



Educational Offerings

CCO: Policy and Procedure Administration V2.0 – How to Ensure You Have Effective Compliance Policies and Proper Administration? August 8, 2018 – 9:00am PT/11:00am CT/12:00pm ET One (1) Education Credit toward Certification/Recertification

Effective policies and procedures are foundational for any Compliance Management System. This seminar focusses on how to avoid most common pitfalls in this area, ranging from the necessity of having a Policy Framework Policy that manifests meta principles on roles & responsibilities, effective implementation requirements to proper ongoing policy administration. A “must attend” for anyone who is involved with the drafting, implementation, administration or interpretation of policies and procedures.

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Pricing:

Member: \$64

(Purchase the entire series for \$200 and save over \$50!)

Non – Member: \$94

Course Presenters:



Tracey L Gibson is the Chief Compliance Officer for Unifund. She manages the Audit and Compliance Department which is responsible for both internal processes and 3rd party services providers. Before joining Unifund, Ms. Gibson was most recently responsible for compliance and audit of Fidelity Investments' 1,300 employee Retail Sales, Client Service and Support organizations in Covington, KY. Prior to her five years in the Sr. Compliance Advisor role, she held a variety of leadership roles at Fidelity in financial planning, business continuity, operations and trading. Ms Gibson attended Miami University in Ohio and in addition holds a certification from ACA International as a Credit & Collections Compliance Officer and is a Certified Receivables Compliance Professional through RMA. Outside of Unifund, she is currently serving as Vice President on the Executive Board of Directors for St. Joseph Orphanage in Cincinnati, Oh.



Doris Hektor is the VP, Chief Compliance Officer at Encore Capital Group, Inc. In this role, Ms. Hektor is primarily responsible for overseeing and managing compliance within the organization, ensuring that the company and its employees are complying with regulatory requirements and internal policies and procedures. She is also responsible for establishing standards and implementing processes to ensure that Encore's Compliance Management System is effective and efficient in identifying, preventing, detecting, and correcting noncompliance with applicable rules and regulations.