

# 2010 ANTI-MONEY LAUNDERING AND BANK SECRECY ACT COMPLIANCE SCHOOL

An two-day program designed to encompass the broad range of topics included in the realm of the Bank Secrecy Act and Anti-Money Laundering.

*Designing and Implementing a BSA Program • Completing the Currency Transaction Report • Exempting Eligible Customers from CTR Filing Overview of Regulatory and Statutory Components of BSA • Customer Identification Programs*  
*Establishing a Risk-Based Program of Identifying and Classifying Your Customers • Suspicious Activity Reporting – the Form, the Process Tools Available to Help Monitor Suspicious Activity • How OFAC Fits into the Process • Developing a Risk Assessment*

*“Our joint efforts to root out illicit financial activity increase confidence in and promote the integrity and stability of the financial system. Criminals and terrorists do not respect the law. They will seek to exploit the weakest link to move and launder money through any means of financial intermediation.”*

— **James H. Fries, Jr.**

Director, Financial Crimes Enforcement Network  
 U.S. Department of Treasury  
 October 22, 2009

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- Exempting Eligible Customers from CTR Filing
- Overview of Regulatory and Statutory Components of BSA
- Customer Identification Programs
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- Suspicious Activity Reporting – the Form, the Process
- Tools Available to Help Monitor Suspicious Activity
- How OFAC Fits into the Process
- Developing a Risk Assessment

Recent Congressional focus and well-publicized BSA enforcement actions and fines continue to support a climate proving 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 the industry. Ongoing initiatives by the Financial Crimes Enforcement Network (FinCEN), and continued expansions of the federal examination procedures reinforce the need to have a strong BSA program at your institution.

This two-day school covers in detail the issues and opportunities in the ever-expanding environment of the Bank Secrecy Act, and reviews the entire realm of BSA from “A” to “Z.” From decades old Currency Transaction Reporting (CTR) and various recordkeeping requirements, to institutional risk assessment and client due diligence (CDD) expectations, students from the novice appointee to the tenured BSA professional will find the discussions and interactions to be of great value. Topical agenda includes:

## DAY ONE – THE “BASICS”

- Statutory and Regulatory Requirements
- Enforcement Actions and the “Lessons Learned”
- Acronym Review and Sources of Information
- USA PATRIOT Act Requirements and Implications
- Currency Transaction Reporting
- Exemption “Opportunities” from CTR Reporting
- Recordkeeping Requirements
- Office of Foreign Asset Control (OFAC)

## DAY TWO – THE “CURRENT”

- Federal BSA/AML Exam Expectations
- Institutional Risk Assessments
- High-Risk Products, Services and Geographies
- Client Due Diligence (CDD)
- High-Risk Clients and Entities
- Suspicious Transactions, Terrorist Financing, and other Money Laundering Techniques
- Suspicious Activity Reporting (SAR)

This seminar assists financial institutions in meeting the annual training requirements imposed by the BSA regulations, and provides attendees with the opportunity to network with other professionals interested in BSA compliance.

## REGISTRATION FEES

Members receive special pricing of **\$525.00** per attendee for the two-day program.

(Normal registration fee is \$625 per attendee.)

**SAVE** on every attendee.

*Includes lunch, coffee breaks and all course materials. Breakfast and parking are on your own.*

**Payment must accompany registration.**

## DATES & LOCATIONS

### Kansas

**August 10 & 11**

Hilton Wichita Airport & Conference Center  
 2098 Airport Road  
 Wichita, KS 67209  
 316-945-5272

### Missouri

**August 12 & 13**

Embassy Suites Hotel KCI Airport  
 7640 NW Tiffany Springs Parkway  
 Kansas City, MO 64153  
 816-891-7788

*These programs are presented by Professional Bank Services, Inc. in conjunction with the Community Bankers Association of Kansas.*

**AGENDA FOR DAY ONE & TWO**

Registration 8:30 am  
 Program 9:00 am - 4:00 pm  
 Lunch 12:00 noon

All times are local at seminar site.

**WHO SHOULD ATTEND**

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

**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.

**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 and supply you with a complimentary copy of the manual.

**SEMINAR SPEAKER**

**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-acquisi-

tion 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).

**QUESTIONS? CALL 800-523-4778.**

For program questions, more information or refunds ask for ext. 205 or ext. 235. For administrative policies, such as complaint resolution, ask for ext. 237.

**ADDITIONAL SEMINAR INFO—NORMAL REGISTRATION FEE IS \$625****CREDIT HOURS:**

Eligible for 12 CPE and 13.5  
 CRCM credits.

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## 2010 ANTI-MONEY LAUNDERING AND BANK SECRECY ACT COMPLIANCE SCHOOL COMMUNITY BANKERS ASSOCIATION OF KANSAS (Special Member Price—\$525)

**INSTITUTION INFORMATION****ATTENDEE NAMES & EMAIL ADDRESSES**

FINANCIAL INSTITUTION	ATTENDEE #1	EMAIL ADDRESS	\$525	
ADDRESS	ATTENDEE #2	EMAIL ADDRESS	\$525	
CITY	ATTENDEE #3	EMAIL ADDRESS	\$525	
STATE, ZIP	ATTENDEE #4	EMAIL ADDRESS	\$525	
ROUTING/MICR NUMBER	ATTENDEE #5	EMAIL ADDRESS	\$525	
TELEPHONE	FAX	ATTENDEE #6	EMAIL ADDRESS	\$525

I / WE WILL ATTEND THE SEMINAR IN \_\_\_\_\_ ON \_\_\_\_\_  
 CITY PROGRAM DATE

TOTAL REGISTRATION FEES: \$ \_\_\_\_\_  
 PAYMENT MUST ACCOMPANY REGISTRATION. THANK YOU.

**PAYMENT INFORMATION**

PAYMENT BY CHECK ENCLOSED  CHARGE MY:  MASTERCARD  VISA  DISCOVER **PLEASE PRINT CLEARLY**

CARD NUMBER

EXP DATE

CARDHOLDER'S NAME

AUTHORIZED SIGNATURE