



# Educational Offerings

## What Every Compliance Professional Ought To Know About Staying Abreast Of State And Local Laws, Regulations, And Rules Chief Compliance Officer Webinar Series (Part 2)

Sponsored By:

**September 18, 2019 – 9:00am PT/12:00pm ET**  
**One (1) Education Credit toward Certification**



**WIPFLI**

Just when you think you have your Compliance Management System and its controls are perfected, another state changes or implements a regulation. Then you must quickly identify the impact. It is common in our industry for things to change, lately as often as monthly. Let us help you stay connected by sharing our best practices on the what, where and how so you can stay in the loop. This webinar will discuss:

- Sources to monitor,
- Best practices for impact analysis, and
- Communication strategies to work with the business to be able to quickly and effectively implement change within your company.

### Pricing:

**Member:** \$200 for entire series

**Non – Member:** \$376 for entire series

\*You will receive recorded versions of any previous webinars in this series.

\*\*Recordings of each webinar in this series will be available at regular member rate of \$64 & non-member rate of \$94.

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### Course Presenters:



**Anne Thomas** is the Chief Compliance Officer and Senior Compliance Counsel of Cavalry Portfolio Services, LLC. As part of her role, Anne is responsible to design, implement, and monitor the Compliance Management System. She is the Secretary of the RMAI Board of Directors and is also an RMAI CRCP. Anne is an ACA International (ACA) Credit and Collection Compliance Officer and has received ACA's Scholar and Fellow designations.



**Tracey L Gibson**, Chief Compliance Officer, joined Unifund in July 2013. She manages the Audit and Compliance Department which is responsible for both internal processes and 3<sup>rd</sup> party services providers. Before joining Unifund, Ms. Gibson was most recently responsible for compliance and audit of Fidelity Investments' 1,300 employee Retail Sales, Client Service and Support organizations in Covington, KY. Prior to her five years in the Sr. Compliance Advisor role, she held a variety of leadership roles at Fidelity in financial planning, business continuity, operations and trading. Ms Gibson attended Miami University and in addition holds a certification from ACA International as a Credit & Collections Compliance Officer and is a Certified Receivables Compliance Professional through Receivables Management Association International. In addition to Unifund, she is currently serving as Vice President on the Executive Board of Advisors for St. Joseph Orphanage in Cincinnati, Oh.