

BSA/AML Compliance

Recent Developments & Common Errors

Webinar • July 9, 2009, 1:30-3:30 CT

BSA professionals - don't miss this annual update that emphasizes common violations and important developments in the preceding 12 - 18 months.

Are you looking for an efficient, focused update & reminder on BSA Compliance? You've found it!



NORTH DAKOTA
BANKERS
ASSOCIATION

Okay, you are experienced and work diligently at staying current on BSA/AML developments. However, you know you have a training requirement that can't be satisfied with "home study." Good, this is the training session for you. This is our annual update session where Ken delivers a current copy of Pegasus' BSA/AML manual, but focuses his comments only on recent developments and common compliance problems. You and the experienced members of your staff get a detailed manual and the information you need at a cost and in a time frame that have your economics in mind.

Why Participate?

No other federal regulation contains more clear or stringent training requirements. Even experienced personnel are expected to maintain their knowledge with ongoing education. However, sometimes sitting through a full day BSA program leaves experienced personnel hoping for "knowledge nuggets" between the reviews of long-standing requirements. This program is designed to make that continuing education requirement more efficient and effective. The 125 page manual includes a full review of BSA requirements. However, this session focuses on specific pulse points in BSA compliance.

Highlights

- Significant changes to the CTR exemption process effective January '09
- Recent guidance on documentation supporting CTR exemptions
- FinCEN's Educational Pamphlet on currency transaction reporting
- Plans to update the BSA/AML Examination Handbook
- Proposed regulations explaining SAR confidentiality
- SAR Trends, Tips, & Issues (the most recent edition)
- Recent guidance on SAR filing for specific issues; e.g. identity theft & mortgage rescue scams
- Identifying business owners vs. mere signatories
- Objectively identifying "high risk" customers
- Assembling and evaluating an AML training program
- Providing services to non customers - the "big picture"
- Common questions & problems

Presenter

Ken Golliver is a principal with Pegasus Educational Services, LLC. He is an experienced banker with a unique ability to reduce complex legal concepts to plain English. Prior to becoming a full-time trainer, Ken was a community banker and General Counsel for a regional consulting firm for financial institutions. He presents schools and seminars in over 25 states and has served on Compliance Schools sponsored by the OTS and the FDIC.

Audience

The program is designed as an update for experienced BSA officers and auditors.

CE Applied: 2.5 hrs. CRCM/CFSSP with the Institute of Certified Bankers

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SW2-1120

BSA/AML Recent Developments

July 9, 2009

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