

# Legal Processes

October 2018

**A**ldrich & Bonnefin, PLC is pleased to invite you to attend our Seminar on 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 the 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.

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



## SEMINAR 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

### WHO SHOULD ATTEND?

Please invite your operations officers, personnel who handle legal processes, compliance officers, in-house counsel, branch managers and new accounts personnel..



**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.

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&  
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Our *Legal Processes 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 JOSE	Wednesday, Oct. 3, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Thurs. 9/27	San Jose Marriott 301 South Market Street, (408) 280-1300	We validate for hotel valet-parking only.
SAN FRANCISCO	Thursday, Oct. 4, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Friday 9/28	San Francisco Hilton Union Square 333 O'Farrell Street (415) 771-1400	Validated self-parking is available in Hilton hotel garage on Ellis Street, between Mason and Ellis. Valet-parking not validated.
LOS ANGELES	Thursday, Oct. 11, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Friday 10/5	LAX Airport Marriott 5855 West Century Blvd., (310) 641-5700	We validate for self-parking only.
GARDEN GROVE	Friday, Oct. 12, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Friday 10/5	Anaheim Marriott Suites 12015 Harbor Blvd., (714) 750-1000	Free self-parking is available.
MONROVIA	Tuesday, Oct. 16, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Wed. 10/10	Courtyard Marriott 700 W. Huntington Drive, (626) 357-5211	Free self-parking is available.
ONTARIO	Friday, Oct. 19, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Monday 10/15	Ontario Doubletree 222 North Vineyard Ave., (909) 937-0900	Free self-parking is available.
SANTA BARBARA	Tuesday, Oct. 23, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Wed. 10/17	Four Seasons Resort, The Biltmore 1260 Channel Dr., (805) 969-2261	Free self-parking is available.
WOODLAND HILLS	Wednesday, Oct. 24, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Thurs. 10/18	Warner Center Marriott 21850 Oxnard St., (818) 887-4800	We validate for self-parking only.
SACRAMENTO	Friday, Oct. 26, 8:30 a.m. – 3:00 p.m. Registration closes at noon on Monday 10/22	Sheraton Grand Sacramento Hotel 1230 J St., (916) 447-1700	Validated self-parking is available in public parking garage directly across from hotel, on corner of 13th and J Streets. Valet-parking not validated.

## 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](mailto: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 #4 "Legal Processes," will be updated. Each member institution will receive via email a link to a downloadable PDF of the Standard Procedures "E-Manual." Non-member attendees will receive one hard copy manual, which will be mailed to the attendee by the end of the Seminar month. All registered attendees will receive a Discussion Outline the day of the Seminar. Members Only may purchase additional hard copies of SPM #4 during October for \$45.00 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:** We have submitted to the American Bankers Association a request for approval of this activity in order for Certified Regulatory Compliance Managers to receive continuing education credit. The activity may be eligible for up to 4.75 continuing education credits. Contact the law firm for further information regarding the status of our request ([info@bankerscompliancegroup.com](mailto:info@bankerscompliancegroup.com)).

**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.