

Legal Processes

January 2024

Aldrich & 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. We will also address the current state of the law concerning automatic exemptions that may apply depending on the customer's account and the particular type of levy.

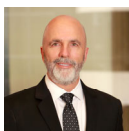
In addition to levies and executions, we will discuss requests for customers' financial records pursuant to civil subpoenas as well as government requests under the California and Federal Right to Financial Privacy laws.

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

WHO SHOULD ATTEND?

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

We have scheduled only
Recording Playbacks with Live Q&As
for this Seminar.



Keith R. Forrester, Esq., is a principal of Aldrich & Bonnefin PLC. 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.



John M. Davis, Esq. joined Aldrich & Bonnefin, PLC in May 2017 as a Summer Associate and remained with the firm as a law clerk until he became an Associate Attorney in June 2019. Mr. Davis is part of the firm's Banking Operations & Fintech and Corporate Practice Groups, specializing in corporate governance and commercial lending matters. Mr. Davis also regularly advises clients on matters related to data privacy and information security laws, including with regard to the Gramm-Leach-Bliley Act, the California Consumer Privacy Act, and the California Consumer Privacy Rights Act.

SEMINAR HIGHLIGHTS

Property Subject to Levy

- Individual accounts
- Business accounts
- Fiduciary accounts

Writs and Levies

- Writs of execution
- Government levies
- Common automatic exemptions

Right to Financial Privacy

- Civil subpoenas
- State and federal RFPAs
- Grand jury subpoenas



SEMINAR RECORDING PLAYBACKS - BCG MEMBERS ONLY
(Continuing education credit will be provided only to the registrant)

| | DATE AND TIME | REGISTRATION CLOSE DATE |
|-----------------------|--|--|
| RECORDING PLAYBACK #1 | Wednesday, January 10, 2024, 8:30 a.m. - 3:00 p.m. | Friday, January 5, 2024, 12:00 p.m. |
| RECORDING PLAYBACK #2 | Friday, January 12, 2024, 8:30 a.m. - 3:00 p.m. | Tuesday, January 9, 2024, 12:00 p.m. |
| RECORDING PLAYBACK #3 | Wednesday, January 17, 2024, 8:30 a.m. - 3:00 p.m. | Thursday, January 11, 2024, 12:00 p.m. |
| RECORDING PLAYBACK #4 | Tuesday, January 23, 2024, 8:30 a.m. - 3:00 p.m. | Thursday January 18, 2024, 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-served basis.

MATERIALS

For this Seminar, Standard Procedures Manual #04, "Legal Processes," will be updated. BCG members will receive the updated SPM through their membership subscription to Compliance Companion® by the first week of January 2024. 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 Legal Processes for: **5.75** CRCM credits. APPROVED NON-ABA CE search for training will appear as: Aldrich & Bonnefin, PLC | Legal Processes

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.