



GENERAL MEETING INFORMATION

May 2024						
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:** From the Top Down

The Critical Role of Senior Leadership in Compliance Management

**Presenter:** Justin Muscolino

**Date:** May 22, 2024

**Time:** 12:00 noon

**Location:** Virtual ONLY

[Register Here!](#)

## PRESIDENT'S MESSAGE

BY CHRYSTI PETERSEN, DACA PRESIDENT

Greetings from the DACA Board and myself. I hope this message finds you well and enjoying these beautiful spring temps. The wildflowers in bloom certainly set the stage for new and exciting things to come.

We have so much uncertainty in the world of banking compliance at the moment. It has been an interesting and unusual time in my career, for sure. A positive light for me, however, is the opportunities DACA affords us to come together for top-quality education and discussions through our meetings and networking.

I am very excited for this month's presentation about the critical role that senior leadership plays in compliance management. I am thankful we have Justin joining us to share his insights. I have worked in organizations with a wonderful culture of compliance that starts at the top, and others that maybe had a little work to do in that regard. The support from management truly makes all the difference in establishing and maintaining a solid compliance program. I look forward to learning more on this critical topic.

Be on the lookout for details on our annual conference in September. We will have fantastic presenters on timely and relevant topics. You will not want to miss it! If you are looking to further your professional education, don't forget about the DACA scholarship. Application information is available online.

As always, thank you for your participation in DACA. It would not be successful without each and every one of you. I look forward to seeing you on the Zoom call on May 22 for our General Meeting!



Justin  
Muscolino

# MAY GENERAL MEETING

## From the Top Down - The Critical Role of Senior Leadership in Compliance Management

Presented By: Justin Muscolino, JTM Compliance Training

A Compliance Management System (CMS) is an integrated system used by financial institutions to meet regulatory requirements, internal policies, and industry standards. It doesn't consist of any single technology or process but rather a collection of tools, business processes, and internal controls that work together to reduce compliance risk. If a failure occurs with a CMS, it could have big ramifications for an organization. For the Board, it's about understanding the responsibilities of oversight and not overlooking risk-related activities. The responsibilities include defining:

- the organization's risk appetite and tolerance levels to align with strategic goals
- the process of identifying, assessing, and mitigating risks, and making informed decisions through a risk assessment.
- Understanding the importance of regular monitoring of risk exposure and reporting to stakeholders

During this training session, we will discuss how an effective CMS helps organizations mitigate compliance risks and achieve regulatory compliance as well as the downsides to not doing it right. We will also discuss the different components of a CMS and understand where the risks can occur and what to do with them.

Justin brings over 20 years of wide-arranging experience in compliance, training and regulations. He has previously worked as Head of Compliance Training for Macquarie Group, UBS, JPMorgan Chase, Bank of China, GRC Solutions, and FINRA. Justin runs his own Compliance Training company focusing on US & International regulations, JTM Compliance Training.

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## RESERVATION REQUEST

MAY GENERAL MEETING – 5/22/2024

MEMBER PRICE – FREE

NON-MEMBER OR GUEST PRICE – \$50.00

Reservations and cancellations must be received by Noon 5/15 (the Wednesday prior).

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

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

- Email your reservation to: [reservations@dacaonline.org](mailto:reservations@dacaonline.org)
- Contact VP of Programs, Ari Helfenstein, to provide your name, company, email address, phone number & meeting date at [ari.helfenstein@plantemoran.com](mailto:ari.helfenstein@plantemoran.com)



# DACA MEMBERSHIP

## CORPORATE MEMBERSHIP

A financial 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 ONLINE

<https://dacaonline.org/membership-application/>

Or, see the membership application included below in this newsletter.

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## DACA MEMBERSHIP HAS GREAT BENEFITS!

To further the professional growth, education and career development of our membership, DACA is proud to offer the Kay Leaks Scholarship for professional certification in the field of regulatory compliance.

For additional information, eligibility requirements, to see a complete list of all certification types DACA supports, or if you're ready to complete an application, [click here](#).

# MEMBERSHIP RENEWALS



Thank you for your patience as we made some adjustments to our website. Enhancements are now in place, including online membership renewal. Complete your membership application [here](#) (new or renew), add your membership level (corporate or individual) to the cart, and pay online!

As always, you are also welcome to complete the Membership Application Form on page 6 of this newsletter and mail it along with your check to the DACA Treasurer.

Either way, be sure to complete the membership process by 5/15. All 2024 paid members will receive free virtual attendance to May's general meeting.



## SAVE THE DATE!

The annual DACA Conference will take place on Wednesday, September 25<sup>th</sup> at the Clubs of Prestonwood. Mark your calendars! More info to come soon including registration, agenda, speakers and topics. You won't want to miss this full day event packed with compliance information!

A special THANK YOU to our current sponsors for their continued support of DACA



# marquis



# FORV/S

**Virtual Meeting**

**January 2024**

S	M	T	W	T	F	S
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21	22	23	GM	25	26	27
28	29	30	31			

**Live Meeting**

**February 2024**

S	M	T	W	T	F	S
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11	12	Brd	14	15	16	17
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25	26	27	28	29		

**Live Meeting**

**March 2024**

S	M	T	W	T	F	S
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17	18	19	20	21	22	23
24	25	26	GM	28	29	30/31

**Notes**

Dallas Area Compliance Association
<b>GM</b> – General Meetings
<b>Brd</b> – Board Meetings
<b>Conf</b> - Compliance Conference
<i>Schedule is subject to change.</i>
Federal Holidays - some may be observed on different days

**Virtual Meeting**

**April 2024**

S	M	T	W	T	F	S
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7	8	Brd	10	11	12	13
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21	22	23	24	25	26	27
28	29	30				

**Virtual Meeting**

**May 2024**

S	M	T	W	T	F	S
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19	20	21	GM	23	24	25
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**Virtual Meeting**

**June 2024**

S	M	T	W	T	F	S
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**Virtual Meeting**

**July 2024**

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14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

**Virtual Meeting**

**August 2024**

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

**Conference**

**September 2024**

S	M	T	W	T	F	S
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15	16	17	18	19	20	21
22	23	24	Conf	26	27	28
29	30					

**Virtual Meeting**

**October 2024**

S	M	T	W	T	F	S
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13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

**Virtual Meeting**

**November 2024**

S	M	T	W	T	F	S
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17	18	19	GM	21	22	23
24	25	26	27	28	29	30

**Live Meeting**

**December 2024**

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	Brd	11	12	13	14
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22	23	24	25	26	27	28
29	30	31				



Ver. 08/22/2023  
**2024**

# 2024 DACA BOARD MEMBERS

<b>President</b>	Chrysti Petersen, Ciera Bank	<b>Programs</b>	Ari Helfenstein, Plante Moran
<b>Secretary</b>	Honor Fair, RSM	<b>Technology</b>	Mike Cockrell, PointBank
<b>Treasurer</b>	Cindy Maxwell-Batheas, Interbank	<b>Conference</b>	Gene Collett, Capco RISC Services
<b>Scholarships</b>	Amy Thorpe, Harmony Bank	<b>Director</b>	Rhonda Coggins, Wipfli
<b>Communications</b>	Alyson Trout, Pegasus Bank	<b>Director</b>	Linda Crank, Centennial Bank
<b>Membership</b>	Kristopher Coca, Goldman Sachs		(Happy State Bank, a division of Centennial Bank)

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

## Member Information

Membership Type  Corporate (*primary representative:* \_\_\_\_\_)

(check one):  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: \$315 USD, Individual Membership Annual Dues: \$135 USD

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### REMITTANCE DETAILS – IF NOT APPLYING AND PAYING ONLINE

1. Please make check payable to: **DALLAS AREA COMPLIANCE ASSOCIATION**
2. Mail **Membership Application** and **Check** to: **Cindy Maxwell-Bathea**  
**Interbank**  
**5307 E. Mockingbird Ln., Ste. 350**  
**Dallas, TX 75206**

Total enclosed: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_