

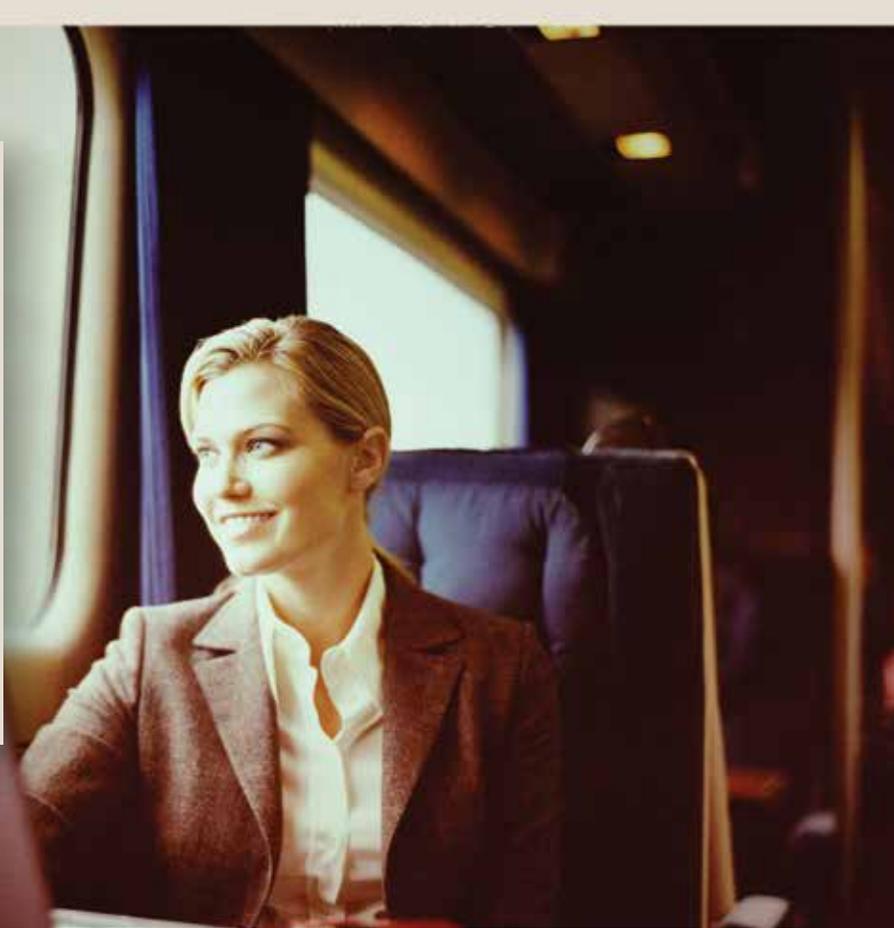


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# Financial Services Compliance Product Guide

2014 Catalog





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# Financial Services Compliance Product Guide

2014 Catalog



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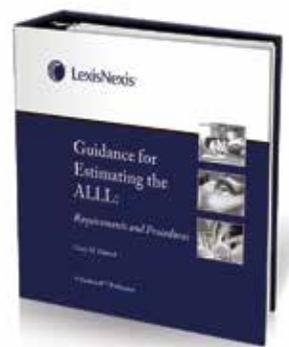
Gary M. Deutsch

Designed to assist financial institutions to meet regulatory expectations and comply with GAAP and regulatory guidance for estimating the allowance for loan and lease losses, this comprehensive manual offers tried-and-true methods to protect against losses while meeting regulatory and accounting requirements. Information covered includes:

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- Identifying losses inherent in groups of smaller balance homogeneous loans
- Methods for evaluating environmental and qualitative factors
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**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04839, ISBN 9780769886053

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### Asset & Liability Management

Gary M. Deutsch

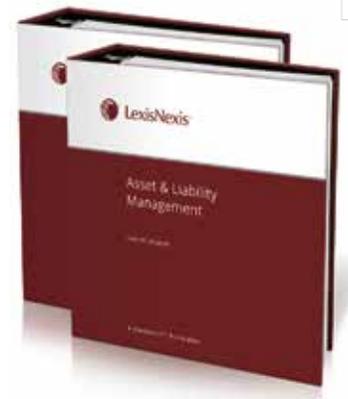
Author Gary Deutsch gives guidance on the active management of assets and liabilities, ensuring that they produce the planned level of net interest margin. Focusing on liquidity management and funding alternatives, the guide will show you how to improve your interest rate risk management program by determining where your risks are so that you can prioritize them.

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- Non-maturity deposit assumptions
- Understanding interest-rate risk models
- Deposit pricing strategies
- Liquidity management and funding alternatives
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- IRR audit checklists
- ALM<sup>®</sup> ratios
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Jeffrey R. Torp

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

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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.

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### 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.

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Kurt Mattson

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Mary Brookhart

This monthly newsletter addresses high-priority areas for bank regulators, with an emphasis on management of market risk, liquidity risk and credit risk. Recent topics include dealing with administered rates, uncertain maturities, hidden options, income simulation analysis, and defining and quantifying interest-rate risk.

**S** PRINT • Newsletter, 12 issues per year, Pub. #04699, ISBN 9780769877563

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## Core Compliance

### Compliance Officer's Management Manual

Patsy Parkin

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.

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**S** PRINT • 2 volumes, loose-leaf, updated 3 times per year, Pub. #04746, ISBN 9780769878034



## Compliance Guide to Bank Operations

Robert Braun

Written from an operations officer's point-of-view, this manual examines the regulatory requirements and compliance risk specific to bank operations and provides easy-to-understand interpretation and analysis of the regulations which apply.

*Compliance Guide to Bank Operations* keeps you up to date on the latest regulations and contains:

- **Product-by-product guidance.** Quickly access the information needed to review the specific requirements for each product or service, rather than by reviewing guidance by regulation.
- **A step-by-step approach.** Build a compliance program following each step within the product-by-product chapters, making the guidance not only helpful, but also actionable.
- **Comprehensive analysis.** Establish compliance programs for all of the operational products and services.
- **Consistent compliance.** Keep everyone in your department current with the latest compliance changes that affect their functions, quickly and easily.
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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.

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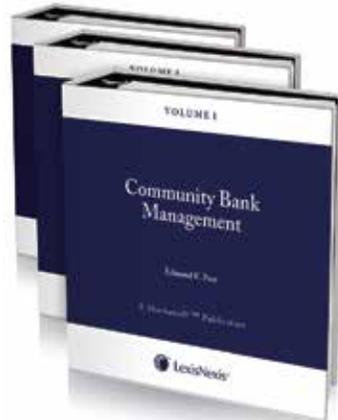
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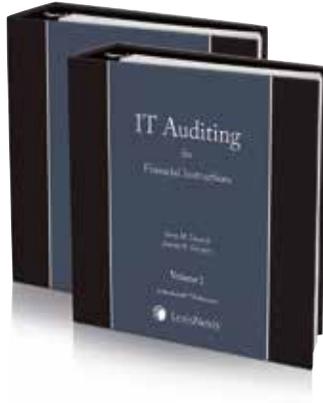
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J. Scott Gupton

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# Compliance Resources for Credit Unions

LexisNexis Sheshunoff provides specially tailored compliance, internal audit and risk-assessment resources, which address the unique needs of Credit Unions. Expert authors, including Jeffrey R. Torp, David Reed and Lorraine Hyde, help ensure compliance, while providing practical guidance and sample documents written specifically for credit unions.

## Compliance Guide for Credit Unions

Jeffrey R. Torp

With the flood of new laws and regulations, it is more important than ever for credit union management and directors to understand what is needed for compliance. This comprehensive resource helps credit union management establish and maintain an effective compliance management system. Each chapter focuses on a single regulation or law and discusses the regulation's purpose, coverage, any exemptions, disclosure and reporting requirements, and liabilities for noncompliance.

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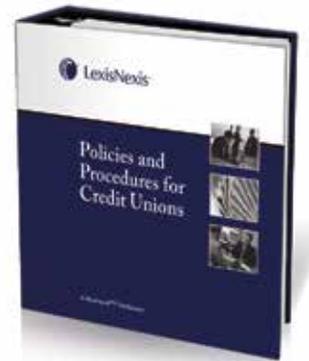
## Policies and Procedures for Credit Unions

Lorraine Hyde

This comprehensive policies and procedures manual covers the functional areas of a credit union: operations, lending, finance/treasury and administration, and includes sample policies and procedures for every appropriate area. Clearly written and easily understood, this manual provides the insight and guidance you need to develop proven, written policies that will satisfy your examiner and help your credit union operate more effectively. Properly written and implemented policies and procedures will:

- Ensure staff carries out senior management and board directives
- Assist in compliance with the growing number of laws and regulations
- Be used as part of training efforts
- Provide a framework to implement strategic plans

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## Compliance Guide to Credit Union Operations

Robert Braun

This unique compliance manual for the credit union operations area gives you a practical, product-oriented approach to the rules you must follow, in an easy-to-use format, and contains quick reference charts, checklists and examples. Coverage includes:

- Regulatory basics for share accounts
- Notice and disclosure requirements for share accounts
- Regulatory basics for share drafts
- Notice and disclosure requirements for share drafts
- Open-end and closed-end credit requirements
- Real property credit requirements
- Issuing, paying and returning share drafts and checks
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## Credit Union Strategic Planning Manual

Gary M. Deutsch

Providing scripts and guidelines for strategic planning sessions, this manual contains model planning documents to complete at the beginning of the planning process, and proven techniques to help your credit union develop an effective strategic plan. Coverage includes:

- Detailed guidance on strategic planning concepts and the strategic planning process
- Help deciding what to consider for strategic planning, and how to do it, step by step
- Hands-on guidance through the entire strategic planning process
- Samples, forms, models and planning worksheets you can use as is or easily adapt to your specific needs
- A model strategic marketing plan to help you deal with FOM issues, increase penetration of your current FOM, and successfully compete in the financial marketplace
- Outlines to plan and implement risk management strategies
- Details of human resource planning, financial planning, budgeting procedures, and regulatory planning issues
- Considerations for CUSOs

**NS** PRINT • 1 volume, loose-leaf, Pub. #04752, ISBN 9780769878096

## Credit Union Regulatory Compliance Report

Lorraine Hyde

This monthly newsletter covers the latest credit union compliance issues and provides valuable compliance guidance for all aspects of credit unions. An annual compliance calendar makes sure you won't miss any important compliance deadlines.

**S** PRINT • Newsletter, updated 12 times per year, Pub. #04751, ISBN 9780769878089  
eBOOK • eISBN 9780769879505

## Collections Manual for Credit Unions

David A. Reed

Comprehensive, hands-on guidance for running an effective collections operation while minimizing bad debt—complete with sample letters, policies, procedures and questionnaires. This practical manual takes a real-life approach to a credit union manager's unique sensibilities and concerns. Whether setting up an in-house department or improving current process, this Manual provides guidance on developing an efficient collections organization.

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## Bankruptcy Guide for Credit Unions

David A. Reed

Keep losses at a minimum with bankruptcy guidance specifically written for credit unions. This comprehensive guide provides checklists, forms, sample letters and other documents to help you prevent bankruptcy filings from occurring, follow through on bankruptcy cases filed by members, and reduce losses associated with bankruptcy filings.

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## Internal Auditing Manual for Credit Unions

Lorraine Hyde

A must-have resource for any credit union auditor, this manual provides a comprehensive resource designed to protect your credit union and its members from internal and external risks. Each audit program comes with an overview section to introduce and explain the major components of the audit, followed by detailed checklists and a questionnaire to help gather necessary information before the audit.

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eBOOK • eISBN 9780769879697

## Risk Based Compliance Audit Program for Credit Unions

Jeffrey R. Torp

This one-of-a-kind resource provides practice-proven tools and expert guidance to help you streamline, enhance and ensure every step of the compliance review process with everything you need to minimize your credit union's chances of investigations, litigation and costly penalties.

**S** PRINT • 1 volume, loose-leaf, updated 3 times per year, Pub. #04805, ISBN 9780769878683

## Marketing and Advertising Regulatory Guide for Credit Unions

Robert Braun

The easiest way for credit unions to keep every marketing effort and product in compliance, this valuable resource approaches compliance the way you do—by the products and services you offer. The manual analyzes all types of credit union product offerings and helps the reader understand each product and the associated marketing and advertising compliance issues to help avoid costly and embarrassing compliance issues.

**S** PRINT • 1 volume, loose-leaf, updated 3 times per year, Pub. #04777, ISBN 9780769878348



# Account and Payment Systems

Each year, fewer checks are being used and new account and payment systems emerge. To compound the issues, there are constant changes in the processing of bank checks. Keeping up with the regulations and laws that govern account and payment systems can be overwhelming. As more institutions and their customers adopt these new products and services, regulatory changes and additional guidance will undoubtedly follow suit. LexisNexis provides guidance on the latest business trends, technological innovations, regulatory developments affecting operations, compliance with third-party processors, legal risks concerning protection rules, risk and fraud management, and more.

## ACH Training Manual

Margaret L. Simmons

This Manual helps ensure all employees involved with processing ACH transactions perform their jobs efficiently and in compliance with appropriate rules and regulations, helping employees harness a better understanding and appreciation of the risk-based focus regulators now expect.

- Eight courses cover all the key areas of ACH, including ACH Fundamentals, ACH Files, ODFI Operations, RDFI Operations, ACH Operators and Third-Party Service Providers, Risk Management, Regulatory Compliance, and ACH Rules Compliance Audit.
- Manageable course lessons have review quizzes to measure understanding and ensure that the information is absorbed.
- Cross-references to the ACH Rules and federal regulations direct users to additional information on the topic.
- The *Manager's Handbook* assists in documentation, tracking, and testing each employee's knowledge and understanding of the material.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04694, ISBN 9780769877518

eBOOK • eISBN 9780769878935



## Automated Clearing House Transactions: 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

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04697, ISBN 9780769877549

eBOOK • eISBN 9780769878966

## Compliance Guide to Payment Systems: Law and Regulation

Barkley Clark, Barbara Clark, and 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.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04743, ISBN 9780769878003

eBOOK • eISBN 9780769879420

## Electronic Banking Compliance

Jeffrey R. Torp, Margaret L. Simmons

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

**S** PRINT • 1 volume, loose-leaf, Pub. #04755, ISBN 9780769878126

## Deposit Account Fraud Protection

Clayton Gillette

Comprehensive coverage provides step-by-step instructions on how to protect an institution's deposit accounts from check fraud and electronic fraud, and avoid potential liability. The book covers the relevant compliance and legal issues for all forms of negotiable instruments to help any financial institution, and it contains sample procedures, training material and checklists to help you detect and prevent fraud.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04754, ISBN 9780769878119

eBOOK • eISBN 9780769879536

## Remote Deposit Capture: Implementation, Policies, and Procedures

Anne J. Cheatham, J. Scott Gupton

**S** PRINT • 2 volumes, loose-leaf, updated 3 times per year, Pub. #04764, ISBN 9780769878218

## Credit and Debit Cards: Compliance, Operations, and Risk

**NS** PRINT • 1 volume, softbound, Pub. #04837, ISBN 9780769886015

# Commercial and Consumer Lending

Often the most profitable aspect of a bank's business, lending, can be a tricky area. Commercial and consumer lenders are subject to losses due to a host of reasons—portfolio mismanagement, loan officer judgment errors, economic downturn and regulatory difficulties caused by compliance errors. LexisNexis provides comprehensive coverage of both commercial and consumer lending for the financial services professional.

## Community Bank Loan Management

Edmond E. Pace

This set of manuals is an encyclopedia of lending, designed to be a central loan library for everyone involved in lending. It covers lending from A to Z—and includes allowance for loan losses; workouts; consumer, real estate and commercial lending; lending with financial statements and lending when the financial statements are meaningless; loan documentation procedures; loan grading systems; and more. Materials include:

- An entire section on how to manage, control and collect the bank's problem loans
- 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, put together loan approval packages
- Detailed, extremely practical loan grading system
- Help in avoiding compliance mistakes
- Lots of examples, samples of documents, and key explanations 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

**S** PRINT • 2 volumes, loose-leaf, updated 4 times per year, Pub. #04736, ISBN 9780769877938

eBOOK • eISBN 9780769879352



## Commercial Loan Review and Audit Manual

Marta A. Stern

Designed to help identify, monitor and control risks to reduce commercial loan losses, this manual helps identify when to take prompt corrective action before the safety and soundness of the loan portfolio becomes a serious issue. Includes expert guidance, checklists, forms and useful exhibits to help your loan review department realize its full potential.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04733, ISBN 9780769877907

eBOOK • eISBN 9780769879321

## Senior Loan Officer's Desk Reference

Edmond E. Pace

A detailed desk reference helping establish a loan officer's duties, and giving detailed descriptions on how to perform every aspect of this complex job. A must-have for loan officers, this valuable resource answers the many questions that arise daily.

**S** PRINT • 1 volume, loose-leaf, updated 4 times per year, Pub. #04810, ISBN 9780769878737

eBOOK • eISBN 9780769880450

## Loan Policies Manual

John P. Kelley

This powerful resource is a comprehensive credit policy manual for all lending activities throughout an organization. The Manual focuses on reducing risk and gives sample lending policies that will satisfy regulators. By identifying weaknesses and controlling risky underwriting practices, undue attention can be avoided during on-site examinations.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04775, ISBN 9780769878324  
eBOOK • eISBN 9780769879741

## Structuring and Drafting Commercial Loan Agreements

Sandra Stern

This practical treatise is designed to help commercial and banking law attorneys protect their clients' interests through the structuring of commercial loan agreements and drafting loan documents. This treatise is the premier resource used by thousands of attorneys, borrowers, and lenders for optimal negotiation and structuring of commercial loans. Included are the following materials:

- Suggestions for drafting a letter of credit reimbursement agreement in the light of Revised Article 5 and UCP 500
- A step-by-step guide to perfection and priority under UCC Article 9
- A chapter on loan participations, including alternative drafting solutions from the perspective of each party
- Guidance on the 2010 Amendments to UCC Article 9, including changes in the filing system
- Extensive examples of sample loan documentation, with commentary, that will guide users and cut research time significantly

**S** PRINT • 2 volumes, loose-leaf, updated annually, Pub. #04813, ISBN 9780769878768  
eBOOK • eISBN 9780769880181

## Consumer Credit and Truth-in-Lending Compliance Report

Earl Phillips

**S** PRINT • Newsletter, 12 issues per year, Pub. #04747, ISBN 9780769878041

## Federal Fair Lending & Credit Practices Manual

David Stemler

This comprehensive manual provides timely information and authoritative guidance on fair lending and credit practices, covering the seven major federal anti-discrimination and fair credit laws and the requirements of the Consumer Financial Protection Bureau. This easy-to-use reference is essential for financial services professionals.

**S** PRINT • 2 volumes, loose-leaf, updated twice per year, Pub. #04758, ISBN 9780769878157  
eBOOK • eISBN 9780769879574



## Fair Debt Collection Practices: Federal and State Law and Regulation

Manuel H. Newburger

This manual contains virtually everything you'll need to avoid costly litigation and hefty fines, including:

- Full overview and analysis of the FDCPA, including recent amendments
- Full overview and analysis of state fair-debt collection laws and regulations
- Full discussion of key common law issues
- Hundreds of warnings, spotlighting legal landmines
- Quick-reference guides to state regulations and licensing requirements for both collection agencies and attorneys
- Federal Trade Commission commentary and opinion letters on the FDCPA, plus an original essay from the FTC on debt collectors' credit reporting obligations

**S** PRINT • 2 volumes, loose-leaf, updated 3 times per year, Pub. #04757, ISBN 9780769878140  
eBOOK • eISBN 9780769879567

## Banking & Lending Institution Forms with Commentary and Checklists

Jacob Reby

A complete banking and lending encyclopedia of over 1,200 forms addressing all types of lending, leasing, financing, bank operations and compliance, essential for commercial and banking attorneys and professionals. Forms range from the simplest contracts to highly sophisticated, complex transactions.

**S** PRINT • 4 volumes, loose-leaf, updated twice per year, Pub. #04716, ISBN 9780769877730

## Consumer Credit: Law, Transactions and Forms

Kenneth M. Lapine

Provides a detailed analysis of 13 major consumer credit laws along with practical guidance for every stage of a consumer credit transaction. This publication includes relevant statutes, regulations, interpretations and policies, model forms, checklists, examples and tables.

**S** PRINT • 6 volumes, loose-leaf, with updates, Pub. #00084, ISBN 9780820510842

eBOOK • eISBN 9781579115777

Also published as Volumes 7, 8, 9 and 10 of *Banking Law*.

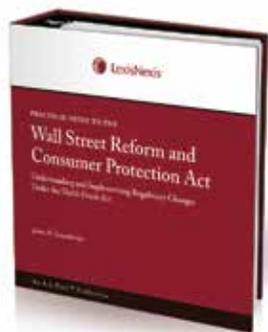
# Dodd-Frank and the Consumer Financial Protection Bureau

In the wake of the 2008 financial crisis, and the enactment of the Dodd-Frank Act, the Consumer Financial Protection Bureau was created. The Dodd-Frank Act is arguably the most significant law impacting financial services in recent history, and financial institutions are scrambling to keep up. LexisNexis has several publications providing comprehensive insight and guidance on complying with the Dodd-Frank Act and mandates from the CFPB.

## A Practical Guide to the Wall Street Reform and Consumer Protection Act

James H. Pannabecker

When the rules change, you need to change with them. LexisNexis introduces a comprehensive manual designed to help you understand, implement, and comply with the new regulations of the historic Dodd-Frank Wall Street Reform and Consumer Protection Act.



More than just a retelling of the complex bill, this resource offers the analysis, information and in-depth knowledge that you need to save your financial institution both time and money, and to prepare for and implement the new and changing regulations.

- Expert guidance and analysis from our eminent author, James Pannabecker, who breaks down the complexities of this historic bill.
- 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 the manual and regulations

The Dodd-Frank Act is complicated, but staying on top of these historical regulatory changes doesn't have to be. Get the expert analysis, guidance and tools you need to understand and comply.

**S** PRINT • 1 volume, loose-leaf, updated 3 times per year, Pub. #04843, ISBN 9780769886138

## Truth-in-Lending Manual: Text and Forms

James H. Pannabecker

A comprehensive, practical guide to Truth in Lending, Regulation Z, and Regulation M compliance, this reference offers clear and practical guidance for complying with regulations. It includes assistance in drafting forms and developing procedures that comply with truth-in-lending requirements.

The Manual brings you thorough coverage of the massive number of changes affecting credit cards and other open credit, including:

- Format requirements for credit and charge card promotional forms
- Rules for cost disclosures at account opening
- Revisions that require itemizing interest charges for different types of transactions on monthly statements
- Expanded circumstances under which consumers must receive a written notice of changes in the terms applicable to an account
- Provisions that tighten the rules for what you must disclose in your advertising
- Additional provisions that affect how you handle mailed payments and advances that are separately underwritten
- Limitations on applying rate increases to credit card balances (with many exceptions, of course)
- Limitations on increasing rates and charges during the first year of a credit card account
- Requirement that card issuers consider a consumer's ability to pay
- Limitations on marketing open-end credit to college students and disclosure of student marketing agreements between schools and lenders
- Limitations on offering credit cards to consumers under age 21
- Restrictions on over-the-limit fees on credit cards
- Rules on how to apply payments made on credit cards
- Procedures to enable administrators of decedents' estates to resolve outstanding credit card debt
- Online disclosure of credit card agreements
- Limitations on fee-harvester (subprime) credit cards
- Prohibition of double-cycle billing
- Prohibition of fees for using methods of payment on credit card debt, including minimum payment warnings on credit card statements

Addressing such issues as Dodd-Frank and the implications of the CFPB, this must-have resource includes more than 100 sample forms and disclosures.

**S** PRINT • 2 volumes, loose-leaf, updated 3 times per year, Pub. #04829, ISBN 9780769878928  
eBOOK • eISBN 9780769880341



## Compliance Guide to the 2013 Mortgage Lending Rules

James H. Pannabecker

With more than 3,500 pages of material related to mortgage regulations required by the Dodd-Frank Act, finding the key points necessary for full compliance is almost impossible for most mortgage professionals or compliance officers. The *Compliance Guide to the 2013 Mortgage Lending Rules* pinpoints each of the critical elements associated with provisions, and provides background information and clear explanations of how regulations have changed and what you need to do to implement them.

**NS** PRINT • 1 volume, softbound, Pub. #04864, ISBN 9780769885841  
eBOOK • eISBN 9780769889009



## Mortgage Lender's Guide to Dodd-Frank Compliance

James H. Pannabecker

Understand, implement and comply with the mortgage lending provisions of the most ambitious and far-reaching financial reform since the 1930s. Timelines, tables, detailed analysis, statutory text and next steps make this manual essential for any mortgage lender.

Each chapter begins with an Executive Summary that highlights the most important points from the text. Most chapters include all of the following:

- Timelines to illustrate expected events and action items
- Charts and tables to give quick and easy access to topics covered, to identify types of loans or entities affected, and to clarify deadlines and effective dates
- Call-outs to the most important changes, expected regulations and due dates
- Explanations of the historical context and regulatory background
- Detailed explanation of the Dodd-Frank mortgage lending provisions and cross-references to related material
- Actual text of many of the existing mortgage-related statutes amended by Dodd-Frank, showing additions and deletions

**S** PRINT • 1 volume, loose-leaf, updated 3 times per year, Pub. #04842, ISBN 9780769886114  
eBOOK • eISBN 9780769886121

## Implementing Dodd-Frank Consumer Financial Protection Provisions

James H. Pannabecker

**S** PRINT • 1 volume, loose-leaf, updated 3 times per year, Pub. #04865, ISBN 9780769885858  
eBOOK • eISBN 9780769889016

# Internal Auditing

Internal auditing has always been a key element of maintaining a safe and sound financial institution. Recent events and escalating regulatory and legal changes have only enhanced the importance of a well-maintained internal auditing program. From establishing an internal audit organization or modifying a current system to make it more efficient, LexisNexis offers the tools and resources needed to ensure a financial institution is fully up to date, effective and what regulators expect.

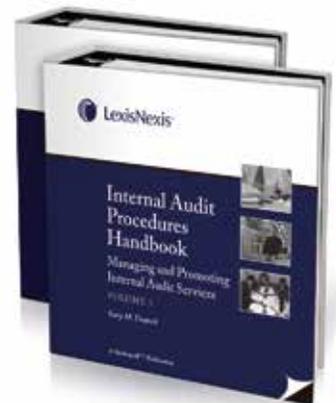
## Internal Audit Procedures Handbook

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. Topics include:

- **Establishing a program.** Selling the benefits of an effective auditing program to employees, management and directors.
- **Staffing Guidelines.** Find the right people for an audit department and learn how to assign duties to ensure that the audit is properly executed.
- **Checklists.** Access easy-to-follow checklists for eight primary areas subject to audit.
- **Sample Documents.** Planning memos, charters, questionnaires and more.
- **Procedures.** Detailed internal audit procedures for most areas of the bank are included.

**S** PRINT • 2 volumes, loose-leaf, updated twice per year, Pub. #04768, ISBN 9780769878256  
eBOOK • eISBN 9780769879673



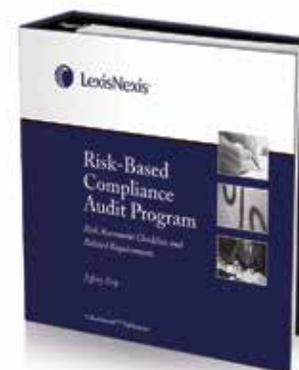
## Risk Based Compliance Audit Program: Risk Assessment Checklists and Related Requirements

Jeffrey R. Torp

Regulators continue to demand in-house risk assessments, which are complex and time-consuming. This comprehensive, in-depth guide delivers both the traditional and risk-based components of a complete compliance review, providing:

- More than 90 detailed compliance review checklists covering every key product, service and function. Checklists are designed and organized by product, service or function, rather than regulation, allowing the reviewer to conduct several reviews with a single form.
- A risk-assessment matrix makes it easier to assess risk and assign risk ratings for key requirements, and can help avoid investigations, litigation and penalties associated with noncompliance.
- A risk-assessment calendar presents a summarized view of what new requirements will be added.
- Clear, step-by-step instructions, checklists and risk assessment materials.
- Citations, cross-references and commentary to better understand and comply with relevant regulations.

**S** PRINT • 1 volume, loose-leaf, updated 3 times per year, Pub. #04804, ISBN 9780769878676



## Internal Audit Workpapers

Designed to ensure documentation of an audit is complete and thorough, these trusted workpapers help auditors explain what audit steps were performed, why they were performed, and what conclusions were reached.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04769, ISBN 9780769878263

## Bank Internal Audit: A Working Guide to Regulatory Compliance

REGCOM by Wipfli

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, like 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, updated twice per year, Pub. #04702, ISBN 9780769877594  
eBOOK • eISBN 9780769879017



## 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

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

Lorraine Hyde

Contains guidance needed to help a financial institution establish and implement risk-based policies, procedures and processes to comply with the most recent regulatory release of the BSA/AML Examination Manual. It also contains the latest information on topics such as electronic banking, changes to BSA reporting requirements, and OFAC compliance. The manual focuses on the issues on which examiners will be concentrating to ensure preparedness for an upcoming examination.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04727, ISBN 9780769877846  
eBOOK • eISBN 9780769879260

# Mortgage Lending

Subprime lending and the mortgage market meltdown have led to significant overhaul in the form of the Consumer Financial Protection Bureau. Establishing sound policies and operational procedures is essential to compliance. As the regulatory landscape continues to evolve ensure you understand the risks and safeguards inherent in mortgage lending law.

## Mortgage Lending Operations and Administration

James H. Pannabecker

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

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04782, ISBN 9780769878393  
eBOOK • eISBN 9780769879819

## Mortgage Lending Compliance with Federal and State Guidance

James H. Pannabecker

This manual is a comprehensive guide to state and federal compliance for residential mortgage lenders, and includes coverage of: high-cost mortgage loans, yield spread premiums, HUD and CFPB enforcement action, upcharges, state predatory lending statutes, RESPA, TILA, ECOA, HMDA and other federal consumer protection statutes.

**S** PRINT • 2 volumes, loose-leaf, updated 3 times per year, Pub. #04795, ISBN 9780769878522  
eBOOK • eISBN 9780769879949

## The RESPA Manual: A Complete Guide to the Real Estate Settlement Procedures Act

James H. Pannabecker, David Stemler

Designed for mortgage professionals, this manual provides insight and guidance needed to comply with The Real Estate Settlement Procedures Act (RESPA) on a daily basis. *The RESPA Manual* gives you complete up-to-date coverage of all RESPA compliance issues, including:

- CFPB republication of Regulation X and subsequent extensive revisions to Regulation X, including the Servicing Rule and High-Cost Mortgage Rule
- CFPB enforcement actions
- Loan originator compensation
- Good faith estimates
- Escrow account rules
- Gifts to settlement service providers
- Initial and closing disclosures
- Mortgage servicing requirements
- Sham controlled business arrangements
- Affiliated business arrangement disclosures
- Volume-based compensation
- Secondary market compensation
- Enforcement provisions
- Employer-employee compensation
- Computer loan origination systems
- Rental of office space
- Lock outs
- Retaliation
- Title companies

The Manual also covers enforcement actions and court decisions focused on captive title reinsurance, yield spread premiums, kickbacks and referral fees, affiliated partnerships, "required use," markups, overcharges, unearned fees, builder closing cost credits, and escrow cushions. A full chapter of compliance checklists helps the reader understand the actions necessary to stay in compliance.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04824, ISBN 9780769878874  
eBOOK • eISBN 9780769880297



## 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.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04863, ISBN 9780769886268  
eBOOK • eISBN 9780769888996

## Mortgage Procedure Guide to Federal and State Compliance

Kurt Mattson

This comprehensive guide helps lenders hedge risk by identifying the compliance requirements in complex consumer protection laws at the federal and state level. Organized by compliance area, the four main sections cover the development of policies and procedures, federal laws and regulations that apply to mortgages, federal compliance procedures, and state compliance and procedures.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04783, ISBN 9780769878409  
eBOOK • eISBN 9780769879826

## Pratt's Mortgage Compliance Letter

David Stemler

Offering the latest news involving the wide array of statutes and regulations crucial to mortgage lending, *Pratt's Mortgage Compliance Letter* is a monthly report on the latest supervisory enforcement actions and issuances affecting mortgage bankers, cases and regulatory developments.

**S** PRINT • Newsletter, 12 issues per year, Pub. #04794, ISBN 9780769878515  
eBOOK • eISBN 9780769879932

## Pratt's State Regulation of Second Mortgages and Home Equity Loans

Marsha L. Williams, Melanie R. Finkelstein

Regulatory examination of mortgage lending, plus a more proactive approach by government agencies to regulate mortgage brokers, mortgage lenders and the residential mortgage lending industry, requires a dependable source of information for lenders that originate second mortgages and home equity loans. This comprehensive guide identifies and explains the state laws and regulations for lenders engaging in making and brokering second mortgages and home equity loans.

Each book in this series covers a particular region and describes the principal laws and regulations applicable to the offering of junior lien loans, on a state-by-state basis, as well as the licensing and registration applicable to loan originators.

**S** PRINT • 6 volumes, loose-leaf, updated annually, Pub. #04797, ISBN 9780769878546



Each regional title can be purchased separately:

### Pratt's State Regulation of Second Mortgages and Home Equity Loans—North Central

Coverage includes the following states: Illinois, Indiana, Iowa, Michigan, Minnesota, Nebraska, North Dakota, Ohio, South Dakota and Wisconsin.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04856, ISBN 9780769878560

### Pratt's State Regulation of Second Mortgages and Home Equity Loans—Northeast

Coverage includes the following states: Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island and Vermont.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04857, ISBN 9780769878577

### Pratt's State Regulation of Second Mortgages and Home Equity Loans—Mid-Atlantic

Coverage includes the following states: Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania and Virginia.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04855, ISBN 9780769878553  
eBOOK • eISBN 9780769889252

## Mealey's™ Litigation Report: Mortgage Lending

**S** PRINT • Newsletter, 12 issues per year, Pub. #07041, ISSN 1941-1324  
eBOOK • eISBN 9780327167198  
ALSO AVAILABLE ONLINE.

### Pratt's State Regulation of Second Mortgages and Home Equity Loans—Southeast

Coverage includes the following states: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee and West Virginia.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04859, ISBN 9780769878591  
eBOOK • eISBN 9780769888965

### Pratt's State Regulation of Second Mortgages and Home Equity Loans—South Central

Coverage includes the following states: Arizona, Arkansas, Colorado, Kansas, Louisiana, Missouri, New Mexico, Oklahoma and Texas.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04858, ISBN 9780769878584  
eBOOK • eISBN 9780769888941

### Pratt's State Regulation of Second Mortgages and Home Equity Loans—Western

Coverage includes the following states: Alaska, California, Hawaii, Idaho, Montana, Nevada, Oregon, Utah, Washington and Wyoming.

**S** PRINT • 1 volume, loose-leaf, updated annually, Pub. #04860, ISBN 9780769878607  
eBOOK • eISBN 9780769888958

# Risk Assessments

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

## 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 volumes, loose-leaf, updated 3 times per year, Pub. #04799, ISBN 9780769878621  
eBOOK • eISBN 9780769880044

## Risk Based Auditing for Financial Institutions

Gary M. Deutsch

A bestseller, this publication explains how to design a process for assessing risk, assigning risk and identifying the areas of potential weakness where additional resources should be applied to prevent risk—all designed to fit in with your current audit procedures. Coverage includes:

- Overview of the risk based internal audit process
- Conducting risk assessment surveys
- Risk based auditing for fraud detection
- Internal audit administration

Specific audits are added as the regulatory and technology environments evolve, encompassing such topics as: Risk Based Audit of Investor-Owned; 1- to 4-Family Residential Properties; Risk Based Audit to Identify Shell Company Risks; Risk Assessment of Consumer Compliance Management Programs; Risk Assessments of Cloud Computing and Social Media.

**S** PRINT • 2 volumes, loose-leaf, updated twice per year, Pub. #04800, ISBN 9780769878638  
eBOOK • eISBN 9780769880051



## Credit Managers' Risk Mitigation

Gary M. Deutsch

From credit planning to appraisals to documentation, *Credit Managers' Risk Mitigation* was designed to help protect a financial institution from the adverse impact of downward economic cycles, while preserving profits earned during upward cycles. Included are clear guidelines, principles, practices and techniques for managing credit risk, consumer credits and commercial credits, which can be applied to financial institutions of all sizes.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04836, ISBN 9780769885995

## 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 information about setting up and organizing a risk management function, conducting risk assessments, and evaluating preventative measures. More than 100 examples of specific risks, drawn from each of the major risk areas, are examined, with suggested remedies.

**S** PRINT • 1 volume, loose-leaf, updated twice per year, Pub. #04788, ISBN 9780769878454  
eBOOK • eISBN 9780769879871

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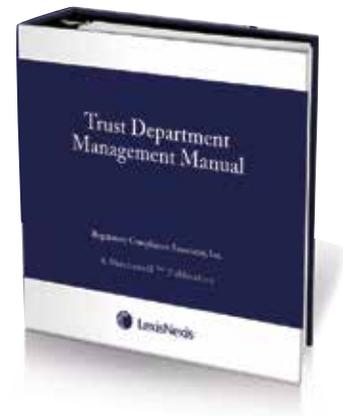
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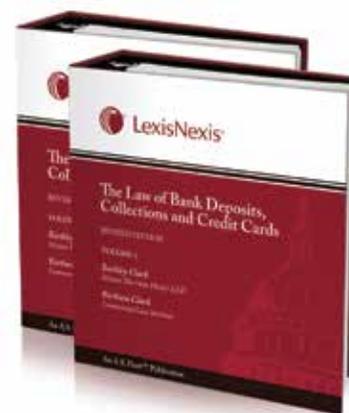
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