

Ethics as the Cornerstone of a Compliance Management System

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A robust Compliance Management System (CMS) is critical to your success in the consumer financial services industry. This updated course will examine the impact ethical behavior has on commercial activities and how it often determines whether institutions can succeed when faced with adversity. In this presentation you will learn:

- 1) The principles of business ethics
- 2) Ethics principles in use in the financial services industry
- 3) The role ethical behavior has played in the outcome of civil and regulatory actions
- 4) Ethics models used by successful organizations in other industries
- 5) How businesses have integrated ethical principles into their operations to weather challenges
- 6) How ethics models influence positive organizational and individual behavior
- 7) Examples of when an organization's weak ethics practices have resulted in civil and criminal liability

Whatever stage of development your CMS is at, you can benefit from this in-depth look at the theory and practice of ethics-driven compliance management.

Pricing:

Member: \$74

Non – Member: \$104

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Course Presenters:



Donald Maurice is a partner at national financial services law firm Maurice Wutscher LLP. For nearly 30 years, Don has counseled the financial services industry in defense and compliance matters. He has litigated in bench and jury trials in both individual and class actions, appearing before federal Circuit Courts of Appeals and as *amicus* counsel before the U.S. Supreme Court. Don also serves as RMAI's Outside Legal Consultant.

Don is peer-rated AV Preeminent by Martindale-Hubbell, the worldwide guide to lawyers. His prior firm was named a "Go-to Law Firm for the Top 500 Companies" and a "Go-to Financial Law Firm" by Corporate Counsel.



Kelly Knepper-Stephens is Vice President of Legal and Compliance for TrueAccord. Her work focuses on government regulation, compliance, and civil litigation. Kelly serves on the Board of Directors for the Receivables Management Association International and is an ACA Certified Instructor. She also served as a SER for the Arbitration and Debt Collection Rulemakings. Her podcast Two DEBTicated Attorneys can be found on podbean. Collection Advisor Magazine named Kelly one of the 20 Most Powerful Women in Collections in 2018.