

April 28

2021

Webinar

Handling Subpoenas

Wednesday, April 28, 2021
10:00 a.m. — 12:00 p.m. PDT

Presented by
Keith R. Forrester, Esq.



Presented by Counsel for Bankers' Compliance Group®
ALDRICH & BONNEFIN, PLC

While the rules for responding to subpoenas and other government requests for information vary significantly, many of the difficulties in properly producing the documents and records requested is attributed to overly broad or vague requests. For obvious reasons this can lead to confusion and claims against a financial institution for failing to respond properly. It can be equally difficult to determine whether a financial institution should comply with a particular legal process at all thereby making it extremely challenging to protect a customer's financial privacy.

This Webinar will focus on dealing with subpoenas served by private parties as well as those served by state and federal government agencies. Our discussion will include a detailed review of some of the more common legal process forms, with an emphasis on those areas of the forms financial institutions should pay particular attention to as well as the specific terminology used in describing the requested records.

Discussion Highlights:

- Subpoena duces tecum
- Deposition subpoenas for production of business records
- State and federal Right to Financial Privacy Acts
- State and federal grand jury subpoenas
- IRS summons for records
- SEC summons

WHO SHOULD ATTEND?

Operations officers, Personnel who handle legal processes, Compliance Officers, In-house Counsel, Branch Managers, New accounts personnel

A CD also will be available for purchase!

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PRICING

When registering online, please select from the following options (each option includes a detailed discussion outline):

Live Webinar (Single Connection—with up to 5 users)	\$295.00 (BCG Members) \$395.00 (BCG Non-members)
CD* (Includes a Discussion Outline)	\$295.00 (BCG Members) \$395.00 (BCG Non-members)
Live Webinar <u>AND</u> CD-ROM *We do not ship to PO Boxes	\$530.00 (BCG Members) \$710.00 (BCG Non-members)

REGISTRATION

To register, please contact your institution's Main Contact or, if authorized, log in at <https://register.bankerscompliancegroup.com/subadmin> and select "Register for Events." **Registration closes at noon on Friday, April 23.** (which is three business days prior to the Webinar date). Registrants will receive an email on how to download the materials and make the connection for the presentation two business days before the Webinar.

If you have not established an online event registration account, please contact Katrina Jensen at 800-742-3600 or email her at info@bankerscompliancegroup.com to obtain a username and password.

PAYMENT

BCG Members: This Webinar is offered to BCG members on an optional basis. BCG Members will be billed and do not need to pay online or send a check.

Non-members: We must receive payment no later than 10:00 a.m. on **Friday, April 23.** 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 for which you are registering.

CANCELLATION

BCG Members will be billed \$50 unless we receive a written cancellation notice by 10:00 a.m. on **Friday, April 23.**

Non-member registration fee will be **fully** refunded if we receive a written cancellation notice by 10:00 a.m. on **Friday, April 23.** Otherwise, the registration fee, less \$50, will be refunded.

ACCREDITATION

(Continuing Education credit will be provided only to the registrant)

MCLE: As an added benefit we are offering this Webinar to in-house attorneys for MCLE credit. This activity has been approved for Minimum Continuing Legal Education credit by the State Bar of California in the amount of **2.0 hours.** Aldrich & Bonnefin 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 minimum continuing legal education.