

BSA/AML Compliance Management Workshops:

Up-To-Date Overview!

May 22, 2023 | Holiday Inn Express, Lexington
May 23, 2023 | Cornhusker Marriott Hotel, Lincoln

This workshop will provide an up-to-date overview covering a wide range of top industry concerns to ensure your knowledge and understanding of BSA/AML requirements.

Complying with Bank Secrecy Act Regulatory Requirements

Financial institutions are expected to comply with the regulatory requirements of the Bank Secrecy Act. This session will review the overall requirements outlined by FINCEN and the FFIEC's Examination Manual including major components, reporting requirements, and much more.

Risk Assessments and Assessing Customer Relationships

BSA/AML Programs should be risk based and commensurate with a bank's size and complexity. This session will focus on risk assessments including what factors should be considered during the development stage and as part of your overall program. It will also touch on assessing customer relationships and how to ensure monitoring and due diligence is conducted based upon risk level.

The Bank's Customer Identification Program and Customer Due Diligence

Are your CIP and CDD efforts enough? This session will provide a breakdown of the regulatory expectations for ensuring an adequate CIP and CDD procedures. It will discuss documentation expectations, monitoring procedures, examples, and industry best practices to name a few.

SARs and CTRs: A Closer Look

We will provide a step-by-step review for completing a SAR and CTR. This includes the triggers for reporting, timing requirements, retention expectations, exemptions, and best practices.

Policy Writing and Preparing for the Exam

This session will focus on the key elements of the bank's BSA/AML policy. It will provide the regulatory requirements, tips, and best practices for a robust written program. This session will also look at examiner expectations, exam trends, and best practices for preparing for the BSA examination.

The Latest and Greatest in BSA

This session will dive into some of the hot topics impacting BSA. It will touch on marijuana banking, cryptocurrency, human trafficking, cybercrimes, and OFAC sanctions to name a few. We will look ahead as we discuss issues coming down the pipeline, how it could impact your BSA program, and how to prepare.

Topics Include:

- Complying with Bank Secrecy Act Regulatory Requirements
- Risk Assessments and Assessing Customer Relationships
- The Bank's Customer Identification Program and Customer Due Diligence
- SARs and CTRs: A Closer Look
- Policy Writing and Preparing for the Exam
- The Latest and Greatest in BSA

Program Outline:

8:30 a.m. – Registration/
Continental Breakfast

9:00 a.m. – Program

12:00 p.m. – Luncheon

1:00 p.m. – Program

4:00 p.m. – Adjournment

Who Should Attend

BSA/AML Officers and staff, Compliance Officers, Internal Audit Staff, and any employee who assists with BSA monitoring, auditing, or compliance.

Presenter

Julia A. Gutierrez serves as Compliance Alliance's Director of Education; developing curriculum and presentations, as well as presenting at various schools and seminars; both live and in a livestream/hybrid format. Julia has over 20 years of financial industry experience to the Compliance Alliance team.

Registration and Pricing Information

Member: \$259* (first person)

Non-Member: \$777* (per person)

**If received by May 15, 2023*

Advance registration for this program includes program materials, continental breakfast, refreshments, and the luncheon. The deadline for registrations and refunds for cancelled registrations is **May 15, 2023**. Any registrations received after that date will be an additional \$75 per person and subject to space availability.

(Please register online or use the form below)

Location Information

Holiday Inn Express

2605 Plum Creek Pkwy, Lexington (308) 324-9900

Cornhusker Marriott Hotel

333 S. 13th St., Lincoln (402) 474-7474

*Please feel free to dress casually.
To ensure your comfort, please bring a light jacket or sweater
to the program.*

Notice: If you have any dietary restrictions or disabilities and need assistance, please email nbaeducation@nebankers.org or call the Education Center at 402-474-1555. We will contact you to discuss accommodations.

1-03/15/2023



2023 BSA/AML Compliance Workshops

May 22 – Lexington

May 23 – Lincoln

Financial Institution: _____

Bank / Branch Address: _____

City/Town: _____ Zip: _____

Phone# (_____) _____

Member: \$259 (per person)

Non-Member: \$777 (per person)

Please register the following:			Reg Fee	Please choose your Location	
FIRST NAME	MI	LAST NAME		Lexington May 22	Lincoln May 23
			\$259		
			\$259		
			\$259		

ONLINE YOU MUST LOGIN TO RECEIVE MEMBER DISCOUNTED PRICING!

TOTAL DUE \$ _____

Four Ways to Register:

- ☎ FAX: (402) 474-2148
- ✉ MAIL: NBA Education Center,
PO Box 80008, Lincoln, NE 68501
- ☎ PHONE: (402) 474-1555

🌐 WEBSITE:
www.nebankers.org
→ Education →
Event Calendar

Payment Choice (check one):

☐ MasterCard ☐ VISA ☐ Discover ☐ American Exp.

Cardholder Name: _____

Card Number: _____ CVV: _____

Exp. Date: _____ Signature: _____