



Documents and Resources by Role: Compliance Officer

This list recommends relevant documents and resources based on typical tasks completed by Compliance Officers and Audit personnel and is intended to serve as a resource when sharing Document and Resource functionality with users. These documents and resources may not apply to every user in a particular role, but instead are intended to offer a starting point for utilizing these offerings. In addition to these suggested documents and resources, you may recognize other training requirements of your specific regulator, state, or financial institution.

This list is not intended as a comprehensive example of “what to assign.” Instead, it is intended to allow your institution to provide actionable insights that help your team make better business decisions, every day.

[Completing a Currency Transaction Report \(CTR\) \[Process\]](#)

1002BCM

PDF

This document gives a close look at the CTR form and how to complete it.

[Completing a Suspicious Activity Report \(SAR\) \[Process\]](#)

1003BCM

PDF

This document gives a close look at the SAR form and how to complete it.

[Bank Secrecy Act \(BSA\) \[Overview\]](#)

1000BCM

PDF

This resource provides an overview of the Bank Secrecy Act.

[Customer Identification Program \(CIP\) \[Checklist\]](#)

1005BCM

PDF

This checklist highlights some Customer Identification Program (CIP) procedures and protections for all personnel.

[The \\$3,000 Rule for Negotiable Instruments \[Overview\]](#)



1006BCMNI

PDF

This document provides an overview of BSA compliance, including the \$3,000 Rule for negotiable instruments, and the five pillars of a BSA program, Suspicious Activity Reporting, Customer Identification Programs, and Currency Transactions Reporting.

[The \\$3,000 Rule for Wire Transfers \[Overview\]](#)

1007BCMNI

PDF

This document provides an overview of BSA compliance, including the five pillars of a BSA program, Suspicious Activity Reporting, Customer Identification Programs, and Currency Transactions Reporting.

[Office of Foreign Assets Control \(OFAC\) \[Infographic\]](#)

1016BCMNI

PDF

This infographic provides an at-a-glance overview of the Office of Foreign Assets Control (OFAC).

[Cybersecurity Risk Management \[Overview\]](#)

1105BCMNI

PDF

This document highlights some numbers and advice on cybersecurity.

[An Introduction to the Gramm-Leach-Bliley Act \(GLBA\) \[Video\]](#)

1103BCMNI

MP4

This video identifies what consumers the Gramm-Leach-Bliley Act protects and summarizes its requirements for financial institutions.

[Elder Abuse Signs and Questions \[Checklist\]](#)

1112BCMNI

PDF

This checklist highlights the warning signs and red flags of potential elder abuse.

[Identity Theft Prevention: Safeguarding Information \[Overview\]](#)



1115BCM

PDF

This resource provides an overview of 30313 Identity Theft Prevention: Information Security, including what types of information identity thieves target, how they may attempt to steal this information, and what employees can do to protect sensitive information.

[Right to Financial Privacy Act \[Overview\]](#)

1119BCM

PDF

This document summarizes the requirements set forth by the Right to Financial Privacy Act (RFPA), including the specific procedures that government authorities must follow when requesting private customer information from financial institutions, as well as the duties of financial institutions in providing this information.

[Understanding Social Media Risks \[Video\]](#)

1121BCM

WMV

This video provides a brief overview of the uses of social media by financial institutions and the potential associated risks.

[Unfair, Deceptive, or Abusive Acts or Practices \(UDAAP\): Mitigating Risk \[Overview\]](#)

1216BCM

PDF

This document provides an overview of UDAAP, including what constitutes unfair, deceptive, or abusive acts or practices and how institutions can minimize their UDAAP risk.

[E-SIGN Act: Benefits and Risks \[Overview\]](#)

1204MN

PDF

This document provides an overview of E-SIGN Act requirements for legal, IT, information security, and compliance personnel.

[Americans with Disabilities Act \(ADA\) \[Overview\]](#)



1400BCMN

PDF

This document provides an overview of Title 1 of the Americans with Disabilities Act (ADA), which prohibits employers from discriminating against individuals with disabilities and requires employers to provide reasonable accommodations for applicants and employees with disabilities.

[Equal Employment Opportunity Act \[Summary\]](#)

1402BCMN

PDF

This document provides an overview of Equal Employment Opportunity (EEO) laws and how EEO protections apply in the workplace, including the hiring process.

[Examples of Workplace Harassment \[Scenario\]](#)

1410BCMN

PDF

This document details scenario examples that illustrate workplace harassment.

[The Importance of Diversity and Inclusion in the Workplace \[Video\]](#)

1412BCMN

MP4

This brief video summarizes the risks facing institutions that fail to promote diversity and inclusion in the workplace.

[Recognizing Sexual Harassment in the Workplace \[Video\]](#)

1414BCMN

MP4

This video provides an overview of who might be a harasser in the workplace, circumstances in which harassment might occur, and who the victims can be.

[Military Lending Act \(MLA\) \[Overview\]](#)

1516BCMN

PDF

This document covers the Military Lending Act (MLA), which protects servicemembers from predatory lending.

[Servicemembers Civil Relief Act \(SCRA\) \[Overview\]](#)



1527BCM

PDF

This document covers key features of the Servicemembers Civil Relief Act (SCRA), which provides relief to members of the U.S. armed forces. Key features of the SCRA include a 6% per annum limit on interest and fees on loans initiated prior to active duty, and protections for foreclosures, liens, and certain legal proceedings.

[Managing Customer Complaints \[Checklist\]](#)

1673BC

PDF

This checklist helps institutions evaluate their means and methods of receiving and analyzing customer complaints, as part of a larger compliance management system.

[Regulation Reference Sheet \[Overview\]](#)

1211BCM

PDF

This document gives an overview of major regulations, their common names, and their functions.

[Building a Compliance Management System \[Checklist\]](#)

1060BCM

PDF

This BAI CMS checklist can be utilized to document the elements of your Compliance Management System, help create a culture of compliance in your institution, and illustrate a top-down approach to compliance.