

Bank Secrecy Act Compliance

August 2021

Aldrich & Bonnefin is pleased to invite you to attend our full-day Bank Secrecy Act Compliance Seminar. As money laundering schemes continue to increase and evolve, it is more important today than ever for financial institutions to ensure proper steps are being taken to combat money laundering and the financing of terrorist activities. We will begin our discussion by examining the requirements of the CIP and beneficial ownership rules, including the impact of the numerous FAQs and related guidance FinCEN has issued.

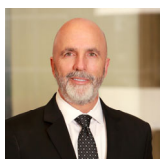
During this Seminar, we will also cover in detail customer due diligence (CDD) expectations with a focus on providing services to high-risk customers, including the difficulties in providing services to marijuana- and hemp-related businesses and businesses involved with convertible virtual currencies.

We also will delve into the suspicious activity reporting process, including the impact of a new set of SAR FAQs issued by FinCEN in early 2021. Finally, we will complete our discussion with a review of recent BSA enforcement actions.

WHO SHOULD ATTEND?

Please invite your operations staff, new accounts and lending personnel, compliance staff and in-house counsel

We have scheduled only Recording Playbacks with Live Q&As for this Seminar.



Keith R. Forrester, Esq., is a principal of Aldrich & Bonnefin. 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 McEvelly, Esq., is a principal of Aldrich & Bonnefin PLC, specializing in regulatory compliance, including banking operations, treasury services and vendor management and contract negotiations. Ms. McEvelly 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.

SEMINAR HIGHLIGHTS

- ... Customer Identification Program Rule
- ... Beneficial Ownership Rule
- ... Customer due diligence obligations and expectations
- ... High-risk customers, including MRBs and HRBs
- ... Recent FinCEN Guidance and Statements
- ... Recent BSA enforcement actions

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SEMINAR RECORDING PLAYBACK - BCG MEMBERS ONLY

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

	PLAYBACK DATE AND TIME	REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Wednesday, August 11, 2021, 8:30 a.m. - 3:00 p.m.	Friday, August 6, 12:00 p.m.
RECORDING PLAYBACK #2	Friday, August 13, 2021, 8:30 a.m. - 3:00 p.m.	Tuesday, August 10, 12:00 p.m.
RECORDING PLAYBACK #3	Tuesday, August 17, 2021, 8:30 a.m. - 3:00 p.m.	Thursday, August 12, 12:00 p.m.
RECORDING PLAYBACK #4	Thursday, August 19, 8:30 a.m. - 3:00 p.m.	Monday, August 16, 12:00 p.m.
RECORDING PLAYBACK #5	Wednesday, August 25, 8:30 a.m. - 3:00 p.m.	Friday, August 20, 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, Standard Procedures Manual #21, "Bank Secrecy Act Compliance," will be updated. Each BCG member institution will receive via email a link to a downloadable PDF of the Standard Procedures "E-Manual." As noted above, registered attendees will be able to download the Agenda and Discussion Outline prior to the Seminar. Members Only may purchase additional hard copies of SPM #21 during August 2021 for \$75.00 per copy plus shipping charges and applicable sales tax.

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: American Bankers Association (ABA) Professional Certifications has approved "Bank Secrecy Act Compliance" for CRCM 5.75 CE credits. ABA Professional Certifications is dedicated to promoting the highest standards of performance and ethics within the financial services industry. This statement is not an endorsement of this program or its sponsor.

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 **4.75** hours of CPE Continuing Education credit.