

2010 Anti-Money Laundering and Bank Secrecy Act Compliance Seminar
COMMUNITY BANKERS ASSOCIATION OF OKLAHOMA

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Individuals in need of special assistance with regard to this program are requested to contact the registrar at least 5 days before the meeting so that appropriate arrangements can be made.

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Cancellation Policy

If you cancel seven days before the seminar date, we grant full refunds. If you cancel later, but prior to the date of the seminar, we impose a \$50 cancellation fee. If PBS cancels a seminar for any reason we refund all fees paid. To cancel, call our office at 800-523-4778, ext. 205 or 239.

Registration:

CBAO Member Special Rate: \$290

Fees

The registration fee is \$290 for CBAO members. The fee includes lunch, coffee breaks and all course materials. Payment must accompany registration.

2010 Anti-Money Laundering and Bank Secrecy Act Compliance Seminar

Eliminate confusion about recent regulatory changes...help avoid regulatory criticism...and fulfill federal BSA training requirements by attending...

March 11

Embassy Suites Hotel
1815 S. Meridian
Oklahoma City, OK
405-682-6000

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.

Co-Sponsored By:



PROFESSIONAL BANK SERVICES, INC.

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), the continually evolving issues from the USA PATRIOT Act, 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 everexpanding environment of the Bank Secrecy Act.

This seminar highlights the increased federal expectations for BSA. The impacts to financial institutions from the annual expansions to the revised examination procedures are identified. Institutional risk assessment is reviewed, and the procedures on Currency Transaction Reporting (CTR Exemptions are covered. Suspicious activity reporting and the most recent guidance from Treasury on proper SAR completion are discussed. The increasing importance of Customer/ Member Due Diligence standards and “High-Risk” client monitoring are reviewed. The (expected-to-be-updated) guidelines on account management and due diligence expectations for Money Services Businesses (MSB) are highlighted. The regulations affecting financial institutions from the Office of Foreign Asset Control (OFAC) are discussed. Suspicious transactions, terrorist financing, and other money laundering techniques are also reviewed.

Currency Transaction Reporting (CTR) and 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:

- Revised Examination Procedures –Latest Updates
- Risk Assessments
- Suspicious Activity Report (SAR) – New Rulings (Anticipated)
- Customer/Member Due Diligence – “High Risk Clients”
- Money Services Businesses (MSB) – New Rulings (Anticipated)
- OFAC Compliance
- Money Laundering Techniques and Suspicious Transactions

Documentation Covering:

- Currency Transaction Reporting (CTR – FinCEN Form 104
- Customer/Member Identification (CIP)
- Foreign Correspondent Bank and Private Banking EDD
- SAR for Insurance Affiliates
- Record Retention Requirements
- Information Sources

Seminar Speakers:

Mark W. Dever, AAP, CAMS, is a Senior Consultant 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).

David Luken is a Senior Consultant at PBS. Prior to joining the firm in 1992, Mr. Luken was senior vice president and general counsel for a billion dollar metropolitan bank holding company. While at PBS he has served on the faculty of the FDIC’s Advanced Consumer Protection School, Bank Operations and Compliance School and the OTS Compliance School. He has also served on the faculties of banking schools conducted by the New York, Pennsylvania, Texas, North Carolina, Iowa, Kansas, Nebraska and Arkansas bankers associations. Mr. Luken conducts over 100 seminars a year in the areas of lending and deposit compliance, Bank Secrecy Act, internet banking, information security and privacy law.

CBAO DISCOUNT

Please be sure to use the following promotional code to receive a discount price at \$290.00 (Normal registration fee is \$335.00)

Promotion Code: BSACOK10

CE Credits:

**Eligible for 6 CPE Credits
&
6.75 CRCM Credits**

Agenda

8:30 Registration
9:00 Program
12:00 Lunch
4:00 Adjourn