

BSA / AML CONFERENCE



Helping to keep BSA personal informed of industry trends, regulatory focuses, proposed rules, and other information relevant to the BSA professional.

May 26, 2016
Sheraton Hotel - West Des Moines, IA

Presented By:



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BSA / AML CONFERENCE



Regulatory expectations for BSA remain high, and there continue to be subtle changes in the enforcement of the rules. This means there is a continued need to focus on the effective and meaningful elements of a BSA program. This conference will discuss many “need--to--know” issues for the BSA/AML professional. Each topic will be considered in depth, with a hands--on, interactive and practical approach.

This one-day program is designed to focus specifically on all applicable BSA activity over the last 12 months. The agenda for this annual conference is revised each year and typically includes (as applicable) an overview of recent FinCEN activity such as enforcement actions and proposed regulatory changes, as well as applicable case studies, industry hot topics and an interactive round table discussion.

Depending on the volume of recent activity needing to be discussed, the agenda may also include standard BSA topics as a refresher course.

This program helps to keep BSA personal informed of industry trends, regulatory focuses, proposed rules, and other information relevant to the BSA professional.

Who Should Attend?

This conference is ideally suited to employees with BSA/AML responsibilities who have a basic understanding of anti--money laundering laws and regulations, including BSA officers, compliance officers, auditors, head tellers, and risk managers. While specifically designed for BSA professionals at community banks with assets of less than 1 billion, this program could benefit those with BSA responsibilities at a financial institution of any size.

Seminar Presenter

The Community Bankers for Compliance is presented by Young & Associates, Inc., a nationally recognized compliance consulting firm specializing in community banks. They provide training to more than 3,000 bankers each year and are speakers at several state and national conferences.



Adam Witmer is a senior compliance consultant with Young & Associates, Inc., serving client banks in the Midwest. Having an extensive variety of experience in banking, he performs in-bank compliance consulting, conducts compliance training, and writes articles for various compliance publications. Prior to joining Young & Associates, Inc., Adam served as an officer and the Director of Compliance for a multi-bank holding company in the Midwest. He has held the titles of Compliance Officer, BSA Officer, and CRA Officer for multiple banks, and has experience in the areas of compliance, training, internal audit, privacy, deposit and loan operations, retail banking, secondary market lending, and other banking areas. He holds the designation of Certified Regulatory Compliance Manager (CRCM) by the Institute of Certified Bankers in Washington, D.C. Adam earned a BA in Business Administration from Taylor University and an MBA in Management and Human Resources from Indiana Tech.

DATES / LOCATION:

May 26, 2016

Registration will be at 8:30 AM. Seminar will run 9:00 AM to 4:00 PM.

Seminar will be held at:

Sheraton Hotel - West Des Moines, IA

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Program Highlights

FinCEN Activity and Emerging Trends

A core focus of this program is to look at applicable BSA activity over the last year. This section will discuss recent pronouncements that have been issued by FinCEN such as enforcement actions, remarks by various FinCEN employees, and other applicable releases. In addition, information from other BSA/AML groups - such as the Financial Action Task Force - may also be discussed, as applicable.

Developing an MSB Management System

Money Service Businesses (MSBs) continue to be a hot topic with many community bank BSA professionals. In particular, smaller institutions often have limited resources to sufficiently manage MSBs. For this reason, an effective MSB management system is essential to ensure proper MSB oversight. This program will discuss some of the challenges in managing MSBs and provide practical steps for creating an MSB management system.



Regulatory Update

This section will highlight recent developments in anti-money laundering laws and regulations as they are at the time of the conference. One topic will include the proposed changes to the Customer Due Diligence rules that include new requirements for “ultimate beneficial owners.” As this rule is in a proposed state at the time of this publication, the focus of the topic (and amount of time spent on this topic) will depend on whether the rules become final by the time of the conference.

Case Studies

The program will also include two case studies to help further develop BSA management skills. The first case study will address an actual criminal case. This real-life example will help to emphasize the importance of effective BSA management. A second case study outlines an early 2015 FinCEN enforcement action where a community bank was fined for not filing a SAR. This case study will outline several pitfalls to avoid in BSA monitoring and SAR reporting.

SAR Filing Guidance

A section of this program will focus on specific SAR guidance released by FinCEN and other agencies over the last several years. As the regulatory agencies have released multiple issuances on how to complete SARs in very specific cases, this session will outline some of the most relevant issuances. Topics will include elder abuse, marijuana businesses, and other applicable topics. This portion of the course is not designed to focus on the general rules for standard SAR completion, but rather to focus on applicable guidance for a few specific situations that require a SAR.

“Adam rocks! He is so knowledgeable about BSA. It’s always a learning experience and with awesome presentation and a few laughs.”



Roundtable Discussion: Compliance Challenges

Our session will conclude with a roundtable discussion among participants, as we share together the challenges that face bank employees charged with BSA/AML responsibilities. While the actual logistics of this discussion will vary based on the overall attendance and capabilities of the facilities, the presenter will attempt to group financial institutions of somewhat similar size together for this discussion.

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REGISTRATION FEES:

Dates and Locations:**May 26, 2016****Sheraton Hotel
West Des Moines, IA**

Registration will be at 8:30 am.

The seminar will run from
9:00 am to 4:00 pm.

- \$205 for the first attendee for those who are members of the CBC Program and also members of CBI.
- \$185 for each additional attendee for those who are members of the CBC Program and also members of CBI.
- \$250 for the first attendee for those who are non-members of the CBC Program but who are members of CBI.
- \$215 for each additional attendee for those who are non-members of the CBC Program but who are members of CBI.
- \$300 per attendee for those who are non-members of the CBC Program and also non-members of CBI.

Designated Banker:

Name: _____

Bank: _____

Address: _____

City: _____ State: _____ ZIP: _____

Telephone: _____ Fax: _____

E-Mail: _____

Additional Delegates:

Total Amount Enclosed: \$ _____*Please return registration form along with payment to:*

**Community Banks of Iowa
1603 22nd St., Suite 102
West Des Moines, IA 50266**

*For additional information, contact:***Community Bankers of Iowa at (515) 453-1495 or fax to (515) 453-1498**