

MUTUAL ADIs and THE LAW

A one-day course designed to give mutual ADI directors a strategic and practical understanding of the law and regulation affecting mutuals

The Contemporary Challenge for Directors

- ▶ APS 510 & APS 520 have specified new and higher technical competency expectations relating to the Board's responsibilities in governance.
- ▶ Many directors are extremely busy professionals with competing priorities that can make it difficult to fit in with courses offered by the various professional associations.
- ▶ Self Directed and On-line learning methods can be useful but in many cases cannot fully meet the comprehensive needs of directors in their governance responsibilities.
- ▶ Governance training tailored to the needs of the mutual ADI Board and scheduled to best fit the time demands of directors potentially provides a valuable new option for inclusion in a Board's Director Development Program for 2009 and beyond.

In-House Training Course Format

Course Content

Customised training in your credit union or building society boardroom at your convenience to support Boards in responding to the contemporary challenges of directorship.

- Full Day or a condensed Half Day session at your convenience.
- Topics to be covered through the course are: -
 - The Role and Duties of the Board.
 - Regulation of Mutual ADI Products and Services.
 - Prudential Regulation of the Mutual ADI Business.
 - Board Oversight.
- See enclosed breakdown of topics covered in each of the four modules.
- Each session will include a practical session to enhance learning.

Course Presenter

Mark Swivel - Director, Swivel Pty Ltd - swivel.net.au

Mark Swivel has a long track record as a compliance lawyer and executive in the finance industry. With Langes Lawyers, Mark led implementation programs for APS510/520, 'FSR' and the Consumer Credit Code for many credit unions. From 1999-2002, Mark worked in a senior executive role with FIRSTPLUS PLC (UK), a Barclays Bank company, and was a Director of the Finance Industry Standards Association (UK). Mark has degrees in Arts and Law from Sydney University, where he won the McClemens Prize for Criminology. Mark regularly speaks at AMInstitute and other credit union events on regulatory and compliance matters. Mark is also a director of SCU.

Course Delivery Options - in your Boardroom

- Full or a condensed half day session at your convenience

Cost - Full Day

- \$5,500 incl gst plus out of pocket expenses - members >\$100m assets
- \$4,400 incl gst plus out of pocket expenses - members <\$100m assets

Cost - Half Day

- \$3,300 incl gst plus out of pocket expenses - members >\$100m assets
- \$2,970 incl gst plus out of pocket expenses - members <\$100m assets

How to book for In-House Training Course - Mutual ADIs and THE LAW

- Contact Mark Swivel on 0407 875 398; or email mark@swivel.net.au

AMInstitute CPD accreditation: 6hrs (full day) 3hrs (half day)

The Role and Duties of the Board

- ◆ The Role of the Board
- ◆ The Higher Standards for ADI Directors
- ◆ Overview of Legal and Regulatory Framework

Prudential Regulation of the Mutual ADI Business

- ◆ Prudential Standards - APRA Regulation
- ◆ Capital Management and ICAAP
- ◆ Liquidity Management
- ◆ Credit Risk Management
- ◆ Operational Risk
- ◆ Governance

Regulation of Mutual ADI Products and Services

- ◆ AFS Licensing and FSR Regime
- ◆ Consumer Credit Code
- ◆ Mutuals Code of Practice
- ◆ Privacy
- ◆ ASIC / Trade Practices Act
- ◆ AML / CTF

Board Oversight

- ◆ Balanced Business Scorecard
- ◆ Internal Audit
- ◆ Compliance Management / Assurance Activities