

# General Banking Operations

July 2022

**A**ldrich & Bonnefin, PLC is pleased to invite you and your operations staff to attend a Seminar addressing operations compliance. We will discuss a number of important banking operations compliance areas.

The presentation will include issues and processes triggered when an institution is notified of an account holder's death. This death of depositor discussion will include small estate processes, as well as estates subject to probate. We will highlight a recent change to the dollar threshold applicable to small estate affidavits.

A review of vendor management program essentials will be presented, including due diligence in selecting, contracting, and monitoring these relationships. Our discussion will address specific vendor issues, such as model risk management, privacy compliance, new cyber-incident reporting obligations, and proposed joint guidance on risk management of third-party relationships.

We will also cover powers of attorney, including content requirements and related risks (general, durable, statutory, and trustee scenarios).

Lastly, we will address recent operations "hot topics," such as re-presented transaction fees, overdraft regulatory scrutiny, and heightened focus on Regulation E error resolution mistakes.

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



Speaker: Anne McEvilly Esq., is a principal of Aldrich & Bonnefin PLC, specializing in regulatory compliance, including banking operations, treasury services and vendor management and contract negotiations. Prior to joining the firm, she was in-house counsel to Toyota and Lexus Financial Services and also counsel to the Resolution Trust Corporation. Prior to practicing law, she worked with California Federal Bank. Anne graduated from Whittier College School of Law and also received her BA from California State University, Long Beach.



Keith R. Forrester, Esq., is a principal of Aldrich & Bonnefin. Since 1993, Mr. Forrester has been extensively involved with advising financial institutions on a variety of general banking operations and compliance matters. Mr. Forrester manages the firm's Operations and FinTech Practice Group and in that capacity assists financial institutions in areas such as Bank Secrecy Act compliance, negotiable instruments, electronic banking, new accounts, treasury services, right to financial privacy laws, and legal processes.

## SEMINAR HIGHLIGHTS

- ... Detailed death of depositor processes (dollar threshold for small estate has changed!)
- ... Overview of vendor management program expectations, including due diligence, model risk management, privacy, and cyber-incident reporting
- ... Powers of attorney (general, durable and statutory)
- ... Operations "hot topics"

## WHO SHOULD ATTEND?

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



## SEMINAR RECORDING PLAYBACK - BCG MEMBERS ONLY

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

	PLAYBACK DATE AND TIME	REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Tuesday, July 12, 2022, 8:30 a.m. - 3:00 p.m.	Thursday, July 7, 2022, 12:00 p.m.
RECORDING PLAYBACK #2	Tuesday, July 19, 2022, 8:30 a.m. - 3:00 p.m.	Thursday, July 14, 2022, 12:00 p.m.
RECORDING PLAYBACK #3	Thursday, July 21, 2022, 8:30 a.m. - 3:00 p.m.	Monday, July 18, 2022, 12:00 p.m.
RECORDING PLAYBACK #4	Friday, July 22, 2022, 8:30 a.m. - 3:00 p.m.	Tuesday, July 19, 2022, 12:00 p.m.
RECORDING PLAYBACK #5	Wednesday, July 27, 2022, 8:30 a.m. - 3:00 p.m.	Friday, July 22, 2022, 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.bankerscompliancgroup.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.

### MATERIALS

For this Seminar, Standard Procedures Manual #09, "General Banking Operations," will be updated. Each BCG member institution will receive via email a link to a downloadable PDF of the Standard Procedures "E-Manual." 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 General Banking Operations for: 6 CRCM credits. APPROVED NON-ABA CE search for training will appear as: Aldrich & Bonnefin, PLC | General Banking Operations

**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.