



Headquarters  
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## **TCA: The Compliance Solutions We Provide to Banks**

Actually listing the bank compliance products and services TCA offers is a daunting task, because we can provide what banks need to combat nearly any regulatory risk. So, even if you don't see the precise compliance assistance you need today. . .[contact TCA](#) anyway. Chances are we'll have an idea or two that will help.

Here are some of the compliance products, services and solutions TCA offers:

- Consulting
  - Enterprise-wide Regulatory Risk solutions.
  - Enterprise-wide BSA/AML.
  - RFP processes.
  - Financial institution due diligence.
  - New products, services, systems.
  - New rules, regulations, guidelines.
  - Allowance for Loan and Lease Losses (ALLL).
  - TCA's Visiting Compliance Manager. We will stand in as your qualified compliance professional during your search for a new compliance manager; to help set up the right program; as a cost-effective option to hiring.
  - Fraud Risk Assessment.
- Compliance audits, reviews
  - Lending regulations.
  - Deposit regs.
  - BSA/AML.
    - Risk program. CIP. OFAC.
    - Due Diligence.
    - Enhanced Due Diligence.
    - Private Banking.
    - Politically Exposed Persons.
    - Money Services Businesses.
    - Suspicious Activity Investigations and Reporting.
  - Information Technology.
    - Vulnerability and Penetration Testing.
    - GLBA – Information Security.
    - Vendor Management.
  - Fair Lending Reviews.
  - CRA Self Assessments.
  - Website Reviews.
  - Fraud Investigations.
  - HMDA & CRA Data Integrity Reviews.
  - Data Scrubs
  - ARM file reviews.
  - Asset Quality/Loan Reviews.
  - Allowance for Loan and Lease Losses (ALLL).
  - Retail Sales, NDIP Reviews.
- Products
  - e-Newsletters with TCA insights and perspective.
  - e-compliance updates.
  - Sample Policies (over 100 available individually or in packages).
  - Access to our highly qualified compliance professionals.
    - Expert advice on regulatory risk.
    - Research as needed by the client
    - Spot checks of advertisements, CTRs, etc.

- Quick access to a live professional
- [d\\_gunter@tcaregs.com](mailto:d_gunter@tcaregs.com) for questions
- 800-934-REGS
- Training
  - On-site.
  - TCA Webinars.
  - Teleconference.
- Risk Assessment Assistance
  - New products, services.
  - New, revised rules.
  - Identified weaknesses.
  - Emerging issues.

For more information, contact TCA at 800-934-REGS or e-mail Diane Gunter, [d\\_gunter@tcaregs.com](mailto:d_gunter@tcaregs.com)#####