

Aldrich & Bonnefin, PLC, Counsel for Bankers' Compliance Group® Presents

Bank Secrecy Act Compliance

May 2018

Aldrich & Bonnefin is pleased to invite you to attend our 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 a detailed discussion of the beneficial ownership rule and related compliance issues. We will also discuss recent BSA developments, such as the FDIC's BSA supervisory update, recent enforcement actions and changes to the Suspicious Activity Report forms.

WHO SHOULD ATTEND?

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



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.



Anne M. McEvelly, Esq. Ms. McEvelly is a principal of Aldrich & Bonnefin and advises financial institutions in all areas of compliance, including banking operations and consumer lending. Her practice focuses on IRS information reporting, 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
- Enhanced due diligence requirements
- Dealing with marijuana-related businesses
- 314(b) information sharing

FDIC BSA Supervisory Update

Recent Enforcement Actions

Changes to Suspicious Activity Report Forms

ALDRICH
&
BONNEFIN

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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 DIEGO	Tuesday, May 1, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Wed. 4/25	Marriott Mission Valley 8757 Rio San Diego Dr., (619) 692-3800	We validate for self-parking only.
ONTARIO	Friday, May 4, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Monday 4/30	Ontario Doubletree 222 North Vineyard Ave., (909) 937-0900	Free self-parking is available.
SAN FRANCISCO	Tuesday, May 8, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Wed. 5/2	San Francisco Hilton Union Square (NEW LOCATION) 333 O'Farrell Street (415) 771-1400	We validate for self-parking only.
SAN JOSE	Wednesday, May 9, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Thurs. 5/3	San Jose Marriott 301 South Market Street, (408) 280-1300	We validate for hotel valet-parking only.
LOS ANGELES	Friday, May 11, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Monday 5/7	LAX Airport Marriott 5855 West Century Blvd., (310) 641-5700	We validate for self-parking only.
SANTA BARBARA	Wednesday, May 16, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Thurs. 5/10	Hotel Californian (NEW LOCATION) 36 State Street, (805) 882-0100	We validate for self-parking only.
WOODLAND HILLS	Thursday, May 17, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Friday 5/11	Warner Center Marriott 21850 Oxnard St., (818) 887-4800	We validate for self-parking only.
MONROVIA	Tuesday, May 22, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Wed. 5/16	Courtyard Marriott 700 W. Huntington Drive, (626) 357-5211	Free self-parking is available.
SACRAMENTO	Thursday, May 24, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Friday 5/18	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, May 25, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Monday 5/21	Anaheim Marriott Suites 12015 Harbor Blvd., (714) 750-1000	Free self-parking is available.

REGISTRATION

To register for this Seminar, please contact your institution's Main Contact, or if you are authorized, log in at <https://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 American Bankers Association in order to receive continuing education credit (<https://aba.csod.com/client/aba/default.aspx> and login). The activity may be eligible for **4.75** 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.