

Compliance Package of Ongoing Services

Triac Compliance, LLC.

Overview of Services

The compliance package brings together Triac's compliance services on an ongoing basis. Typically these services include:

- Quarterly compliance audits
- Quarterly training sessions
- Ongoing consultation services

Quarterly Compliance Audits

Triac typically conducts one audit per quarter. The audits usually alternate between credit compliance and operations compliance, including:

- **Compliance Audit I** - Lending regulations.
- **Compliance Audit II** - Bank Secrecy Act.
- **Compliance Audit III** - GLBA/IS regulations.
- **Compliance Audit IV** - General Ops. regulations.

Quarterly Training Sessions

At Triac, the audit findings drive the content of training sessions. While the basics of given regulations are covered, the emphasis is on problem areas identified in the previous audit. The training sessions are conducted at your site, generally within 30 days of audit completion, and include all materials.

Training can be provided to general staff or to specific individuals within the institution assigned the responsibility of training others (training the trainers). A representative schedule for training includes:

- **Compliance Training Session I** - Lending Regulations.
- **Compliance Training Session II** - Bank Secrecy Act.
- **Compliance Training Session III** - GLBA/IS Regulations.
- **Compliance Training Session IV** - General Ops. Regulations.

Ongoing Consultation Services

In addition to the above services, the compliance package for ongoing services includes the following services:

- **Telephone consultation** - Responding to telephone inquiries regarding compliance matters, including research where necessary.
- **Examination assistance** - Assisting the Compliance Officer in addressing requests in examinations and responding to examination reports.
- **Meeting attendance** - Attending quarterly compliance committee meetings.

Services and products for financial institutions since 1991.

Triac Compliance, LLC
4695 MacArthur Court, Ste. 430
Newport Beach, CA 92660

Phone: 888-388-7422
Email: info@triaccompliance.com
Web: www.triaccompliance.com

**TRIAC** LLC.
ANFIELD RISK MANAGEMENT