

BSA/AML Compliance: Recent Developments & Common Errors



Webinar • July 22, 2010, 1:30-3:30 CT

Are you looking for an efficient, focused update on BSA Compliance? You've found it! This program emphasizes common BSA violations and important developments in the preceding 12- 18 months including the recent BSA/AML Manual revisions.

Ongoing Bank Secrecy Act (BSA) training is a legal requirement. For the experienced BSA Officer or Auditor, that training needs to focus on recent developments and reminders regarding key issues. This two hour session is designed for that group.

Why Participate?

No other federal regulation contains more stringent, enforceable training requirements than those relating to BSA compliance. Even experienced personnel are expected to maintain their knowledge level 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 makes that continuing education requirement more efficient and effective. It focuses on specific pulse points in BSA compliance. However, the manual is approximately 140 pages long and includes a full review of BSA requirements.

Highlights

This presentation emphasizes common violations and important developments in the preceding 12-18 months. Registrants may submit questions and suggested areas of emphasis prior to the program. Currently, the issues where emphasis is expected include:

- A variety of compliance issues that are common errors or problems
- The **BSA/AML Manual Revisions**; which changes directly affect your institution
- Identifying beneficial owners
- Possible expansion of the list of entities submitting names under the 314(a) process
- Common problems with technical BSA compliance requirements; e.g. CTR filing, SAR filing, 314(a) compliance
- Status of proposed changes to SAR confidentiality regulations
- Status of regulations regarding stored value cards
- Electronic filing update
- Using FinCEN's CTR Educational Pamphlet
- Using SAR Activity Review information
- Official Guidance on SARs regarding loan modification and foreclosures
- Official Guidance on 314(b) Information Sharing
- Using the risk assessment as your primary internal control
- Recent developments regarding provision of financial services to MSBs

Presenters

Ken Golliver is a principal with Pegasus Educational Services, LLC. Prior to becoming a full time trainer, he was a community banker and then 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

Experienced BSA officers and auditors. The program is not designed as a general review or to meet the needs of line personnel.

CE Applied: 2.5 hrs. CRCM/CFSSP/CPB/CCSR with the ICB

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