



# GENERAL BULLETIN

CONNECTICUT  
BANKERS  
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2010 – 109

June 21, 2010

**SENT TO:**

TO THE CHIEF EXECUTIVE OFFICER  
OR INDIVIDUAL ADDRESSED

CEO, CEO+, COO, CRO,  
Audit, BSA, Compliance &  
Training Specialists

**RE: CBA Web Seminar – BSA/AML Compliance: Recent Developments & Common Errors**  
**Thursday, July 22, 2010 -- 2:30 p.m. - 4:30 p.m.**

Ongoing Bank Secrecy Act (BSA) training is a legal requirement. Are you looking for an efficient, focused update on BSA Compliance? You've found it! This web seminar emphasizes common BSA violations and important developments in the preceding 12– 18 months including the recent BSA/AML Manual revisions. It is designed for the experienced BSA officer or auditor whose training needs to focus on recent developments and reminders regarding key issues.

## **HIGHLIGHTS**

Registrants may submit questions and suggested areas of emphasis prior to the program. Currently, the issues where emphasis is expected include:

- A variety of compliance issues that are common errors or problems
- The BSA/AML Manual Revisions; which changes directly affect your institution
- Identifying beneficial owners
- Possible expansion of the list of entities submitting names under the 314(a) process
- Common problems with technical BSA compliance requirements; e.g. CTR filing, SAR filing, 314(a) compliance
- Status of proposed changes to SAR confidentiality regulations
- Status of regulations regarding stored value cards
- Electronic filing update
- Using FinCEN's CTR Educational Pamphlet
- Using SAR Activity Review information
- Official Guidance on SARs regarding loan modification and foreclosures
- Official Guidance on 314(b) Information Sharing
- Using the risk assessment as your primary internal control
- Recent developments regarding provision of financial services to MSBs

## **WHY PARTICIPATE?**

No other federal regulation contains more stringent, enforceable training requirements than those relating to BSA compliance. Even experienced personnel are expected to maintain their knowledge level with ongoing education. However, sometimes sitting through a full day BSA program leaves experienced personnel hoping for "knowledge nuggets" between the reviews of long-standing requirements. This program makes that continuing education requirement more efficient and effective. It focuses on specific pulse points in BSA compliance. However, the manual is approximately 140 pages long and includes a full review of BSA requirements.

### AUDIENCE

Experienced BSA officers and auditors. The program is not designed as a general review or to meet the needs of line personnel. **CE Applied:** 2.5 hours towards the CPB/CRCM/CFSSP/CCSR designations with the Institute of Certified Bankers, an affiliate of the American Bankers Association.

### SPEAKER

Ken Gollhofer is a principal with Pegasus Educational Services, LLC. Prior to becoming a full time trainer, he was a community banker and then General Counsel for a regional consulting firm for financial institutions. He presents schools and seminars in over 25 states and has served on Compliance Schools sponsored by the OTS and the FDIC.

### WHAT IS A WEB SEMINAR?

A web seminar is an online seminar featuring live audio and PowerPoint slides. Everything is delivered through your PC. No special hardware is needed; however, speakers or headphones are required. The program consists of 90 minutes of instruction and 30 minutes live Q&A. Each registration provides one connection to the web seminar, materials and 30 days access to the online seminar. You may have unlimited listeners on your connection by speaker phone and PC. You will receive a confirmation with your PIN, materials and instructions. If you do not receive a confirmation within two days of the event call 888-262-7701.

**Free 30-Day Replay** - Within five working days after the broadcast, you will receive a URL providing unlimited access to a recorded copy of the presentation for 30 days. This enables you to participate in the live web seminar, train additional staff and review the material as needed.

The **On-Demand Web Seminar** is a live web seminar that has been recorded and then streamed to your computer to watch at your convenience. The program can be viewed anytime 24/7. You can watch a portion, come back and pick up where you left off! Anyone at your branch may access the program from a computer using the login and password. When purchasing an On-Demand Web Seminar, you have unlimited access to the program for 6 months from the date of purchase.

Transmission, retransmission or republishing of the audio portion of the web seminar is prohibited. Your registration entitles you to one connection at one location with permission to make copies of materials for participants. Please complete one registration per location.

### REGISTRATION INFORMATION

Registrations are requested to be submitted three days prior to the date of the web seminar. On-line registrations can be made at <http://www.bankersed.com/CTBANKERS/>. For all other registrations, please complete the attached registration form and send directly to Bankers Ed in advance of the program. Fee information for this program is listed on the registration form. **Payment is expected at the time of registration unless other arrangements are made prior to the event with the CBA.**

**Late Registration:** Registrations are accepted until the program starts. To ensure timely delivery of materials, etc., please register online when registering **two working days prior** to the broadcast (credit cards and e-checks accepted). If you would like assistance with online registration, contact 888-262-7701.

Please do not hesitate to contact either Kathy Parks or me if you have any questions about this web seminar.

Very truly yours,

LINDSEY R. PINKHAM  
Senior Vice President & Secretary

attachment

**CBA WEB SEMINAR**  
**BSA/AML COMPLIANCE**

**Thursday, July 22, 2010**

**2:30 p.m. - 4:30 p.m. (EST)**

**REGISTER** (Each registration entitles you to one connection at one location where an unlimited number of listeners may participate):

Name \_\_\_\_\_ Title \_\_\_\_\_

Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-mail \_\_\_\_\_

**THREE WAYS TO REGISTER FOR CBA WEB SEMINARS:**

**Prior to July 15<sup>th</sup>**

Mail: Complete this form, include payment and **mail it to:** Bankers Ed: 5700 S. Mopac, #C310, Austin, TX 78749

**Anytime Prior to the Program**

On-line: Register on-line at <http://www.bankersed.com/CTBANKERS/>

Phone: Call 888-262-7701 with credit card information

**CBA WEB SEMINAR – BSA/AML COMPLIANCE: RECENT DEVELOPMENTS & COMMON ERRORS**

**Thursday, July 22, 2010 - (Seminar code: SW2-1120)**

Web Seminar/Materials (live hookup)       \$255 member       \$510 non-member

On-Demand Web Seminar/Materials       \$275 member       \$550 non-member

**METHOD OF PAYMENT** (check one):

**Check made payable to: Bankers Ed**

Discover Card       MasterCard       Visa       AMEX

Card Number \_\_\_\_\_ Exp. Date \_\_\_\_\_

Security Code (3 or 4 digits on back of card) \_\_\_\_\_

Signature \_\_\_\_\_ Amount \$ \_\_\_\_\_

For registration questions, please contact Bankers Ed customer support at 888-262-7701 or Kathy Parks at the Connecticut Bankers Association parks@ctbank.com at 860-677-5060.

**\*\*\*Registrations must be sent to Bankers Ed\*\*\***

(Seminar code: SW2-1120)