

# CBA



Community Bankers  
Association of Kansas

## Auditing for SAFE Act Compliance

WEBINAR OR ON-DEMAND WEB LINK  
(LINK INCLUDES FREE CD ROM)

12 - 1:30 pm PT  
1 - 2:30 pm MT  
2 - 3:30 pm CT  
3 - 4:30 pm ET

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**Tuesday, December 6, 2011**

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The first step for complying with the **Secure and Fair Enforcement for Mortgage Licensing Act (SAFE Act)** was to “adopt and follow written policies and procedures designed to assure compliance with the registration requirements.” Then came your Action Plan, which identified Mortgage Loan Originators (MLOs), implemented fingerprinting, background checks, and documented other required information on each MLO for the Registry.

Hopefully, the dust has settled from the initial SAFE Act compliance requirements. But before the examiners arrive, it would be best to conduct an audit to implement corrective action on anything that might have been missed. This session will address all the specific requirements and provide a request memo for the audit, checklists to utilize, and a report format to make the audit – and examiner scrutiny – a breeze!

**Continuing Education: Attendance verification for CE credits provided upon request.**



## HIGHLIGHTS

Audit tools will include:

- SAFE Act policy checklist to ensure your policy is comprehensive
- Checklist to review the required documentation to be retained (e.g., background checks, loan officer Authorization and Attestation forms, registry confirmations, training, etc.)
- Testing for annual requirements for updating loan officer information on the registry
- How to test the Registry’s site for accurate information on your lenders
- Sample audit report format

## **WHO SHOULD ATTEND?**

This informative session is designed for compliance officers and auditors and would be a good review for those in the lending department.

### **MEET THE PRESENTER**

**Ann Brode,  
Brode Consulting Services, Inc.**



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