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# Foreword

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## FOREWORD

The *North Carolina Banking Institute (NCBI)* is a student-edited journal that contains Articles written by professionals in the banking industry and Notes and Comments written by law students at the University of North Carolina School of Law. The goal of the *NCBI* is to provide insight into the most practical and cutting edge issues facing attorneys, judges, policymakers, and scholars within the banking and finance industry. This volume explores important and current issues in financial regulation and provides comprehensive analysis of recent developments, including the modernization of North Carolina's banking laws.

Volume 18 is published in conjunction with the eighteenth annual University of North Carolina School of Law Banking Institute, held April 3-4, 2014. The Banking Institute is one of the nation's premier programs for banking attorneys and industry professionals. Hosted in the spring of each year in Charlotte, North Carolina, it is sponsored by the Center for Banking and Finance at the University of North Carolina School of Law. The annual Banking Institute is preceded by a one-day program, "The ABCs of Banking Law," for those interested in a short course overview of banking law fundamentals. Many thanks to Alston & Bird, LLP for hosting in 2013 and to Mayer Brown LLP for hosting the April 2, 2014 program.

The *NCBI* editors and staff members would like to thank the attorneys who participated in *NCBI*'s fifth annual Career Trek. In an effort to learn more about legal careers in the financial services industry, *NCBI* students traveled to Raleigh, met with in-house attorneys from BB&T, were hosted by Smith, Anderson, Blount, Dorsett, Mitchell & Jernigan, LLP for lunch and continued discussions of legal career paths. The editors and staff members especially thank Bob Johnson and his legal department from BB&T and John Jernigan and other lawyers from Smith Anderson for their gracious hospitality.

The fourth annual *NCBI* Career Luncheon took place at the University of North Carolina School of Law on August 20, 2013. The *NCBI* invited attorneys from the Triangle area to discuss their careers with *NCBI* members over lunch. Many thanks to Nancy Coppola, First Citizens Bank & Trust Company; Drew Kifner, Moore & Van Allen PLLC ; Brian Meacham, Smith, Anderson, Blount, Dorsett, Mitchell & Jernigan, LLP; Jason Strickland, Ward and Smith, PA; and Sarah Weed, North Carolina Office of the Commissioner of Banks for their participation.

The Center for Banking and Finance was formally established in July 2000 to play a leadership role in the continual evolution of the financial services industry. While the annual Banking Institute is the Center's signature program, the Center is also a sponsor or co-sponsor of other programs designed to provide high quality education to the banking and finance industry. The Center also studies legal and policy issues related to banking and finance and works to advance the teaching of banking and finance.

On November 22, 2013, the Center hosted the fourth installment in its New York Lecture Series, "Effective Compliance Risk Management in a Rapidly Changing Regulatory Environment," the transcript of which is included in the following pages. The Center would like to thank The Clearing House for its financial support of this event.

The journal published a special issue earlier in 2014 with papers and remarks made at "The Political Economy of Financial Regulation," a conference co-sponsored by the Center with The George Washington University Center for Law, Economics & Finance (C-LEAF), The Insurance Law Center at The University of Connecticut School of Law, and The Institute for Law and Economic Policy. Program sponsors included Poyner Spruill LLP, The Clearing House, and Better Markets. Please contact the journal at [ncbank@unc.edu](mailto:ncbank@unc.edu) to order a copy of this important volume.

A distinguished Board of Advisors, consisting of attorneys and industry professionals, guides the Center's activities. The Center and its Board welcome your suggestions as to how the Center may better serve the needs of the industry. Please feel free to contact Lissa Broome ([lbroom@email.unc.edu](mailto:lbroom@email.unc.edu)) to share your ideas or to become involved in the Center's activities. To learn more about the Center's programs and activities, please visit the Center's website at <http://www.law.unc.edu/centers/banking>.

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