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

NEW ACCOUNTS DOCUMENTATION & COMPLIANCE

October 2019

Aldrich & Bonnefin invites you and your operations and compliance staffs to attend a Seminar covering New Accounts Documentation and Compliance. Having proper new account policies and procedures can help financial institutions prevent or at least reduce the risk of fraud and other losses, as well as compliance violations.

This Seminar will focus on documents that institutions will want to review during the account-opening process for individuals, businesses (such as corporations, partnerships and LLCs) and court-appointed fiduciaries (for example, decedent estates, conservatorships and guardianships). As part of this discussion we will consider the process for opening accounts for property management companies, including those opened on behalf of homeowners associations. There will also be a detailed discussion covering the opening and maintenance of accounts for family trusts.

Of course, no discussion on new accounts documentation would be complete without considering the requirements of both CIP and the beneficial ownership rule.

SEMINAR HIGHLIGHTS

CIP requirements

Beneficial ownership rule

Documenting accounts

- Personal accounts
- Business accounts
- Decedent estates
- Conservatorships
- Guardianships

Establishing accounts for property management companies

Opening and maintaining accounts for family trusts

WHO SHOULD ATTEND?

Please invite your operations staff, compliance officers and auditors, new accounts personnel, in-house counsel and BSA department 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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Our ***New Accounts Documentation & 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, Oct. 1, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Wed., 9/25	**Palace Hotel** 2 New Montgomery, (415) 512-1111	We validate for hotel valet-parking only.
SANTA BARBARA	**Tuesday, Oct. 8, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Wed., 10/2	**Four Seasons Resort, The Biltmore** 1260 Channel Dr., (805) 969-2261	Free street parking is available.
WOODLAND HILLS	**Wednesday, Oct. 9, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Thurs., 10/3	**Warner Center Marriott** 21850 Oxnard St., (818) 887-4800	We validate for self-parking only.
MONROVIA	**Thursday, Oct. 10, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Fri., 10/4	**Courtyard Marriott** 700 W. Huntington Drive, (626) 357-5211	Free self-parking is available.
SACRAMENTO	**Wednesday, Oct. 16, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Thurs., 10/10	**Sheraton Grand Sacramento Hotel** 1230 J St., (916) 447-1700	Validated self-parking is available in Ace/ Sheraton garage directly across the street, on the corner of 13th Street and J Streets. Valet-parking not validated.
ONTARIO	**Friday, Oct. 18, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Fri., 10/11	**Ontario Doubletree** 222 North Vineyard Ave., (909) 937-0900	Free self-parking is available.
SAN JOSE	**Tuesday, Oct. 22, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Wed., 10/16	**San Jose Marriott** 301 South Market Street, (408) 280-1300	We validate for hotel valet-parking only.
LOS ANGELES	**Thursday, Oct. 24, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Fri., 10/18	**LAX Airport Marriott** 5855 West Century Blvd., (310) 641-5700	We validate for self-parking only.
GARDEN GROVE	**Friday, Oct. 25, 8:30 a.m. – 3:00 p.m.** Registration closes at noon on Mon., 10/21	**Anaheim Marriott Suites** 12015 Harbor Blvd., (714) 750-1000	Free self-parking is available.

SEMINAR RECORDING PLAYBACK - BCG MEMBERS ONLY

	DATE AND TIME	LOGIN INFORMATION
RECORDING PLAYBACK	**Wednesday, Oct. 30, 8:30 a.m. - 3:00 p.m.** Registration closes at noon on Thurs., 10/24	Registrants will receive an email two business days prior to the Seminar Recording Playback 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 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 **$550** 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.
Cancellation Policy: We will fully refund your registration fee if we receive your written cancellation request AT LEAST five business days prior to the Seminar date. If we receive your cancellation request after this deadline but before the Seminar date, we will charge you a $50 administrative fee and refund the balance of your registration fee. If you do not cancel before the Seminar date, your registration fee is non-refundable.

MATERIALS

For this Seminar, Standard Procedures Manual #2, "New Accounts Documentation & Compliance," 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 at the Seminar. Members Only may purchase additional hard copies of SPM #2 during October 2019 for $45.00 per copy plus shipping charges and applicable sales tax.

ACCREDITATION
(Continuing education credit will only be provided 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: New Accounts Documentation & Compliance Seminar has been submitted to ABA Professional Certifications for CE credit review and is pending approval. Once we receive notification of the credit approval, we will notify attendees/participants. Contact the law firm for further information regarding the status of our request (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.