



Complaints Management Forum (virtual)

DATE: SEPTEMBER 20, 2021 **TIME:** 1-3pm EST
PLATFORM: Zoom **REGISTRATION LINK:** Click [here](#).

FORMAT: RMA Forum is a peer event (combined with speaker's presentation) that provides professionals an opportunity to discuss the importance of managing consumer complaints, best practices to strengthen your complaint management program about complaint trends.

AUDIENCE: Designed for compliance professionals from Mid-Tier, Super Regional, or Large Banks, with the responsibility and oversight in complaints management.

OVERVIEW:

“Managing Regulatory Complaints to Achieve Better Risk and Compliance Management.”

In the context of managing regulatory risk, we refer to complaints as potential violations of law/regulation or practices that may be seen as unfair, deceptive, or abusive. These complaints serve as the canary in the coal mine. But they not only issue a warning--they enable the institution to strengthen existing controls and provide for a better understanding of its overall compliance risk. Identifying and mitigating these compliance deficiencies and potential legal violations can save your institution hundreds of thousands of dollars in civil monetary penalties, fines, and restitution. Not to mention the potential for reputational risk and long-term damage that can come from unaddressed complaints.

Stephanie Lyon, VP, Compliance at Ncontracts, has been looking closely at trends and best practices in complaint management. In this interactive, informative workshop, you will learn how to craft an effective complaint resolution process that enables you to identify regulations and practices that may warrant enhanced review. You'll also learn improving these processes can strengthen your entire risk and compliance management program.

Stephanie will cover the following topics, with time in between segments to conduct thought-provoking exercises and field questions from the attendees:

- Defining "regulatory complaints" in a risk management context.
- Achieving risk management through complaint resolution.
- Understanding the potential impact of unresolved complaints on compliance and risk.
- Regulators' expectations around complaint management.
- Developing an effective compliance programs that takes complaint data into account.
- Using complaint data to identify potential compliance issues and mitigate risk.

SPEAKER: Stephanie Lyon, VP, Compliance at Ncontract

MODERATOR: Sylwia Czajkowska, Associate Director, Operational Risk, RMA