

## **Ethics as the Cornerstone of a Compliance Management System**

**May 21, 2014 - 9:00 a.m. PDT/12:00 p.m. EDT**

**Required curriculum for certification**

**Two (2) credits for two hour session**

Sponsored by

SIMMONDS & NARITA LLP

A robust Compliance Management System (“CMS”) is critical to your success in the consumer financial services industry. This 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:

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

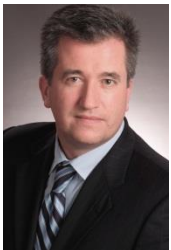
Whatever stage of development your CMS is at, you can benefit from this in-depth look at the theory and practice of ethics-driven compliance management.

### **Pricing:**

- \$74 member rate
- \$104 non-member rate

**Register**

### **Course Presenters:**



**Don Maurice** - President of Maurice & Needleman, P.C., Don has successfully litigated for the financial services industry in both individual and class actions. He has provided defense for claims brought under the Truth in Lending Act (TILA), Equal Credit Opportunity Act (ECOA), Fair Debt Collection Practices Act (FDCPA), Fair Credit Reporting Act (FCRA), Telephone Consumer Protection Act (TCPA) and other state consumer lending regulations. He currently serves as vice chair of the Debt Collection Practices and Bankruptcy Subcommittee of the American Bar Association’s Consumer Financial Services Committee, Business Law Section. Don is admitted to the Bars of New York, New Jersey and the District of Columbia.