

Bank Secrecy Act Compliance

September 2024

Aldrich & Bonnefin is pleased to invite you to attend our full-day Bank Secrecy Act Compliance Seminar. We will begin our discussion by examining the beneficial ownership rules. This will include the recent access rule that establishes a framework for access to beneficial ownership information reported to FinCEN by reporting companies under the Reporting Company Final Rule mandated by the Corporate Transparency Act (CTA).

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 recent BSA developments, such as BSA enforcement actions and the federal court decision ruling the CTA unconstitutional.



SEMINAR HIGHLIGHTS

- Customer Identification Program Rule
- Beneficial Ownership Rule
- Customer due diligence obligations and expectations
- Conducting due diligence on high-risk customers
- Beneficial ownership rulemaking under the Corporate Transparency Act (“CTA”)
- Recent BSA enforcement actions
- Impact of a federal court’s ruling that the CTA is unconstitutional

WHO SHOULD ATTEND?

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.**



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.



Anne M. 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 RECORDING PLAYBACK - BCG MEMBERS ONLY

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

		REGISTRATION CLOSE DATE
RECORDING PLAYBACK #1	Tuesday, September 10, 2024, 8:30 a.m. - 3:00 p.m.	Thursday, September 5, 2024, 12:00 p.m.
RECORDING PLAYBACK #2	Thursday, September 12, 2024, 8:30 a.m. - 3:00 p.m.	Monday, September 9, 2024, 12:00 p.m.
RECORDING PLAYBACK #3	Friday, September 13, 2024, 8:30 a.m. - 3:00 p.m.	Tuesday, September 10, 2024, 12:00 p.m.
RECORDING PLAYBACK #4	Thursday, September 26, 2024, 8:30 a.m. - 3:00 p.m.	Monday, September 23, 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-serve basis.

MATERIALS

For this Seminar, we are updating BCG Standard Procedures Manual #21, *Bank Secrecy Act Compliance*. BCG Members will receive the updated SPM through their membership subscription to Compliance Companion® by the first week of September 2024. As noted above, registered attendees will be able to download the Agenda and Discussion Outline prior to the Recording Playback.

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 **5.5** hours of CPE Continuing Education credit.