

Aldrich & Bonnefin, PLC*, Counsel for Bankers' Compliance Group® Presents
NEW ACCOUNTS DOCUMENTATION & COMPLIANCE

July 2024

Aldrich & Bonnefin invites you and your operations and compliance staffs to attend a Seminar covering New Accounts Documentation and Compliance. Having proper new account policies and procedures can help financial institutions prevent or at least reduce the risk of fraud and other losses, as well as compliance violations.

This Seminar will discuss the documents that institutions will want to review during the account-opening process for individuals, businesses (such as corporations, partnerships and LLCs) and court-appointed fiduciaries (for example, decedent estates, conservatorships and guardianships). There will also be a detailed discussion covering the opening and maintenance of accounts for family trusts.

We will include an overview of best practices for opening accounts for non-resident alien depositors, including a review of IRS Forms W-8.

We will also address “hot topics” impacting new account operations and customer-facing disclosures.



SEMINAR HIGHLIGHTS

- Documenting accounts
- Personal accounts
- Business accounts
- Decedent estates
- Conservatorships
- Guardianships
- Establishing accounts for formal family trusts
- Opening accounts for non-resident alien depositors, including IRS Forms W-8
- New accounts hot topics

WHO SHOULD ATTEND?

Please invite your operations staff, compliance officers and auditors, new accounts personnel, in-house counsel and BSA department personnel

We have scheduled only Recording Playbacks with Live Q&A for this Seminar. No in-person Seminar locations will be held.



Keith R. Forrester, Esq., is a principal of Aldrich & Bonnefin, PLC. Since 1993, Mr. Forrester has been extensively involved in advising financial institutions on a variety of operations matters, including new accounts, as well as the California and Federal right to financial privacy laws. Mr. Forrester manages the firm's Operations and FinTech Practice Group and in that capacity assists financial institutions in areas such as BSA, negotiable instruments, electronic banking and legal processes.



Anne M. McEvilly Esq., is a principal of Aldrich & Bonnefin, PLC, specializing in regulatory compliance, including banking operations, treasury services and vendor management and contract negotiations. Ms. McEvilly is President and CEO of our firm. Prior to joining the firm, she was in-house counsel to Toyota and Lexus Financial Services and also counsel to the Resolution Trust Corporation. Prior to practicing law, she worked for California Federal Bank. Anne graduated from Whittier College School of Law and also received her BA from California State University, Long Beach.



BANKERS' COMPLIANCE GROUP®

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* Janet Bonnefin is retired from the practice of law with the firm.

SEMINAR RECORDING PLAYBACK - BCG MEMBERS ONLY

(Continuing education credit will be provided only to the registrant)

		REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Tuesday, July 16, 2024, 8:30 a.m. - 3:00 p.m.	Thursday, July 11, 2024, 12:00 p.m.
RECORDING PLAYBACK #2	Thursday, July 18, 2024, 8:30 a.m. - 3:00 p.m.	Monday, July 15, 2024, 12:00 p.m.
RECORDING PLAYBACK #3	Monday, July 22, 2024, 8:30 a.m. - 3:00 p.m.	Wednesday, July 17, 2024, 12:00 p.m.
RECORDING PLAYBACK #4	Wednesday, July 24, 2024, 8:30 a.m. - 3:00 p.m.	Friday, July 19, 2024, 12:00 p.m.

LOGIN INFORMATION: Registrants will receive an email two business days prior to the Recording Playback Date with the login information. Registrants also will receive a second email when the pin is activated and the Seminar materials are available to download. There will be live question and answer sessions both during and at the end of the presentation.

REGISTRATION

MEMBERS: To register for this Seminar, please contact your institution's BCG Main Contact, or if you are authorized, log in at <http://register.bankerscompliancegroup.com/subadmin> and select "Register for Events." We recommend that you register as soon as possible as registrations are accepted on a first-come, first-serve basis.

MATERIALS

For this Seminar, we are updating BCG Standard Procedures Manual #02, New Accounts & Documentation Compliance. BCG Members will receive the updated SPM through their membership subscription to Compliance Companion® by the first week of July 2024. As noted above, registered attendees will be able to download the Agenda and Discussion Outline prior to the Recording Playback.

ACCREDITATION

(Continuing education credit will be provided only to the registrant)

MCLE: Aldrich & Bonnefin, PLC certifies that this activity conforms to the standards for approved education activities prescribed by the rules and regulations of the State Bar of California governing MCLE. This activity has been approved in the amount of **4.75** hours.

CRCM: "New Accounts and Documentation Compliance" has been submitted to ABA Professional Certifications for CE credit review and is pending approval. Once we receive notification of the credit approval, we will notify attendees.

CPE: Aldrich & Bonnefin, PLC follows Continuing Education (CE) regulations as outlined in the California Accountancy Act. CE credit may be obtained for Certified Public Accountants and Public Accountants. This activity is eligible for **5.5** hours of CPE Continuing Education credit.