

March 2013

Webinar

BSA, OFAC and AML—Pick Your Poison!

Thursday, March 14, 2013
10:00 —11:30 a.m.



WHO SHOULD ATTEND?

- In-house counsel
- Compliance officers
- Operations officers
- Auditors and examiners
- Note department staff

Presented by the Counsel For Bankers' Compliance Group®
ALDRICH BONNEFIN & MOORE, PLC

Last year, HSBC paid fines which in total exceeded \$1.9 billion for violations of BSA and sanctions regulations. Most BCG members have nothing to fear that resembles HSBC's problems. But the \$15 million paid by First Bank of Delaware for failure to "implement an effective BSA/AML Compliance Program with internal controls reasonably designed to detect and report evidence of money laundering and other suspicious activity" might be scary. This Webinar is designed to bring you up to date on recent changes in and the "evolution" of BSA, OFAC and AML rules, issues and solutions. It is for both compliance and legal officers. Our goal will be to show you what's new, whether due to new rules or new attitudes.

WEBINAR HIGHLIGHTS

- ◆ What's "effective" got to do with it?
- ◆ Common AML/SAR issues that are NOT solved with better computer systems
- ◆ How to prepare for an exam
- ◆ Update on BSA rules and guidances
- ◆ Dealing with "third-party payment processors" (and what are they, by the way?)
- ◆ Status of the "safe harbor" for SAR filings
- ◆ Integrating BSA's "funds transfer recordkeeping" (AKA "travel") rule with the Dodd-Frank Remittance Transfer Rule (easy for you to say)
- ◆ Proposed "Customer Due Diligence" Rules and Beneficial Owners (or, "Trust, but Verify Trusts and Other Business Owners")

SPEAKER

Mark A. Moore, Esq.

Mr. Moore is a principal of Aldrich Bonnefin & Moore, PLC. He specializes in payment systems, including associated compliance obligations for depository and non-depository financial institutions. He is the head of the Banking Operations Practice Group for the firm and has for several years taught Consumer Compliance as an Adjunct Professor at Thomas Jefferson School of Law.

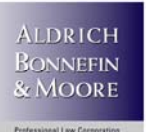


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PRICING

BCG Members: \$275.00 per connection. The Webinar is being offered on an optional basis to BCG members. BCG Members will be billed; do not enclose a check.

Non-Members: \$375.00 per connection. To register, visit <http://register.bankerscompliancegroup.com/subadmin>. If you have any questions, or if you haven't registered online with us before, contact Paige Tyler at PTyler@ABMLawFirm.com or 800-742-3600 to obtain a username and password. Payment must be received prior to the webinar date. **Non-members may pay by check or credit card.** To pay by credit card, follow the credit card instructions during the online registration process. We accept MasterCard, Visa and Discover cards. To pay by check, make checks payable and mail to **Aldrich Bonnefin & Moore, PLC, P.O. Box 19686, Irvine, CA 92623-1029**, along with a copy of your registration.

REGISTRATION

To register for a BCG Webinar, log onto <http://ors.bankerscompliancegroup.com/subadmin/> at least **one business day** prior to the webinar date.

If you have not established an online registration account with us, please contact Paige Tyler at 949- 553-0909 or toll free (BCG Members only) at 800-742-3600.

CANCELLATION

BCG Members will **not** be billed only if registrant's cancellation notice is received **at least three** business days prior to the webinar date.

Non-members will be **fully** refunded if registrant's cancellation notice is received **at least three** business days prior to the webinar date. Otherwise, the registration fee less \$50 will be refunded.

ACCREDITATION

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 & Moore 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:** In order to receive MCLE credit, attorneys must notify us prior to the program which connection they will use and request MCLE forms.

WEBINAR LISTENING PREFERENCES

When registering online, please select from the following options:

Live Webinar	\$275.00 (Member) \$375.00 (Non-member)
Audio Package (CD)	\$275.00 (Member) \$375.00 (Non-member)
Live Webinar <u>AND</u> Audio Package (CD)	A 20% discount will be applied to the audio package when ordering both the live webinar and audio package.

PARTICIPANT INSTRUCTIONS

Web

- Go to <http://www.bankerscompliancegroup.com/> and select the icon "BCG Webinars Download Agenda/Outline"
- On the **Join a Meeting** side of the login page, enter Meeting Room **aldbon1**
- Enter your PIN provided by Aldrich Bonnefin & Moore in the Access Code field
- Click **Join Meeting**
- Make sure your PC speakers are turned on and at the correct volume

Phone (optional)

- Call **866-927-1521** 5 to 10 minutes prior to the conference start time
- Enter your PIN provided by Aldrich Bonnefin & Moore
- While on hold you will hear music until the conference is started or be connected directly to the conference if it has already started
- During the conference, you will be in listen-only mode until a question

TECHNOLOGY REQUIREMENTS

Minimum System Requirements Browser

JavaScript enabled browser such as Microsoft Internet Explorer 6 or later, Mozilla Firefox, Google Chrome and Safari

Internet

56k or faster Internet connection (high-speed is recommended)

Streaming

For audio/video streaming, Adobe Flash plug-in version 9 or higher is required