

SEPTEMBER 19

2019

Webinar

# Handling Subpoenas for Customer Records

Thursday, September 19  
10:00 – 11:30 a.m.

Presented by: *Keith Forrester*  
Principal, Aldrich & Bonnefin

## 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!

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

The rules for responding to subpoenas and other government requests for information vary significantly, which can lead to confusion and a failure 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.

## Topics to be covered include:

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

## SUBPOENA

To (name) .....  
of (address) ..... State: ..... Postcode: .....

YOU ARE ORDERED TO: (select one box)

Attend court to give evidence (see Part A for details of order)

Attend court to give evidence and produce documents (see Part B for details of order)

Produce documents to the Court (see Part C for details of order)

TAKE NOTICE: IF YOU FAIL TO OBEY THIS SUBPOENA a warrant may issue for your arrest  
you may be liable for costs

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### PRICING

When registering online, please select from the following options:

Live Webinar (Single Connection)	\$255.00 (BCG Members) \$355.00 (BCG Non-members)
CD* (Includes a Discussion Outline)	\$255.00 (BCG Members) \$355.00 (BCG Non-members)
Live Webinar <u>AND</u> CD* (Includes a Discussion Outline)	\$460.00 (BCG Members) \$640.00 (BCG Non-members)

\*Note: We cannot ship CDs to a P.O. Box.

### 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 **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 Nina Gomez at 800-742-3600 or email her at [info@bankerscompliancegroup.com](mailto: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 Monday, September 16. 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 POLICY

**BCG Members:** We must receive your written cancellation notice by 10:00 a.m. on Monday, September 16 with no charge. If we receive your cancellation request after this deadline, we will bill you \$50. However, if we have already sent an email with your PIN by the time we receive your cancellation request, we will bill you the full registration fee.

**Non-members:** We must receive your written cancellation notice by 10:00 a.m. on Monday, September 16, in which case we will refund your registration fee. If we receive your cancellation request after this deadline, we will refund your registration fee, less \$50. However, if we have already sent an email with your PIN by the time we receive your cancellation request, your registration fee is non-refundable.

### ACCREDITATION

**(Continuing education credit will 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 **1.5 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. **SPECIAL NOTICE:** To receive MCLE credit, attorneys will need to download the MCLE forms posted on the conference website and note the two verification codes that will be announced during the Webinar.