

## Bank Secrecy Act Compliance

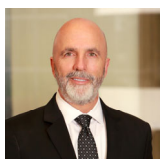
October 2022

**A**ldrich & Bonnefin is pleased to invite you to attend our full-day Bank Secrecy Act Compliance Seminar. Money laundering schemes continue to evolve making it increasingly more difficult to effectively manage BSA risk. As a direct result, state and federal regulatory agencies are continuing to scrutinize financial institutions in their efforts to comply with the Bank Secrecy Act and otherwise combat money laundering and financing of terrorism.

Our discussion will begin with examining the requirements of the CIP and beneficial ownership rules, including the impact of the numerous FAQs and related guidance FinCEN has issued. 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.

Finally, we will discuss other BSA developments, including the recently released joint statement from FinCEN and the federal regulatory agencies on using a risk-based approach to assess customer relationships and conduct CDD.

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



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.

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### SEMINAR HIGHLIGHTS

- ... Customer identification program rule
- ... Beneficial ownership rule
- ... Customer due diligence obligations and expectations
- ... BSA and AML risk analysis
- ... Doing business with high-risk customers
- ... Recent FinCEN Guidance and Statements



### WHO SHOULD ATTEND?

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



Anne 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 received her BA from California State University, Long Beach.

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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, October 12, 2022, 8:30 a.m. - 3:00 p.m.	Friday, October 7, 12:00 p.m.
RECORDING PLAYBACK #2	Friday, October 14, 2022, 8:30 a.m. - 3:00 p.m.	Tuesday, October 11, 12:00 p.m.
RECORDING PLAYBACK #3	Tuesday, October 18, 2022, 8:30 a.m. - 3:00 p.m.	Thursday, October 13, 12:00 p.m.
RECORDING PLAYBACK #4	Thursday, October 20, 8:30 a.m. - 3:00 p.m.	Monday, October 17, 12:00 p.m.
RECORDING PLAYBACK #5	Tuesday, October 25, 8:30 a.m. - 3:00 p.m.	Thursday, October 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.

### 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: 5.75 CRCM credits. APPROVED NON-ABA CE search for training will appear as: Aldrich & Bonnefin, PLC | Bank Secrecy Act Compliance

**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.