

# HUMAN RESOURCES SYMPOSIUM

## FOR THE FINANCIAL SERVICES INDUSTRY



### GROWING YOUR

# HUMAN CAPITAL



**TUESDAY & WEDNESDAY**  
**APRIL 19 & 20, 2011**  
The Golden Hotel  
800 Eleventh Street  
Golden, Colorado



*The use of this seal is not an endorsement by the HR Certification Institute of the quality of the program. It means that this program has met the HR Certification Institute's criteria to be pre-approved for 12.75 recertification credit hours.*

### Program Topics Include:

- ◆ **On-Board and Indispensable!**
- ◆ **Benefits Administration and Health Care Reform Act Update**
- ◆ **Detecting and Preventing Internal Fraud and Embezzlement**
- ◆ **An HR Audit That Makes Sense**
- ◆ **Labor and Employment Law Update**
- ◆ **Performance Management—"It's Not My Problem!"**
- ◆ **Crucial Conversations and Conflict Management**
- ◆ **The Recruiting and Selection Process: Traditional vs. Technological**

*Plus*  
*"Living A Laughter-Rich Life"*

**Presented By:**



WESTERN STATES

**Co-Sponsored By:**





# Growing Your Human Capital

Tuesday, April 19th from 7:30 to 8:30 a.m. ~ Registration & Breakfast  
*Enjoy a light breakfast while you network with your colleagues in the industry.*

Tuesday, April 19th  
8:30 to 9:00 a.m.

## **Opening Remarks From A Regulator's Perspective and Observation**

David Nowling, Manager, Examinations and Inspections  
Federal Reserve Bank of Kansas City—Denver Branch

Tuesday, April 19th  
9:00 to 10:00 a.m.

## **On-Board and Indispensable**

Barbara Brannen, 'Top Banana' with Playmore™, LLC and a Partner in the newly formed company, EveriBodi Matters™, LLC.

Too often we go to employee orientation to hear where the bathrooms are and what not to do. What we really want to talk about is how our business works, how we work together, our mission, vision and values. You will learn how to introduce your world of work to them. How you operate, collaborate; manage time and process, and much, much more. In this lively program you will be exposed to a whole new way to bring people into your organization. The first moments of any employee's experience are very important. The impression they will have of what and how you do business is formed very quickly and orientation can be a great way to set people on the road to success. We'll show you a roadmap that is not only powerful in ensuring success for new hires early, but fun at the same time.

## **Benefits Administration and Health Care Reform Act Update**

Scott Miller, JD LLM and Amy Shoemaker, PHR, both with Kennedy and Coe, LLC, and David Carpenter, CEBS, Vice President Life, Health, & Employee Benefits with ISU Insurance Services of Colorado, Inc.

Tuesday, April 19th  
10:15 a.m. to noon

This year we saw major legislative, regulatory and market-based changes that directly impact your benefits and compensation plans. Congress' passage of National Health Care Reform will dramatically impact your financial institution now and in the future. Economic challenges continue to motivate employers to evaluate and re-evaluate what they offer. Everyone is wondering what the future of employer provided benefits holds.

During this session you will be guided through the maze of the key developments in 2010 and 2011, as well as provided with insight into changes effective through 2014.

- ◆ National Health Care Reform
  - Overview of the Patient Protection and Affordable Care Act
  - What it means for your organization
  - A comprehensive compliance timeline
  - Grandfathered Plan Status
- ◆ Changes in Insurance Coverage Provisions
- ◆ Subsidies for Small Employers
- ◆ Cafeteria Plan Changes
- ◆ Tax Reporting requirements for W-2s and 1099's
- ◆ Participants Reporting Requirements
- ◆ Increases in Taxes
- ◆ Individual and Corporate Mandates
- ◆ Penalties for failure to comply
- ◆ Legislative update and likelihood of repeal

12:00 to 1:00 p.m. ~ Lunch & Networking Opportunities

***"Internal Fraud and Embezzlement" and "An HR Audit That Makes Sense" are also available as Stand-Alone Sessions for your institution's Security Officer(s), Compliance Officer(s) and Auditor(s)!***

Tuesday, April 19th  
1:00 to 2:15 p.m.

## **Internal Fraud And Embezzlement**

Mike Caldwell, Certified Fraud Examiner, Certified Protection Professional

Internal fraud and embezzlements have contributed to more than half of the bank failures in the United States. Embezzlement continues to be one of the most common types of fraud impacting financial institutions. It happens in all types of banks, from the largest national banks to the smallest community banks. Embezzlements usually start small and can quickly escalate into very large amounts. Learn how to limit the opportunities for embezzlements in your organization, how to discover embezzlements in a timely manner, strategies to prevent them from happening, and solution techniques.

- ◆ Scope of the problem
- ◆ Definitions of internal fraud and embezzlement
- ◆ Frequency of occurrences (actual cases reviewed)
- ◆ Limit the opportunities for internal fraud and embezzlement
- ◆ Pressures that can lead to embezzlements
- ◆ Characteristics of perpetrators
- ◆ Conditions that contribute
- ◆ Deterrents and best practices
- ◆ Entrapment issues
- ◆ Conducting interview and interrogations
- ◆ Solutions



# Growing Your Human Capital

## **An HR Audit That Makes Sense**

Barbara Brannen, 'Top Banana' with Playmore™, LLC and a Partner in the newly formed company, EveriBodi Matters™, LLC.

Tuesday, April 19th  
2:30 to 4:00 p.m.

In this program you will receive a comprehensive document to help you complete a Human Resources Audit. In addition to what you would expect in an audit of this type, you will find some interesting twists. This tool will challenge you to understand your human capital strategy. It will ask you to understand the purpose and intent of the policies and procedures you create. It will help you to rate the experience of working in your organization so you can have a better sense of what the future holds for all employees. It will ask you to marry your financial goals with your Human Resources processes and understand how one impacts the other.

## **Hilarious Keynote Presentation: Living A Laughter-Rich Life**

with Motivational Comedian, Karyn Ruth White  
Tuesday, April 19th from 4:00 to 5:00 p.m.

Did you know that according to medical research the average pre-school child laughs up to 400 times in a day, while the average adult laughs maybe 15? How often would you guess that you laugh in a day?

Investing in your own daily health and happiness is a personal choice. We can choose a wealth of laughter daily, even amid stressful circumstances. In this hilariously entertaining and insightful session, Keynote Presenter, Motivational Comedian and Author Karyn Ruth White, will help us look at the benefits of humor and optimism in relieving stress and sustaining a laughter-rich life.

Wednesday, April 20th from 7:30 to 8:30 a.m. ~ Light Breakfast & Networking Opportunities

*Day Two of the Symposium is also available as a Stand-Alone Session,  
ideal for your institution's Branch Managers!*

Wednesday, April 20th  
8:30 to 10:00 a.m.

## **Labor & Employment Law Update**

Nancy Brostrom Vollertsen, Attorney, Lindquist & Vennum, P.L.L.P.

This critical and timely session will be presented by Nancy Brostrom Vollersten, a member of Lindquist & Vennum's Employee Benefits, Executive Compensation & Employment Law practice group, who practices primarily in the area of labor and employment law. Attend and you'll receive information to assist you in navigating the complexities of labor and employment law, focusing on new and updated issues that you must be aware of in today's workplace.

### KEY TOPICS INCLUDE:

- ◆ New guidance issued by the EEOC regarding Family Responsibilities Discrimination
- ◆ The various types of New Employment Verification
- ◆ Social Security "No Match" Issues
- ◆ The various types of Background Investigations and Cautions
- ◆ A refresher of the FLSA Requirements
- ◆ A summary of the Family Medical Leave Act Issues and New Regulations, including the New FMLA Expansion for Military Families
- ◆ Communication Policies including: E-Communications in the Workplace; Employer Provided Electronic Gear; and Social Media Policies
- ◆ A review of the Affordable Care Act and Grandfathered Plans
- ◆ A review of Required Posters within your financial institution

## **Performance Management - "It's Not My Problem!"**

Barbara Brannen, 'Top Banana' with Playmore™, LLC and a Partner in the newly formed company, EveriBodi Matters™, LLC.

Wednesday, April 20th  
10:15 a.m. to 12:15 p.m.

Performance Management is probably the one area manager's struggle with the most. Employees often find it hard to grasp what they need to be doing differently and managers are often frustrated at the employee's inability to comprehend the situation. This program will introduce several ideas and processes that will make this an area that is more easily handled, and even more fulfilling for everyone involved. You will receive a guide to conversations that you may reference and share. You will learn the simple process of helping the employee to take ownership of the problem and the solutions that will remove the problem. You will see that there are several avenues to strong performance for employee's and how to use multiple tools to get top performance. Several examples of different reviews/evaluations will be shared.



# Growing Your Human Capital

12:15 p.m. to 1:00 p.m. ~ Lunch & Networking Opportunities

Wednesday, April 20th  
1:00 to 3:00 p.m.

## *Crucial Conversations and Conflict Management*

David Nowling, Manager, Examinations and Inspections  
Federal Reserve Bank of Kansas City—Denver Branch

Tension and stress is high in this economy. How does your organization respond to conflict? Do you handle it head on, fuel the fire, or avoid it all together? This break out session will provide proven skills for handling difficult meetings and keeping everyone engaged. Join Dave Nowling as he shares his considerable training, experience and insights on crucial conversations and conflict management.

## *The Recruiting and Selection Process: Traditional vs. Technological*

Kathleen Quinn Votaw, CEO and Founder of TalenTrust LLC

Wednesday, April 20th  
3:15 to 5:00 p.m.

Recruiting has many facets and hiring managers are not always well versed at all of them. During this session, we will unbundle recruitment and help you understand the steps to the selection process and the vital role of technology in your outreach plans. We will also help you understand that while technology has helped us all come a long way in attracting individuals to our companies, there is no substitute for good, old fashion conversations.

## Speaker Bios

**David Nowling** is a manager in the Bank Examination and Bank Holding Company Inspection Department of the Federal Reserve Bank of Kansas City - Denver Branch. Dave has been with the bank for 28 years, working 25 years in bank regulation. He spent 10 years as a field examiner before becoming a manager. He has managed in both the commercial bank examinations as well as Compliance departments. Dave is currently on the faculty at the Graduate School of Banking where he teaches courses on organizational culture and leading organizational change.

**Barbara Brannen** is currently the Top Banana at Playmore™, LLC and a Partner in the newly formed company, EveriBodi Matters™, LLC. Barbara is a former corporate Human Resources executive with over 30 years of experience and is a Certified Human Resources Situational Specialist™. Her expertise is utilized by organizations to meet the unique situations they face with around their people with creative ideas and solid solutions. In doing this she is a consultant, trainer, coach and facilitator.

**Scott Miller**, JD LL.M., a Senior Tax Attorney at Kennedy and Coe, LLC, is an accomplished attorney with a strong background in taxation and business consulting, solid research and analytical skills. He has the proven ability to analyze, develop, and communicate complex tax issues and structures and specializes in Corporate, Partnership and International Tax, as well as Estate Planning.

**Amy Shoemaker**, PHR, is a Human Resources Consultant with Kennedy and Coe, LLC. Her 25 years of career experience includes proven results as a consultant in executive and human resource coaching, conflict resolution, leadership and supervisory development, executive recruitment, establishing human resource departments, regulatory compliance, human resource auditing and all other aspects of human resource development and implementation.

**David Carpenter**, CEBS, Vice President Life, Health & Employee Benefits with ISU Insurance Services of Colorado, Inc., has been in the insurance industry for over 20 years. He joined ISU in 2001, is a Certified Employee Benefits Specialist (CESB), and has served on the board of the Colorado Chapter of the ISCEBS.

**Mike Caldwell**, CFE, CPP has worked in the banking industry for over 38 years. He currently operates his own security education and consulting business. Mike's background includes security, operations, risk assessment, internal and external investigations, fraud, banking, disaster recovery/contingency planning, audit, compliance, and crime prevention.

**Karyn Ruth White**, owner of Laugh and Learn Productions LLC, is a unique blend of motivator, business consultant, philosopher, life-skills coach and stand-up comedian. Her programs use humor to grab the attention of the audience and give them practical, real-life tools for being more productive and fulfilled as people. Keynote speaker and comedian, Karyn Ruth presents funny keynote programs and business-related motivational humor nationally, and is based in Denver, Colorado.

**Nancy Brostrom Vollersten**, is a member of Lindquist & Vennum's Employee Benefits, Executive Compensation & Employment Law practice group, where she practices primarily in the area of labor and employment law. Nancy also has comprehensive knowledge of school and local government law, and has extensive experience in all aspects of employment law in the public and private sectors, primarily representing management.

**Kathleen Quinn Votaw** launched TalenTrust LLC, a nationwide recruitment process outsourcing firm, in 2003. TalenTrust LLC has helped companies discover, hire and keep top talent that ensures companies' accelerated and continued growth. Prior to TalenTrust's launch, Votaw spent eighteen years in the staffing industry. Enamored with the staffing industry, Votaw came to assist with staffing some of the most high-profile organizations in the United States: John Hancock, MIT, Harvard, Lotus and BioGen are but a few of her high-profile companies.

# 3 Ways to Register



**ONLINE**  
[www.CFTWS.org/](http://www.CFTWS.org/)  
Education/School  
and Workshops



**FAX**  
303-629-1591



**MAIL to CFTWS**  
1009 Grant St., #102  
Denver, CO 80203

## MULTIPLE REGISTRATION DISCOUNT APPLIES!

**SYMPOSIUM**—Register One Person to attend the Entire Symposium at the Advertised Tuition (Early or Regular) and Receive a 10% Discount on any Additional Registrants attending the ENTIRE SYMPOSIUM.

**BREAK-OUT SESSIONS**—Register One Person to attend a Specific Breakout Session at the Advertised Tuition (Early or Regular) and Receive a 10% Discount on any Additional Registrants for the SAME BREAK-OUT SESSION.

## Register EARLY and SAVE!

Register by **TUESDAY, MARCH 22, 2011** to receive the 'EARLY' Tuition Rates quoted below.  
Tuition for the SYMPOSIUM will increase by \$50.00 and each Breakout Session will increase by \$25.00 after March 22nd.

Please print or type. You may photocopy this form for additional registrants. **Do NOT use one form for multiple registrants.**

\_\_\_\_\_  
First & Last Name (please print)

\_\_\_\_\_  
Professional Title

\_\_\_\_\_  
E-Mail Address (to confirm registration)

\_\_\_\_\_  
Business Phone Number

\_\_\_\_\_  
Organization Name

\_\_\_\_\_  
Organization Mailing Address

\_\_\_\_\_  
Registrant's Signature (Required)

**Multiple Registration Discount Applies—Additional Registration Form(s) Attached**

### HUMAN RESOURCES SYMPOSIUM FOR THE FINANCIAL SERVICES INDUSTRY\*

Tuesday & Wednesday, April 19 & 20, 2011 from 7:30 a.m. to 5:00 p.m.

Course #N3290A1S11 = \$599.00\*\*

*\*Awarded 12.75 (General) recertification credit hours toward PHR, SPHR and GPHR recertification through the HR Certification Institute.*

### INTERNAL FRAUD AND EMBEZZLEMENT

Tuesday, April 19th from 1:00 to 2:15 p.m.

Course #N3291A1S11 = \$125.00

### KEYNOTE PRESENTATION - LIVING A LAUGHTER-RICH LIFE!

Tuesday, April 19th from 4:00 to 5:00 p.m.

Course #N3294A1S11 = Complimentary!

### AN HR AUDIT THAT MAKES SENSE

Tuesday, April 19th from 2:30 to 4:00 p.m.

Course #N3292A1S11 = \$125.00

### DAY TWO ONLY—4 BREAKOUT SESSIONS

Wednesday, April 20, 2011 from 7:30 a.m. to 5:00 p.m.

Course #N3293A1S11 = \$350.00\*\*

**\*\*Tuition includes Light Breakfast, Breaks & Lunch Each Day**

## PAYMENT OPTIONS

**CBA**

## REFUND POLICY

TOTAL AMOUNT DUE \$ \_\_\_\_\_

**PAYMENT OPTIONS:**  \*Bill Organization  Check enclosed (payable to CFTWS)

\*Authorized Signature for Billing: \_\_\_\_\_

VISA/MC #: \_\_\_\_\_ Exp. Date \_\_\_\_\_

Cardholder's Name: \_\_\_\_\_

Signature: \_\_\_\_\_

**Full Refund = On or Before March 22, 2011**

**\$75.00 Cancellation Fee (Symposium) =  
March 23—April 5, 2011**

**\$25.00 Cancellation Fee (Per Breakout Session)  
= March 23—April 5, 2011**

**No Refund = After April 5, 2011**

**NO REFUNDS WILL BE GIVEN AFTER APRIL 5th,  
ALTHOUGH A SUBSTITUTE MAY ATTEND.**

**Questions? Contact CFTWS at 303-825-1590 or [info@cftws.org](mailto:info@cftws.org)**

*CFTWS does not discriminate on the basis of race, color, gender, age, and national or ethnic origin.*