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Dear Professional:

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In today's financial landscape effectively managing risk has never been more important. New products, regulatory changes, evolving competitive environment and market conditions are just some of the factors that can impact risk assessments. Sheshunoff offers resources that help you: evaluate risks, weigh risks against rewards, make decisions based on these evaluations, and satisfy regulators.

The Sheshunoff collection is written by some of the most respected industry veterans and leaders in the field. Expert insight, analyses, and timesaving workflow tools—sample policies, procedures, risk assessments, checklists and other workflow tools—are a hallmark of the collection.

While maintaining regulatory compliance continues to put pressure on your staff and budget, we recognize the host of other risks requiring constant vigilance, such as:

- Cybersecurity
- Defending against money laundering and fraud
- Auditing and maintaining strong internal controls
- Keeping up with BSA reporting requirements
- Training and educating staff on operational changes such as Same Day ACH

We encourage you to take a moment to review the latest Sheshunoff Banking Compliance catalog for details on specific resources—available in print, eBook or as exclusive online content through the Lexis Advance® service.

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AUDITING

Internal Audit Procedures Handbook

Gary M. Deutsch

Develop, maintain and improve internal control procedures with this comprehensive resource. Focusing on the basics, this handbook delivers detailed programs to ensure preparedness and provide management and the board with the types of assurances that the regulators expect.

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- **Sample documents:** Find planning memos, charters, questionnaires and more.
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S PRINT • 2 volumes, loose-leaf with downloadable forms, updated twice per year, Pub. #04768, ISBN 9780769878256
eBOOK • eISBN 9780769879673

Internal Auditor Alert

David Buzzell

Internal Auditor Alert offers comprehensive coverage of internal auditing, including regulatory, finance and accounting issues, as well as information technology and information security audit areas. This monthly newsletter includes in-depth analyses and coverage of internal auditing issues, hands-on guidance and tools, and much more.

S PRINT • Newsletter, 12 issues per year, Pub. #04771, ISBN 9780769878287
eBOOK • eISBN 9780769879703

Internal Audit Programs

These audit checklists cover all areas of compliance, including accounts and payment systems; BSA/anti-money laundering; credit, lending and leasing; finance and accounting; human resources, information privacy and security; mortgage lending; and governance.

NS eBOOK • Includes downloadable forms, updated 3 times per year, Pub. #04912, ISBN 9781630441135

IT Auditing for Financial Institutions

Gary M. Deutsch

This book offers a practical approach to maintaining adequate systems of internal control from all perspectives. It will assist in customization of an IT audit and internal controls to fit an institution's own needs while preparing for the next IT audit. The manual is written by a seasoned professional who offers practical suggestions for addressing important areas, samples of a risk assessment model, an audit work program, an ICQ, an RFP and much more.

S PRINT • 2 volumes, loose-leaf with downloadable forms, updated twice per year, Pub. #04772, ISBN 9780769878294
eBOOK • eISBN 9780769879710



BANK SECRECY ACT

BSA Bank Secrecy Act and Anti-Money Laundering Service

Lorraine Hyde

Step-by-step compliance guidance, specifically addressing BSA and AML, including checklists for maintaining good internal controls, examples of typical money-laundering schemes, sample BSA and OFAC policies, and sample training materials. In addition, this publication provides FinCEN e-filing forms, BSA compliance exams, customer due diligence guidelines and procedures, high-risk accounts in international banking and wire transfer requirements.

S PRINT • 1 volume, loose-leaf with downloadable version, updated twice per year, Pub. #04710, ISBN 9780769877679
eBOOK • eISBN 9780769879093



BSA Officer Training Program

Joy B. Boone

The Bank Secrecy Act has never been a bigger concern to regulators and remains a minefield for financial institutions. One of the fundamental requirements of the Bank Secrecy Act is the designation of a BSA officer. The BSA officer is responsible for administering your institution's anti-money laundering program and ensuring that your staff knows what their responsibilities are. The *BSA Officer Training Program* provides self-paced training that gives your BSA officer the information and skills needed to perform this critical function.

S PRINT • 1 volume, loose-leaf with downloadable version, updated 3 times per year, Pub. #04722, ISBN 9780769877792
eBOOK • eISBN 9780769879215



BSA/AML Update

Kurt Mattson

This newsletter provides you with the most current BSA/AML information twice a month, covering regulatory changes and hot court cases.

S PRINT • Newsletter, 24 issues per year, Pub. #04725, ISBN 9780769877822
eBOOK • eISBN 9780769879246

Guide to Anti-Money Laundering and BSA Compliance

Jeffrey R. Torp

This *Guide* provides a straightforward discussion of the laws and regulations from the USA PATRIOT Act, which the federal government and financial agencies have enacted and continue to use, update and clarify. The guide identifies high-risk areas, products and transactions to help you determine specific activities on which to focus, and includes regulatory summaries, highlighted high-risk areas, restrictions and detailed checklists of key requirements.

S PRINT • 1 volume, loose-leaf with downloadable version, updated twice per year, Pub. #04760, ISBN 9780769878171
eBOOK • eISBN 9780769879598

BSA Officers Administration Handbook

Lorraine Hyde

Providing the tools necessary to fortify an institution's BSA/AML (Bank Secrecy Act/Anti-Money Laundering) program, this comprehensive *Handbook* includes explanations of regulatory requirements, sample policies and procedures, checklists and training outlines for the staff of each department or operational area of a financial institution.

S PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04723, ISBN 9780769877808
eBOOK • eISBN 9780769879222

BSA/Anti-Money Laundering: Internal Audit and Risk Management

Lorraine Hyde

S PRINT • 1 volume, loose-leaf with downloadable version, updated twice per year, Pub. #04727, ISBN 9780769877846
eBOOK • eISBN 9780769879604

CORE COMPLIANCE

Bank Regulatory Compliance Alert

Lorraine Hyde

The Sheshunoff *Bank Regulatory Compliance Alert* was developed so all banks have the guidance needed in an accessible, affordable format. Each month, the report covers all the latest compliance issues. Articles tell you what's happening and what you need to do to stay in compliance. This newsletter is every bank's best tool for keeping up with and understanding the implications when compliance issues change. It's written specifically for bank compliance officers in a fast-reading format that delivers the information you really need, so you stay focused on what's important to you, and get the information you need without being overwhelmed by all the information that's out there.

S PRINT • Newsletter, 12 issues per year, Pub. #04708, ISBN 9780769877655
eBOOK • eISBN 9780769879079

Compliance Monitoring Program for National Banks

Jeffrey R. Torp

Tailored to the OCC's requirements, this manual provides clear compliance guidance, including coverage of all the consumer regulations, outlining the regulation's purpose, requirements, exemptions and liabilities for noncompliance. Offering detailed coverage of compliance responsibilities by function, compliance checklists, audit procedures, training guidelines, checklists, and sample forms and reports, this manual is an essential resource for compliance officers.

S PRINT • 2 volumes, loose-leaf with downloadable forms, updated twice per year, Pub. #04744, ISBN 9780769878010
eBOOK • eISBN 9780769879437



Compliance Monitoring Program for State Non-Member Banks

Jeffrey R. Torp

Tailored to the FDIC's requirements, this manual provides clear compliance guidance, including coverage of all the consumer regulations, outlining the regulation's purpose, requirements, exemptions and liabilities for noncompliance. Offering detailed coverage of compliance responsibilities by function, compliance checklists, audit procedures, training guidelines, checklists, and sample forms and reports, this manual is an essential resource for compliance officers.

S PRINT • 2 volumes, loose-leaf with downloadable forms, updated twice per year, Pub. #04745, ISBN 9780769878027
eBOOK • eISBN 9780769879444

Compliance Officer's Management Manual

Joy B. Boone

Keeping up with ongoing compliance changes and ensuring your programs remain effective can leave you little time for anything else. Plus, you need to be sure that every employee knows what to do to help the bank stay in compliance. This comprehensive resource provides clear and easy-to-follow compliance guidance, detailed coverage of each regulation and its purpose, requirements, exemptions and liabilities for noncompliance; compliance responsibilities by function; compliance checklists; audit procedures; training guidelines; and sample forms and reports. It's an essential resource for compliance officers.

S PRINT • 2 volumes, loose-leaf with downloadable forms, updated twice per year, Pub. #04746, ISBN 9780769878034
eBOOK • eISBN 9780769879451



Pratt's™ Regulatory Compliance Guide for Bankers

Robert E. Braun

Written by industry veteran Robert E. Braun, the guide delivers analysis for each consumer regulation in its entirety, including summaries and the effect of that regulation on different functions within a financial institution, and provides practical application for operations, procedures, compliance, disclosures, notices, marketing, advertising and record retention.

S PRINT • 1 volume, loose-leaf with downloadable version, updated twice per year, Pub. #04796, ISBN 9780769878539
eBOOK • eISBN 9780769879956

Regulatory Compliance Training Program

Joy B. Boone

Regulators are looking for evidence that your bank puts a premium on compliance. They want to know that your compliance officer's skills are up to date with the latest compliance demands. With the *Regulatory Compliance Training Program*, show the regulators, and others, that your bank and your compliance officer meet the serious, demanding challenges of compliance.

S PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04798, ISBN 9780769878614
eBOOK • eISBN 9780769880037

Bank Marketing and Advertising Regulatory Compliance Service

Robert E. Braun

This manual helps you with marketing requirements, no matter how often the rules change. Each product has its own tabbed section, with all the rules and regulations that impact that product clearly outlined. Every consumer product a bank can offer is included, so you're never without answers on the requirements needed for your marketing efforts.

S PRINT • 2 volumes, loose-leaf with downloadable version, updated twice per year, Pub. #04704, ISBN 9780769877617
eBOOK • eISBN 9780769879031

Compliance Examinations Update for Financial Institutions

James H. Pannabecker

Compliance Examinations Update reports on institutions' liabilities for noncompliance, makes you aware of the consequences and specifies what it takes to put the bank back in compliance. Each article is presented as a case study covering an important compliance issue.

S PRINT • 1 volume, loose-leaf with downloadable version, updated monthly, Pub. #04739, ISBN 9780769877969
eBOOK • eISBN 9780769879383

Core Compliance—Compliance Tools

The following publications cover policies, procedures, checklists, ICQs, risk matrices and work papers—all the tools needed to support the compliance officer's daily workflow.

Self-Assessment and Regulatory Compliance Review

Jeffrey R. Torp

Self-Assessment and Regulatory Compliance Review is more than a compliance manual. It contains additional elements that, in addition to the manual, provide useful tools for maintaining compliance. These tools include:

- A risk-based operational checklist for each regulation
- A risk-assessment matrix to assist you in identifying your level of compliance risk
- A calendar of regulatory events

S PRINT • 1 volume, loose-leaf with downloadable forms, updated twice per year, Pub. #04844, ISBN 9780769886152
eBOOK • eISBN 9780769886169



Risk-Based Compliance Audit Program: Risk Assessment Checklists and Related Requirements

The regulators expect you to be able to identify and rate the areas in which you have risk exposure. This helpful manual consists of individual checklists with risk ratings—organized by specific products and services—for conducting compliance reviews for federal consumer laws and regulations, including security, privacy, electronic banking, disclosures and insurance roles. The manual provides:

- Compliance checklists organized by individual products and services
- A risk assessment matrix to help you easily access and record your institution's specific level of risk for the various compliance requirements, as they become effective
- The assessments to allow you to assign a risk rating, thus prioritizing your institution's needs and maximizing your resources
- A compliance calendar that gives you a quick reference for changing requirements

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eBOOK • eISBN 9780769880099

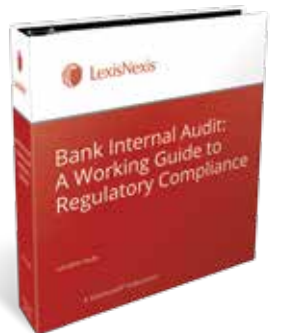
Bank Internal Audit: A Working Guide to Regulatory Compliance

Lorraine Hyde

This practical resource shows how to ensure policies and procedures are being followed and accomplishing what they were intended to. From credit risk to integrated financial software systems, the manual covers it all, including:

- Basics such as organizing the internal audit function and developing the audit scope
- Clear guidelines to use for your own internal audit
- Sample procedures for every key area of the bank
- Checklists
- Examples of documentation
- Periodic updates

S PRINT • 1 volume, loose-leaf with downloadable forms, updated twice per year, Pub. #04702, ISBN 9780769877594
eBOOK • eISBN 9780769879017



Bank Policies: A Working Guide to Regulatory Compliance

Lorraine Hyde

This is your blueprint for developing and implementing policies and procedures mandated by the regulators. Guidelines and sample materials help save hours of time and help ensure that your bank has effective, proven policies that have been implemented by banks just like yours.

S PRINT • 1 volume, loose-leaf with downloadable forms, updated twice per year, Pub. #04706, ISBN 9780769877631
eBOOK • eISBN 9780769879055

Policies and Procedures

Joy B. Boone

These policies and procedures cover all areas of compliance, including accounts and payment systems; BSA/anti-money laundering; credit, lending and leasing; finance and accounting; human resources, information privacy and security; mortgage lending; and governance.

NS eBOOK • Includes downloadable forms, updated 3 times per year, Pub. #04914, eISBN 9781630441166

Bank Policies, Procedures, and Internal Audit Set

Includes downloadable forms from *Bank Internal Audit*, *Bank Policies*, and *Bank Procedures*.

S CD-ROM • Single user, Pub. #04850, ISBN 9780769886275

Bank Procedures: A Working Guide to Regulatory Compliance

Lorraine Hyde

This practical, how-to guide will lead you through every step of the procedures development and review processes. Use the proven guidelines and sample materials and save hours of time, while ensuring that your bank has tested, effective procedures. Discussions, procedures and checklists are arranged in the following categories:

- Executive Group
- Lending
- Treasury/Finance
- Operations
- Data Processing

S PRINT • 1 volume, loose-leaf with downloadable forms, updated twice per year, Pub. #04707, ISBN 9780769877648

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Bank Internal Control Manual

Charles LeGrand

From credit risk to integrated financial software systems, the manual contains sample internal controls tools for every key area of the financial institution: checklists, examples of documentation and clear guidelines you can use for internal control checklists for your own operation. Topics such as credit scoring processes and automated clearing house activities are also areas of risk focus.

S PRINT • 1 volume, loose-leaf with downloadable forms, updated annually, Pub #04703, ISBN 9780769877600

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Edmond E. Pace

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Volume 3: Risk Management and Bank Compliance. Information and tools you need to understand risk management, loss prevention, and compliance requirements; and protect your bank—from model systems and programs to prevention measures and contingency planning.

S PRINT • 3 volumes, loose-leaf with downloadable forms, updated 4 times per year, Pub. #04737, ISBN 9780769877945

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Bank CEOs Operating and Management Desk Reference

Edmond E. Pace

S PRINT • 1 volume, loose-leaf with downloadable version, updated 3 times per year, Pub. #04700, ISBN 9780769877570

eBOOK • eISBN 9780769878997

Bank Operations and Administration Desk Reference

Edmond E. Pace

S PRINT • 1 volume, loose-leaf with downloadable version, updated 4 times per year, Pub. #04705, ISBN 9780769877624

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Community Bank Human Resources Management

Edmond E. Pace

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Implementing Dodd-Frank Consumer Financial Protection Provisions

James H. Pannabecker

The Consumer Financial Protection Bureau has unprecedented power, and you can expect ongoing new and changing regulations. The Dodd-Frank Wall Street Reform and Consumer Protection Act is complex, but Implementing Dodd-Frank Consumer Financial Protection Provisions breaks it down for financial institutions.



This resource provides:

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- Executive Summaries that spotlight key issues, “take-aways” and talking points
- Quick-reference tables of regulations and regulatory actions, including deadlines and reference cites to manual and regulations
- Alerts that keep you informed of changes as they occur

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Dena Somers

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Bank Teller & CSR Report

J. Scott Gupton, Jamie McAdaragh

This monthly newsletter is written specifically for bank tellers and CSRs, for keeping up to speed with the changing rules and skills needed to better serve customers and help the bank stay in compliance.

S PRINT • Newsletter, 12 issues per year, Pub. #04713, ISBN 9780769877709

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LENDING

Loan Policies Manual

Dena Somers

This is your comprehensive credit policy manual for all lending activities throughout your organization. The manual focuses on reducing risk and gives you sample lending policies that will satisfy your regulators. By identifying weaknesses and controlling risky underwriting practices, you can avoid undue attention during on-site examinations. Even if you already have lending policies in place, this guide is useful to make sure everything is complete.

The *Manual* covers:

- General lending standards
- Consumer lending
- Residential mortgage lending
- Commercial real estate and construction lending
- Non-real estate business lending
- Specialized lending and credit extensions
- Customer verification and authentication requirements
- Workout credits and problem assets
- Risk assessment and management
- Processing loans over the internet
- Applicable laws and regulations

Sample policies make it easy for you to customize documents and distribute them to loan officers.

S PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04775, ISBN 9780769878324

eBOOK • eISBN 9780769879741

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Edmond E. Pace

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Community Bank Loan Management

Edmond E. Pace

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- Clearly written and easy-to-use chapters that explain exactly how the various loan departments of a bank should function
- Step-by-step approach showing how to improve loan documentation procedures, keep track of exceptions and put together loan approval packages
- Detailed, extremely practical loan grading system
- Help in avoiding compliance mistakes
- Numerous examples, samples of documents, and key explanations that make even the most complex topics understandable
- Timely, periodic updates that keep the manuals current and make it easier to keep up with all the latest products, methods and regulations

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Self-Paced Loan Documentation Training

Dena Somers

Get up to speed on the latest rules, techniques and methods for making safer, better-documented loans and keeping the lending area in compliance, so you have less exposure with the examiners and in court. Training includes:

- Documentation for the most common types of secured loans, including real estate, pledge agreements and security agreements
- Basics, such as elements of a loan for beginners
- More complex agreements, such as contracts involving other parties, that veteran loan officers may need to brush up on
- End-of-chapter reviews and self-tests that help reinforce the information covered in each chapter
- Examples to illustrate complex issues

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Credit Managers Risk Mitigation

Gary M. Deutsch

From credit planning to appraisals to documentation, this manual guides you through the credit process with clear guidelines you can use for your operation. The principles, practices and techniques discussed in this manual are based on tried-and-true methods institutions have used in modern times to protect against losses while meeting regulatory and accounting requirements. Helpful tools, such as sample documents and checklists are included.

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eBOOK • eISBN 9780769886008

Guidance for Estimating the ALLL Requirements and Procedures

Gary M. Deutsch

Guidance for Estimating the ALLL offers tested methods to protect against losses while meeting regulatory and accounting requirements, and each chapter covers a specific and important part of the important ALLL estimation procedures and methodologies that are needed to ensure compliance with GAAP and regulatory guidance.

S PRINT • 1 volume, loose-leaf with downloadable version, updated twice per year, Pub. #04839, ISBN 9780769886053

eBOOK • eISBN 9780769886060

One-to-Four-Family Loan Documentation Charts for Banks

Lorraine Hyde

This collection of charts is designed to help banks decipher all the complex disclosure requirements for loans secured by one-to-four-family real estate.

NS eBOOK • Pub. #04913, eISBN 9781630441142



MORTGAGE LENDING

Mortgage Lending Operations and Administration

James H. Pannabecker

In-depth coverage of mortgage lending operations and administration, addressing key issues, such as resolving problem loan situations, pricing loans and managing risks, and includes practical guidance, forms, checklists and sample policies.

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David Stemler

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Mortgage Lenders Model Compliance Manual: Policies, Forms, and Checklists

James H. Pannabecker

Regulations continue to change and evolve in the aftermath of Dodd-Frank and the establishment of the CFPB, making it more important than ever to ensure a residential mortgage lending staff understands and complies with these new and changing state and federal regulations.

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PAYMENT SYSTEMS

Automated Clearing House Transactions Compliance: Operations, Compliance and Audit

Margaret L. Simmons

Offers step-by-step guidance for operating ACH transactions efficiently and in full compliance with the Operating Rules of the National Automated Clearing House Association, Regulation E, Regulation CC and UCC Article 4A. The manual includes:

- The basics of the ACH network and the different types of ACH transactions
- Guidance to originating depository financial institutions (ODFIs) and to receiving depository financial institutions (RDFIs) for complying with the ACH Rules
- Explanation of the obligations and responsibilities of originators, ACH operators and third-party service providers
- Guidance to help institutions comply with the relevant regulations and explain what the potential liabilities can be for noncompliance
- Explanation of the major areas of risk and what you can do to help minimize your exposure
- Guidance on performing a self-audit Sample policies, checklists and reference materials

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eBOOK • eISBN 9780769878966



Compliance Guide to Payment Systems: Law and Regulation

Barkley Clark, Barbara Clark, Mark Hargrave

Written specifically for bankers, this essential publication provides practical guidance to all types of payment systems, including: money/currency, bank checks, mobile banking, NACHA rules, Credit CARD Act, disclosure requirements, high-to-low debit posting, unfair, deceptive or abusive acts and practices, credit union share drafts, remittance instruments, documentary drafts, letters of credit, credit cards, ATMs, wire transfers, ACH networks, smart cards, internet transactions and home banking.

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Electronic Banking Compliance

Jeffrey R. Torp

Comprehensive coverage of six discrete electronic services, processes or products to which the rules and regulations apply, including:

- Internet banking—electronic transactions, information privacy and security, loans and deposits
- ACH transactions
- Check 21 Act and Regulation CC
- Remote capture
- Wire transfers
- Credit cards

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RISK

Risk Assessments for Financial Institutions: Checklists • Forms • Matrices

Gary M. Deutsch

A best-selling compilation of tools, this manual is a trusted resource that can help evaluate risks, weigh risks against rewards and make decisions based on these documented, risk-based evaluations.

Included are checklists, work papers, matrices, calendars and charts that you can use to identify risks and rate risks based on specific rating systems in the following areas: BSA/AML/OFAC, Information Security, Information Technology, Business Continuity, Electronic Banking, Compliance, Audit, Lending, and Finance and Accounting.

S PRINT • 1 volume, loose-leaf with downloadable forms, updated 3 times per year, Pub. #04799, ISBN 9780769878621

eBOOK • eISBN 9780769880044



Practices and Procedures for Financial Institution Risk Management

Gary M. Deutsch

This handbook covers the most critical areas on which regulators focus in examinations, including more than 100 examples of specific risks, drawn from each of the major risk areas, and includes suggested remedies.

S PRINT • 1 volume, loose-leaf with downloadable forms, updated twice per year, Pub. #04788, ISBN 9780769878454

eBOOK • eISBN 9780769879871

Bank Safety and Soundness Regulatory Service

Jeffrey R. Torp

S PRINT • 1 volume, loose-leaf with downloadable forms, updated annually, Pub. #04707, ISBN 9780769877648

eBOOK • eISBN 9780769879062

SECURITY

Bank Security Desk Reference

Richard J. Errico, Jeff M. Spivey

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