, etc. She says that it is hard to say this is her favorite regulation because there is so much to it – and not all of it fun – but she does love BSA, and says that there is gratification in knowing that our work in this area can make a significant impact on individual lives in our country and around the globe.

Away from the bank, Chrysti loves to travel and has her sights set on visiting New Zealand. She has been wanting to go there for many years, but just has not made it yet. She also enjoys a good “whodunnit” mystery book or movie.

Welcome to the DACA team!

We look forward to envisioning your 2020 insights!

DACA MEMBERSHIP CATEGORIES

CORPORATE MEMBERSHIP

An institution or industry-related organization must have one **Corporate Membership** with one person designated as the primary representative.

The primary representative holds voting privileges on DACA business. All employees of the Corporate Member may attend meetings at the member price.

INDIVIDUAL MEMBERSHIP

An **Individual Member** must be a compliance professional at a financial institution or industry-related service organization.

Individual Members have voting rights and pay the member rate for meetings.

APPLYING FOR MEMBERSHIP

DACA makes applying for membership easy! While a membership application is included in our newsletter, you can also apply electronically.

The DACA website includes an electronic application and allows you to also pay your dues online. If you haven't done so already, we recommend you check it out today at <https://dacaonline.org/membership-application/>

Renew your DACA Membership for 2020 today for a FREE March luncheon!

JANUARY GENERAL MEETING



Mark Your Calendars!

Vendor Management Basics for Compliance Officers

Worried about consumer compliance at your vendors? Did a business VP sign a vendor contract last week, and you just heard about it? Join us on January 29th as our DACA President Gene Collett shares his visions to help us see Vendor Management clearly in 2020.

In this interactive session, you will learn about the history of regulatory agencies' vendor concerns, as well as practical tips for vendor management from a consumer compliance standpoint.

Gene has held management and compliance roles in financial services for nearly 20 years and currently serves as the Regional Director of Finance, Risk and Compliance (FRC) Solutions for Capco. He is a speaker and frequent contributor of articles to financial publications on compliance and risk topics. His areas of expertise include lending, deposit operations, loan servicing, consumer complaints and fair lending/servicing. Gene has performed dozens of audits and risk assessments, as well as exam preparation work, for clients regionally and nationwide. He previously held compliance and management roles at Capital One and CitiFinancial. Gene holds the CRCM certification, and has an M.B.A. from the University of Texas.

Reservation Request

January General Meeting – 1/29/2020

Member Price - \$25.00

Non-Member & Guest Price - \$50.00

Reservations and cancellations must be received by Noon 1/22 (the Wednesday before the meeting).

Skip the Line and Reserve Online

<https://dacaonline.org/test-meeting-registration/>

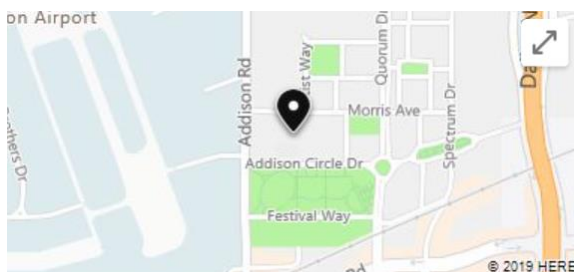
If you prefer to not use our online system, you may:

- Email your reservation to: reservations@dacaonline.org
- Or, contact VP of Programs, Mike Cockrell, with your name, company, email address, phone number & meeting date at mtcockrell@pointbank.com.

2020 General Meeting Venue Change

Please note, our meeting venue has changed for 2020.

We will be meeting at the **Addison Conference and Theatre Center; 15650 Addison Road** – just east of the Addison Airport. Parking is convenient and FREE! The other change to make you aware of is the reservation deadline is now one week prior for this venue/caterer to properly prepare.



Addison Conference and Theatre Centre

Venue & Event Space

[Directions](#)

[Website](#)

Address: 15650 Addison Rd, Addison, TX 75001

Phone: [\(972\) 450-6241](tel:9724506241)

Reservation Deadline:
1/22/2019

Lunch Menu

Caesar Salad

*Homemade Croutons, Parmesan Shavings, Black Pepper
Traditional Caesar Dressing*

Chicken Parmesan

Topped with Fresh Mozzarella and Marinara

Eggplant Parmesan

Crispy Fried Eggplant, Mozzarella & Marinara

Linguine Pasta

Marinara Sauce

Steamed Broccoli and Carrots

Homemade Parker House Rolls

Served with Whipped Butter

New York Cheesecake

Raspberry Coulis

20/20 DACA Notes:

2020 Membership renewals are due – make your payment (individual or corporate) now to enjoy *Free Attendance* for our March event.

Non-member registrations have increased for 2020 from \$45 to \$50.

DACA Visionaries

New for 2020, to improve your vision and help you see Compliance more clearly, this section will focus on DACA Member ideas to enhance your compliance program and/or make your job easier. We appreciate your willingness to share your successes! Submit a description of your ideas to Alyson Trout (atrout@pegasusbankdallas.com) for inclusion in future newsletters.

"I love to use Cognos, our report-writing tool, to develop reports from core and complimentary systems to identify outliers and regulatory exceptions. This works well for things like Reg D excessive transfers, new accounts to high risk customers, CIFs without TINs (or other important fields like DOB, NAICS code, etc.) and we also use these for custom programs and ad hoc needs. If you're a JHA SilverLake bank we can actually share the XML code, enabling you to run reports on your system utilizing the same parameters!"

- Alyson Trout, Pegasus Bank



2020 Membership Application

Use this form or download a fillable form here - <https://dacaonline.org/forms/>
Or, you may entirely apply and pay online here - <https://dacaonline.org/membership-application/>

NOTE: Please fill in and return this form with your payment.

Member Information

Membership Type (check one): Corporate (*indicate name of individual that will serve as primary representative:* _____)

Individual

Applicant's Name: _____

Organization: _____

Asset Size: _____

Street/P.O. Box Address: _____

City, State, ZIP Code: _____

Work Phone No.: _____

E-mail Address: _____

Job Title/Function: _____

Compliance Certifications: _____

Primary Regulator: _____

Membership Definitions & Dues

- ❖ Each financial institution or industry-related service organization may have one Corporate Membership with one person designated as the primary representative. This person holds voting privileges on any DACA business. All employees of the Corporate Member may attend meetings at the member price.
- ❖ Individual Members also have voting rights and pay the member rate for meetings. Individual Members must be Compliance Professionals at a financial institution or industry-related service organization.
- ❖ **Corporate Membership Annual Dues: 350 USD, Individual Membership Annual Dues: 150 USD**

Remittance Details

1. Please make check payable to:
2. Mail **Membership Application** and **Check** to:

DALLAS AREA COMPLIANCE ASSOCIATION

Amy Thorpe
Texas Brand Bank
1919 South Shiloh Rd, Suite 100, LB 30
Garland, Texas 75042

Total enclosed: _____

Signature: _____