

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

Bank Secrecy Act Compliance

September 2023

Aldrich & Bonnefin is pleased to invite you to attend our full-day Bank Secrecy Act Compliance Seminar. As money laundering schemes continue to increase and evolve, it is more important for financial institutions to ensure they are taking proper steps to combat money laundering and the financing of terrorist activities. We will begin our discussion by examining the requirements of the CIP and beneficial ownership rules, including recent and proposed FinCEN rules mandated by the Corporate Transparency Act.

During this Seminar, we will also cover in detail customer due diligence (CDD) expectations with a focus on providing services to high-risk customers, including the need to apply a risk-based approach to assess customer relationships.

Finally, we will discuss other recent BSA developments, along with a review of recent BSA enforcement actions.

WHO SHOULD ATTEND?

Please invite your operations staff, new accounts and lending personnel, compliance staff and in-house counsel

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

No in-person Seminar locations will be held. A new Recording Playback date has been added.



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



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. Ms. McEvilly is President and CEO of our firm. 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 for California Federal Bank. Anne graduated from Whittier College School of Law and also received her BA from California State University, Long Beach.

SEMINAR HIGHLIGHTS

- ... Customer Identification Program Rule
- ... Beneficial Ownership Rule
- ... Customer due diligence obligations and expectations
- ... Conducting due diligence on high-risk customers
- ... FinCEN rulemaking under the Corporate Transparency Act
- ... Recent BSA enforcement actions



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&
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* Janet Bonnefin is retired from the practice of law with the firm

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

**In-person Seminars have been cancelled.
A new Recording Playback date has been added**

		REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Wednesday, September 6, 2023, 8:30 a.m. - 3:00 p.m.	Friday, September 1, 2023, 12:00 p.m.
RECORDING PLAYBACK #2	Friday, September 8, 2023, 8:30 a.m. - 3:00 p.m.	Tuesday, September 5, 2023, 12:00 p.m.
RECORDING PLAYBACK #3	Monday, September 11, 2023, 8:30 a.m. - 3:00 p.m.	Wednesday, September 6, 2023, 12:00 p.m.
RECORDING PLAYBACK #4 *Newly added	Tuesday, September 19, 2023, 8:30 a.m. - 3:00 p.m.	Thursday, September 14, 2023, 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-serve basis.

MATERIALS

For this Seminar, Standard Procedures Manual #21, "*Bank Secrecy Act Compliance*," will be updated. BCG members will receive the updated SPM through their membership subscription to Compliance Companion® by the first week of October 2023. 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 Bank Secrecy Act Compliance for: **5.75** CRCM credits. APPROVED NON-ABA CE search for training will appear as: Aldrich & Bonnefin, PLC | Bank Secrecy Act Compliance.

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.