

2016 Anti-Money Laundering & Bank Secrecy Act Compliance Seminar

COMMUNITY BANKERS ASSOCIATION OF KANSAS MEMBERS RECEIVE SPECIAL DISCOUNT PRICING - SEE PAGE 2 FOR DETAILS

"It is about doing what's right. It's about doing each of our parts to keep illicit actors out of the financial system. When government and industry take on this challenge together, we can and do make a difference."

Jennifer Shaky Calvery
Director

Financial Crimes Enforcement Network
United States Department of the Treasury
May 6, 2015

Recent Congressional focus and well-publicized BSA enforcement actions and fines continue to support a climate where BSA compliance remains of paramount importance to all financial institutions. Treasury continues to rely on financial institutions to serve as the "front-line gatekeepers" for law enforcement efforts to safeguard the U.S. financial system from the abuses of financial crimes, including money laundering and terrorist financing. The federal regulatory agencies continue to rely on financial institutions to take "every reasonable step" to identify, minimize, and manage any risks that illicit financial activity may pose to the individual institution and to the industry. Ongoing initiatives by the Financial Crimes Enforcement Network (FinCEN) and the continued expansions in the federal examination procedures reinforce the need to have a strong BSA program at your institution. This full-day seminar covers in detail the major issues and opportunities in the ever-expanding environment of the Bank Secrecy Act.

This seminar highlights the increased federal expectations for BSA. "Beneficial Ownership", and the ever-increasing importance of Customer/ Member Due Diligence standards, and the New Regulations (Proposed Rules issued in August 2014) are reviewed. The latest guidelines on account management, ongoing

monitoring, and due diligence expectations for Money Services Businesses (MSB), "Third-Party Payment Processors" (TPPP), and other "High-Risk" Clients are highlighted, while the ever increasing issue of "De-Risking" is discussed. Institutional risk assessments and the latest guidance on both high-risk products and services, as well as on human trafficking and smuggling are reviewed. Suspicious activity reporting and the most recent guidance from Treasury on proper Suspicious Activity Report completion are discussed.

The impacts to financial institutions from the federal BSA examination procedures are identified. The regulations affecting financial institutions from the Office of Foreign Asset Control (OFAC) are highlighted. Suspicious transactions, terrorist financing, and other money laundering techniques are also reviewed.

Currency Transaction Reporting (CTR), Exemptions from CTR reporting, Customer/ Member Identification (CIP) requirements, foreign correspondent banking and private banking account management, SAR reporting requirements for insurance affiliates, record retention requirements, and the evolution of BSA are documented in detail. This seminar assists financial institutions in meeting the annual training requirements imposed by the BSA regulations, and provides attendees the opportunity to network with other professionals interested in BSA compliance.

TOPICS

- "Beneficial Ownership", Customer/ Member Due Diligence, and the New Regulations (Proposed Rules issued August 2014)
- Money Services Businesses (MSB), Third-Party Payment Processors (TPPP), Marijuana Dealers, "De-Risking", and Other "High-Risk" Clients
- Risk Assessments
- Human Smuggling and Human Trafficking Guidance
- Suspicious Activity Reporting -Latest Trends and Rulings
- Examination Procedures -Latest Updates
- OFAC Compliance
- Money Laundering Techniques and Suspicious Transactions

Documentation covering:

- Currency Transaction Reporting
- CTR Exemption Opportunities
- Customer/Member Identification (CIP)
- Foreign Correspondent Bank and Private Banking EDD
- SAR for Insurance Affiliates
- Record Retention Requirements
- Information Sources
- BSA "Evolution" and "Lessons" from BSA Enforcement Actions



Seminar Speakers

Mark W. Dever, AAP, CAMS, is a Vice President at PBS. Prior to joining the firm in 1996, Mr. Dever was vice president and manager of cash management operations for a multi-billion dollar regional bank holding company with several affiliates. He has extensive experience in many areas including the automated clearing house (ACH), domestic wire transfer, affiliate bank post-acquisition conversions and consolidations, bank operation centralizations, and payment system risk. He teaches a variety of PBS seminars including the ACH Processing and Compliance, Anti-Money Laundering and Bank Secrecy Act, and Managing Customer Information seminars. He has lectured at regional and national seminars, and at graduate schools of banking hosted by various bank associations and national industry groups. He has served on the faculty of both the OTS' Compliance I School, and the FDIC's Advanced Consumer Protection School. He has also taught undergraduate business and management classes in a community college setting. Mr. Dever is an Accredited Automated Clearing House Professional (AAP), and a Certified Anti-Money Laundering Specialist (CAMS).

Joquetta S. Jackson is a Vice President at PBS. Prior to joining the firm in 2004, Ms. Jackson served as a compliance examiner for the Federal Reserve Bank of Cleveland in the Cincinnati branch. While at the Federal Reserve, Ms. Jackson also served as a Consumer Complaint liaison between consumers and state member banks. Ms. Jackson is a 2002 graduate of the Louis D. Brandeis School of Law and is licensed to practice law in Kentucky.

Who Should Attend

This program is designed for personnel who have management-level responsibilities for BSA compliance. Individuals with retail banking, risk management, compliance, audit, operational, corporate banking, and training responsibilities will benefit from this program. No advance preparation is required.

Program Level: Update/Intermediate

Seminar Agenda

All times are local at seminar site.

Registration	8:30 am
Program	9:00 am - 4:00 pm
Lunch (included)	12:00 noon - 1:00 pm
Instructional Method	Group-Live





Dates & Locations

September 27, 2016

Hilton Garden Inn Wichita
2041 N Bradley Fair Pkwy
Wichita, KS 67206
316-219-4444

September 28, 2016

Capitol Plaza Hotel
1717 S W Topeka Blvd
Topeka, KS 66612
785-431-7200

SEMINAR FEE INCLUDES:

- ✓ Lunch
 - ✓ Coffee Breaks
 - ✓ All Course Materials
- Breakfast and parking are on your own.

Additional Information

The Manual Attendees receive a detailed seminar manual with narrative explanations of regulatory requirements and examination procedures. The manual is an excellent resource for future reference.

Suggested Dress Meeting room temperatures are often difficult to control. Please dress for comfort. Business casual dress is appropriate for all PBS seminars.

Field Of Study Specialized Knowledge and Applications.

Prerequisites/Advanced Preparation
None required.

Confirmations You will receive a written confirmation of your seminar registration within ten days after we receive payment. If an e-mail address is provided, your confirmation will be sent via e-mail. Please make sure to add registrar@probank.com to your list of approved e-mail addresses.

CE CREDITS: Approved for 6.5 CPE Credits. Eligible for 6.75 CRCM Credits through ICB Member CE Review. Visit their website at: www.aba.com/Training/ICB/Pages/CRCM.aspx.

****FULFILL YOUR ANNUAL BSA TRAINING REQUIREMENTS****

PBS Inclement Weather Line In the event of inclement weather in your area, please call (502) 479-5241 for any seminar cancellations. If PBS cancels a program due to weather, PBS will refund the entire registration fee. If a program is not canceled and you choose to cancel your attendance, refunds will not be granted; however, substitutions are always welcome or you may transfer to another seminar by calling PBS no later than the day of the program.

Cancellation Policy If you cancel at least seven days prior to the seminar date, we grant full refunds. If you cancel six days or less, there will be a cancellation fee of \$100 for each day of the seminar. Refunds will not be granted for "no-shows" or for cancellations received on the date of the seminar. Substitutions are welcome at any time. If PBS cancels a seminar for any reason, we will refund the entire registration fee.

Questions? Call 800-523-4778. For program questions, more information or refunds, select option 1 (or ext. 205 or ext. 235). For administrative policies, such as complaint resolution, select ext. 222.

Please Note We reserve the right to change speakers or reschedule/cancel sessions when necessary.

How to Register

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COMMUNITY BANKERS ASSOCIATION OF KANSAS

INSTITUTION INFORMATION

FINANCIAL INSTITUTION

MAILING ADDRESS/PO BOX

CITY

STATE, ZIP

ROUTING/MICR NUMBER

TELEPHONE #

PAYMENT INFORMATION

--- PAYMENT MUST ACCOMPANY REGISTRATION ---

ATTENDEE NAMES & EMAIL ADDRESSES (Photocopy This Form As Necessary)

ATTENDEE #1 _____ \$330

EMAIL ADDRESS _____ MOBILE # _____

ATTENDEE #2 _____ \$330

EMAIL ADDRESS _____ MOBILE # _____

I/WE WILL ATTEND THIS SEMINAR:

Please mark just ONE date/location

- SEPTEMBER 27, 2016 - WICHITA, KS
 SEPTEMBER 28, 2016 - TOPEKA, KS

TOTAL REGISTRATION FEE ENCLOSED: \$ _____

- PAYMENT BY CHECK ENCLOSED CHARGE MY: MASTERCARD VISA DISCOVER AMERICAN EXPRESS
PLEASE PRINT CLEARLY

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EXP DATE

CARDHOLDER'S BILLING ADDRESS

CVV (SECURITY CODE)

AUTHORIZED SIGNATURE

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