



To request more information or pricing visit:
ubbcomplianceservices.com
or call Jeff Thompson at 614.369.0054



UBB Compliance Services is a diverse suite of services tailored to the needs of each client bank, and designed to add value by enhancing their respective Compliance Management Systems (CMS).

Compliance Reviews, Audits, & Risk Assessments

Our team of compliance specialists will provide risk-based compliance audits & reviews tailored to your bank's needs and risks. These reviews would consist of, but are not limited to, the following:

- Loan File Review: Regulation Z, RESPA (X), Flood, SAFE Act, HMDA, SCRA/MLA, FCRA, and more
- Deposit Operations Review: Regulations D, E, CC, and DD
- Other Compliance Reviews: CRA, UDAAP, Advertising, etc.
- AML/CFT Program and Software Validation
- Specialty Banking Reviews (i.e., Cannabis Banking or other High Risk Banking Programs)
- ACH Reviews
- HMDA Scrubs, Fair Lending Reviews, and CRA Reviews
- Mergers & Acquisitions/DeNovo Due Diligence

Compliance Management System

Feel confident in all elements of your CMS framework, including oversight, risk assessments, complaint management, and monitoring.

Loan & Deposit Mapping

Let us map your loan portfolio (or deposits) in relation to your CRA Assessment Area(s), so you know the results before your regulators.

Policy and Procedure Review & Development

Make sure your institution's policies are updated and compliant with current regulations. We can assist with:

- Reviewing your current policies and procedures
- Developing new policies as needed
- Ensure alignment of policies and procedures with your actual processes



Advertisement, Website, & Disclosure Review

UBB Compliance Services is poised to review your website, advertisements, or disclosures in the context of:

- New product
- Website redesigns
- Disclosure changes
- Digital account opening

Virtual Compliance Support

UBB Compliance Services staff can provide virtual services to provide support for new personnel, or supplement or fulfill compliance duties.

Compliance Education

Keep your staff and Board current with the compliance training requirements for regulations such as AML/CFT, Fair Lending, and Identity Theft Red Flags.

Compliance Hotline

Answers to your day-to-day compliance questions are just an email or phone call away. Banks can be connected with a compliance expert who will field compliance questions and provide the answers you need. This results in less research for your employees, saving you both time and money. The hotline is now complimentary, and banks can submit questions to compliance.hotline@ubb.com

Compliance Check Up

Stay connected on all current and upcoming compliance changes impacting your community bank. Sign up for our free Compliance Check Up e-newsletter and receive timely and actionable insight from the team of UBB Compliance Services experts.

Visit ubbcompliancecheckup.com to sign up.

First for Your Success™