



Legal Processes

March 2015

Aldrich & Bonnefin, PLC is pleased to invite you to attend our Seminar on the subject of legal processes. The program will focus on levies and subpoenas served by private parties as well as those served by state and federal government agencies.

Our discussion will include the fundamentals of processing a levy and important principles for determining whether a business or personal account is subject to levy.

In addition to levies and executions, we will discuss how to respond to requests for customers' financial records. During this segment, the program will focus on civil subpoenas as well as government requests for information under the California and Federal Right to Financial Privacy laws, including requests from the IRS, SEC and CFPB.

This Seminar is intended to be of benefit to individuals will all levels of experience.

Who should attend:

- Operations officers
- Personnel who handle legal processes
- Compliance officers
- In-house counsel
- Branch managers
- New accounts personnel

HIGHLIGHTS

Property Subject to Levy

- Individual accounts
- Business accounts
- Fiduciary accounts

Writs and Levies

- Writs of execution
- Government levies

Right to Financial Privacy

- Civil subpoenas
- State and federal RFPAs
- Grand jury subpoenas
- Search warrants
- IRS summons
- SEC subpoenas
- CFPB civil investigative demand



Speaker

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



Our **Legal Processes Seminar** will be held from **8:30 a.m. - 3:00 p.m.** in the following locations. **You will need to note the specific location you are attending as hotels can vary from month to month.**

LOCATIONS:	DATE:	HOTEL INFO:	PARKING:
SAN DIEGO	Tuesday, March 3 Registration closes at noon on 2/25	Marriott Mission Valley 8757 Rio San Diego Dr., (619) 692-3800	We validate for self-parking only.
SANTA CLARA	Thursday, March 5 Registration closes at noon on 2/27	Santa Clara Marriott 2700 Mission College Blvd., (408) 988-1500	We validate for self-parking only.
ONTARIO	Tuesday, March 10 Registration closes at noon on 3/4	Ontario Doubletree 222 North Vineyard Ave., (909) 937-0900	Free self-parking is available.
SACRAMENTO	Thursday, March 12 Registration closes at noon on 3/6	Sheraton Grand Sacramento Hotel 1230 J St., (916) 447-1700	Validated self-parking is available in garage on 13th Street, between I and J Streets. Valet-parking not validated.
GARDEN GROVE	Friday, March 13 Registration closes at noon on 3/9	Anaheim Marriott Suites 12015 Harbor Blvd., (714) 750-1000	Free self-parking is available.
LOS ANGELES	Monday, March 16 Registration closes at noon on 3/10	LAX Airport Marriott 5855 West Century Blvd., (310) 641-5700	We validate for self-parking only.
MONROVIA	Wednesday, March 18 Registration closes at noon on 3/12	Courtyard Marriott 700 W. Huntington Drive, (626) 357-5211	Free self-parking is available.
SAN FRANCISCO	Friday, March 20 Registration closes at noon on 3/16	Palace Hotel 2 New Montgomery St., (415) 512-1111	We validate for hotel valet-parking only.
SANTA BARBARA	Tuesday, March 24 Registration closes at noon on 3/18	Four Seasons Resort, The Biltmore 1260 Channel Dr., (805) 969-2261	Free self-parking is available.
WOODLAND HILLS	Wednesday, March 25 Registration closes at noon on 3/19	Warner Center Marriott 21850 Oxnard St., (818) 887-4800	We validate for self-parking only.

REGISTRATION: To register for this Seminar, please contact your institution's 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. If you haven't registered online with us before, contact Paige Tyler at 800-742-3600 or PTyler@ABLAWyers.com for assistance or to obtain a username and password.

REGISTRATION FEES FOR NON-MEMBERS: Non-member registration fee is \$750 for the first person attending from an institution and \$450 for each additional person from the same institution. To attend this Seminar, pre-registration and confirmation is mandatory. **Non-members may pay by credit card or check.** To pay by credit card, follow the credit card instructions during the online registration process. Major credit cards are accepted. To pay by check, make checks payable and mail to **Aldrich & Bonnefin, PLC, P.O. Box 19686, Irvine, CA 92623-1029** and indicate the event you are registering for. Non-member registration fees (less \$50) will be refunded only if cancellation notice is received **5** business days prior to the Seminar date.

MATERIALS: For this Seminar, Standard Procedures Manual #4, "Legal Processes," will be updated. Only those attendees designated by their institution will receive a Manual (unless your institution has elected to receive a downloadable E-Manual available only to BCG Members). All registered attendees will receive a Discussion Outline. Members Only may purchase additional hard copies of SPM #4 during March for \$50.00 per copy plus shipping charges and applicable sales tax.

FOOD: A continental breakfast will be provided. You will be on your own for lunch.

ATTIRE: Business casual. Because the temperature in ballrooms can fluctuate, please dress accordingly.

DISABILITIES: If you require special accommodation in order to fully participate in the Seminar, please call Paige Tyler at 800-742-3600 to discuss your specific needs.

ACCREDITATION

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: Certified Regulatory Compliance Managers must submit a request for approval directly to the Institute of Certified Bankers in order to receive continuing education credit (www.icbmembers.org and click on "Submit Continuing Education Credits)." This activity **may** be eligible for **6** continuing education credit by the ICB.

CPE: Aldrich & Bonnefin, PLC follows Continuing Education (CE) regulations as outlined in the California Accountancy Act. CE may be obtained for Certified Public Accountants and Public Accountants. This activity is eligible for **4.75** hours of CPE Continuing Education credit.