



in cooperation with



**COMPLIANCE
ALLIANCE**

2017

Bank Secrecy Act/ Anti-Money Laundering Compliance Seminar

Tuesday, October 24, 2017

This one day class provides a comprehensive overview of all of your bank's technical responsibilities, including Beneficial Ownership requirements. This program not only reviews the traditional 4 pillars of compliance but the recent addition of a 5th pillar requirement.

This is your chance to see how the new due diligence for beneficial ownership will affect your BSA/AML program.

WHO SHOULD ATTEND?

All compliance and regulatory risk officers and support staff, examination liaison personnel, legal, audit/review and internal control managers and staff, operations specialists, trainers, business unit and front line supervisors, BSA/AML/OFAC specialists, security and fraud specialists.

Topics covered:

- Elements of the BSA/AML Policy/Program to include completing the risk assessment
- Duties of the Designated BSA/AML Officer
- Independent Test Requirements
- Training Requirements
- Risk-based Customer Due-Diligence Procedures

Included in these areas will be the reporting requirement for BSA/AML purposes.

For years, banks have operated under the impression that an effective anti-money laundering and Bank Secrecy Act compliance program (collectively "AML") rests upon four pillars: (1) written policies and procedures; (2) a designated AML compliance officer; (3) independent testing of the institution's AML program; and (4) implementation of an adequate employee training program. Now regulators have effectively added a fifth pillar to AML compliance programs-the establishment of a risk-based, customer due-diligence procedure. This timely training will assist you in understanding these requirements as well as how to effectively implement this program in your bank.

- *A Training Certificate will be provided for all who complete the course, meeting required obligations for the BSA and USA PATRIOT Act.*



Instructor: **Chance Williams, CRCM**
Compliance Specialist

Chance Williams brings a wealth of knowledge and practical experience to our banks. Chance developed an expertise in compliance while working as a BSA and Compliance Officer in banks of all sizes during his career. He contributed as a member of Business Development Teams, Loan Committees, Audit Committees, Product Steering Committee, IT Committees and as a direct liaison with the regulatory agencies.

Chance also has 10 years of experience as a compliance officer/auditor and 4 years as a senior compliance/audit consultant. As a Compliance Officer and Auditor, Chance has spent his career working with banks under enforcement action to strengthen bank compliance management systems. Chance holds the ICB CRCM certification; as well as ICBA certifications in BSA (CBAP), Compliance (CCBCO), and IT (CCBTO). He has worked in the banking industry for 20 years in all departments of the bank. He possesses a strong working knowledge of bank operations and compliance.

REGISTRATION FORM

Bank Secrecy/Anti-Money Laundering Seminar

Registration: 8:30 a.m.- 9:00 a.m. Seminar: 9:00 a.m.- 3:30 p.m.

TUESDAY, OCTOBER 24, 2017

NMBA, 316 Osuna Rd NE, Suite 502, Room C-Albuquerque, NM 87107

NMBA Member Fee: \$249.00

NMBA NON-Member Fee: \$498.00

Last Name: _____ First: _____

Bank: _____

Address: _____ City/State/Zip _____

Work Phone: _____ Email: _____

Once this form is signed and mailed, you are considered registered! A confirmation will not be sent. You will be contacted only if there is no room in the seminar or the class is cancelled!

*Cancellations made prior to October 13th will receive a refund less \$50.00 processing fee.
NO refunds after October 13, 2017. Substitutions are accepted.*

I have read and understand this form.

Signature: _____

Date: _____

****MC/Visa also accepted. Please call Debbie at (505) 822-7900 to process payment.
Payment must be made prior to seminar date.**

Fax registration to (505) 822-8345 or email to dschaefer@nmbankers.com
If paying by check **then mail with payment** to address below:
NMBA 316 Osuna Rd NE, Suite 502, Albuquerque, NM 87107