

Bank Secrecy Act Compliance

May 2017

Aldrich & Bonnefin is pleased to invite you to attend our new full-day Bank Secrecy Act Compliance Seminar. Due to the ever-increasing regulatory scrutiny, as well as advanced money laundering schemes and terrorist financing activities, it is becoming more and more difficult to effectively manage BSA risk. At this Seminar, we will cover a wide range of BSA topics, starting with customer due diligence obligations, including the new beneficial owner rule and the fifth pillar of BSA compliance. We will also discuss recent BSA developments, SAR and CTR filing issues, and OFAC compliance obligations.

WHO SHOULD ATTEND?

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

SPEAKER: Keith R. Forrester, Esq., is a principal with Aldrich & Bonnefin. Since 1993, Mr. Forrester has been extensively involved with 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 is a member of 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.



SPEAKER: Anne M. McEvilly, Esq., is a principal of Aldrich & Bonnefin and advises financial institutions in all areas of compliance, including banking operations and consumer lending. She originally was an associate with the Firm from 1995-2001 and returned to the Firm in 2007. Ms. McEvilly became a shareholder of the Firm in December 2010. From 2001 to 2007, Ms. McEvilly was in-house counsel to Toyota and Lexus Financial Services. Her practice currently focuses on vendor management and contract negotiations, as well as general banking compliance matters, including consumer and commercial electronic banking, new account documentation, and Bank Secrecy Act compliance.



SEMINAR HIGHLIGHTS

BSA Developments

- New beneficial owner rule
- Five pillars of compliance

Customer Due Diligence Obligations

- BSA and AML risk analysis
- Basic due diligence expectations
- Providing services to high-risk businesses
- Dealing with marijuana-related businesses

BSA Filing and Reporting Requirements

- Suspicious Activity Reports
- Currency Transaction Reports
- 314(b) information sharing

OFAC Requirements and Guidance

Our **Bank Secrecy Act Compliance Seminar** will be held at the following locations.

Note: Hotel locations can vary from month to month.

LOCATIONS	DATE AND TIME	HOTEL INFO	PARKING INFO
SAN FRANCISCO	Tuesday, May 2, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 4/26	Palace Hotel 2 New Montgomery, (415) 512-1111	We validate for hotel valet-parking only.
LOS ANGELES	Thursday, May 4, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 4/28	Renaissance Los Angeles Airport (NEW) 9620 Airport Boulevard., (310) 337-2800	We validate for self-parking only.
GARDEN GROVE	Friday, May 5, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/1	Anaheim Marriott Suites 12015 Harbor Blvd., (714) 750-1000	Free self-parking is available.
SANTA BARBARA	Tuesday, May 9, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/3	Four Seasons Resort, The Biltmore 1260 Channel Dr., (805) 969-2261	Free self-parking is available.
WOODLAND HILLS	Wednesday, May 10, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/4	Warner Center Marriott 21850 Oxnard St., (818) 887-4800	We validate for self-parking only.
SAN JOSE	Friday, May 12, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/8	San Jose Marriott 301 South Market Street, (408) 280-1300	We validate for hotel valet-parking only.
MONROVIA	Tuesday, May 16, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/10	Courtyard Marriott 700 W. Huntington Drive, (626) 357-5211	Free self-parking is available.
SACRAMENTO	Thursday, May 18, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/12	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.
ONTARIO	Tuesday, May 23, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/17	Ontario Doubletree 222 North Vineyard Ave., (909) 937-0900	Free self-parking is available.
SAN DIEGO	Thursday, May 25, 8:30 a.m. – 3:00 p.m. Registration closes at noon on 5/19	Marriott Mission Valley 8757 Rio San Diego Dr., (619) 692-3800	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 info@bankerscompliancegroup.com for assistance.

NON-MEMBERS: The 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 #21, "Bank Secrecy Act Compliance" will be updated. Only those attendees designated by their institution will receive a Manual. All registered attendees will receive a Discussion Outline. Members Only may purchase additional hard copies of SPM #21 during May for \$35.00 per copy plus shipping charges and applicable sales tax.

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 credits.

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.