

**MTRA Intermediate Examiner School**  
**San Diego, CA**  
**May 7-10, 2012**

Time	Monday, May 7 <sup>th</sup>	Tuesday, May 8 <sup>th</sup>	Wednesday, May 9 <sup>th</sup>	Thursday, May 10 <sup>th</sup>
7:30 – 8:30 am		CONTINENTAL BREAKFAST <b>Provided</b>	HOT BREAKFAST <b>Provided</b>	CONTINENTAL BREAKFAST <b>Provided</b>
8:30–10:00am	Registration	<ul style="list-style-type: none"> <li>• MTRA Exam Rating Systems</li> <li>• Introduce AX Case Study</li> </ul>	<b>Management</b> <ul style="list-style-type: none"> <li>• Corporate Governance</li> <li>• Management Structure</li> </ul> IT Controls (Anti-Virus, Firewalls, Software Updates, Security Policies and Disaster Recovery)  Class Exercise	<b>Conducting Agent Visits:</b> <ul style="list-style-type: none"> <li>• Tips, Lessons Learned, and Why Visits Make for a Better Examination</li> </ul>
10:00–10:15am		BREAK	BREAK	BREAK
10:15—Noon		<b>Federal Regulatory Overview:</b> <ul style="list-style-type: none"> <li>• MSB Registration Form</li> <li>• SAR Form</li> <li>• Prepaid Access Rules</li> </ul>	<b>2004-1 Interpretive Release</b> <ul style="list-style-type: none"> <li>• Foreign Agent Due Diligence</li> </ul> Class Exercise on Foreign Agent Due Diligence	<b>Agent Management Assessment:</b> <ul style="list-style-type: none"> <li>• Agent selection criteria policy; agent agreement; agent file reviews</li> </ul> Class Exercise
Noon—1:00pm		LUNCH <b>Provided</b>	LUNCH <b>ON YOUR OWN</b>	LUNCH <b>ON YOUR OWN</b>
1:00–2:30pm	<b>Guidance and Tips on Planning and Managing Joint Exams</b> <ul style="list-style-type: none"> <li>• Developing a Timeline for a Well-Run Examination</li> <li>• Post Onsite Exam Function Guidance</li> </ul>	<b>Financial</b> <ul style="list-style-type: none"> <li>• Accounting for Goodwill</li> <li>• Managing Agent ARs</li> <li>• Review of Doubtful Accounts Reserve</li> </ul>	<b>Compliance:</b> <ul style="list-style-type: none"> <li>• Data Mining Tips &amp; Pivot Tables</li> <li>• Detecting Suspicious Activity through Data Mining</li> </ul> Class Exercise on Data Mining	<b>AX Component Rating/Exam Findings Discussion:</b> Financial, Management, and Compliance
2:30—2:45 pm	BREAK	BREAK	BREAK	BREAK
2:45– 4:30 pm	<b>ROE Narratives</b>  <b>MTRA-WP Revisions Review</b> <ul style="list-style-type: none"> <li>• Guidance on use of Work program and documenting work performed</li> </ul>	<b>Financial</b> <ul style="list-style-type: none"> <li>• Doleiro Basics/Overview</li> </ul> Class Exercise relating to Case Study <ul style="list-style-type: none"> <li>• Income Statement Analysis</li> </ul> Class Exercise relating to Case Study	<b>Compliance:</b>  Continued	<b>Presenting Exam Findings to Management</b> <ul style="list-style-type: none"> <li>• “Role play” exit meeting</li> <li>• Round table discussion</li> <li>• Closing Remarks</li> </ul>
<b>* Monday class starts at 1:00 pm ## Monday Welcome Reception, 5:00 – 6:00 pm</b>				