



BSA/AML Compliance for Lenders



August 12, 2009, 12:30 - 2:30 p.m. (MDT)

This program meets the specific training needs of loan and loan administration personnel regarding BSA/AML compliance. To be effective, training must be specific to the particular audience involved. Examples must be relevant and relate the subject matter to corresponding regulatory requirements. This program is designed specifically to meet the training needs of loan and loan administration personnel regarding Bank Secrecy Act (BSA) and anti-money laundering (AML) compliance.

Why Participate?

The interagency BSA/AML Examination Handbook clearly indicates that training should be tailored to a person's specific responsibilities and encompass information related to applicable business lines. Lending personnel are prime examples. Their training must allow them to relate the requirements of the regulation to their daily responsibilities.

Highlights:

- Customer identification programs;
- Consumer customers vs. entity customers;
- What is acceptable identification;
- Documentary vs. non documentary verification of identity;
- Photocopying identification;
- Can you approach identification on the lending side differently;
- Existing customers vs. former customers;
- Indirect lending;
- Participations;
- CIP performed by agents;
- CIP performed by other banks supported by agreements and periodic certifications;
- Disclosures;
- Guarantors;
- Record retention and loan purpose statements;
- Customer due diligence;
- Enhanced customer due diligence;
- Red flags for money laundering;
- Examples of using loans to launder money;
- Identifying and reporting loan fraud, identity theft, etc., and
- Suspicious activity reporting.

Presenter

Ken Golliber is a principal with Pegasus Educational Services, LLC. He is an experienced banker with a unique ability to reduce complex legal concepts to plain English. Prior to becoming a full-time trainer, Ken was a community banker and General Counsel for a regional consulting firm for financial institutions. He has served on Compliance Schools sponsored by the OTS and the FDIC, and he has presented banking schools and seminars in over 25 states.

Audience

The program is designed as an introduction to BSA/AML compliance for bank personnel who have responsibilities related to loan and loan administration. Content is at the basic or intermediate level.

CE Applied: 2.5 hrs. CRCM/CLBB/CBT w/the Institute of Certified Bankers

What is a Web Seminar?

A web seminar is an enhanced telephone seminar. The audio portion of the program is delivered by speaker phone. You may also view a corresponding PowerPoint presentation using a PC. No special hardware is needed. You may still participate by phone only. The program consists of 90 minutes instruction and 30 minutes live Q&A. Each web seminar registration provides one connection to the live web seminar, written materials and access to the Web Seminar Archive for 30 days following the broadcast. You may have unlimited listeners on your connection by speaker phone and PC. You will receive a PIN, written materials and instructions prior to the seminar. If you do not receive a confirmation at least 2 days prior to the event call 888/262-7701.

Please check all appropriate boxes

SW2-1201

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Web Seminar/materials (live web seminar)

\$250 mem \$500 non-mem

Archive/materials*

\$270 mem \$540 non-mem

*Unlimited online access to a copy of the webinar for 6 months from purchase date

*We cannot guarantee registration for incomplete and/or illegible registration forms received. Please complete the form and type or write carefully.

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