



COMMUNITY BANKERS ASSOCIATION OF ILLINOIS

Webinar – On-Demand Web Link

Revisiting CDD Policies & Procedures to Include Beneficial Ownership Rule Changes Effective May 11, 2018

Tuesday, March 6, 2018

2 - 3:30 p.m.

With the effective date for the new customer due diligence (CDD) rules fast approaching, this session shows you how to incorporate the new requirements into your current BSA policies and account opening procedures. You learn effective ways to gather and verify beneficial owner information at account opening and best practices for obtaining consumer information to establish the purpose and anticipated activity for the account. Gathering all this information is just part of the process. What do you do once you have it? How do you know when something is outside the norm? This webinar reviews industry practices for ongoing monitoring of accountholder relationships, and when to take additional steps. Don't miss this opportunity to ensure you're prepared for the May 11th deadline and your next exam.

HIGHLIGHTS

- The new CDD rules and what is expected of your institution
- Policy and procedure language to add to your current BSA/AML program
- Gathering required information at the new accounts desk
- Best practices for ongoing monitoring of accountholder relationships
- Follow-up procedures for when activity is outside the norm

TAKE-AWAY TOOLKIT

- Sample beneficial owner certification form
- CDD action plan
- Sample CDD policy language
- Sample consumer risk assessment
- Employee training log
- Quiz you can administer to measure staff learning and a separate answer key

Attendance verification for CE credits provided upon request.

WHO SHOULD ATTEND?

This jam-packed session is designed for BSA officers, compliance officers, new accounts personnel, and branch managers.

ABOUT THE PRESENTER

Dawn Kincaid, Brode Consulting Services, Inc., Dawn Kincaid began her banking career while attending The Ohio State University. She has 17 years' experience in client service, operations, information technology, administrative and board relations, marketing, and compliance. Most recently Dawn served as the Senior Vice President of Operations for a central-Ohio-based community bank, where she created and refined policies and procedures, conducted self-audits and risk assessments, and organized implementation of new products and services. Dawn has served in the roles of Compliance, BSA/AML, CRA, Privacy, and Security Officer. She has led training initiatives, prepared due diligence information, completed a variety of regulatory applications, and coordinated internal and external audits and exams.

THREE REGISTRATION OPTIONS

1. LIVE WEBINAR

The live webinar option allows you to have one telephone connection for the audio portion and one Internet connection (from a single computer terminal) to view online visuals as the presentation is delivered. You may have as many people as you like listen from your office speaker phone. Registrants receive a toll-free number and pass code that allow entrance to the seminar. The session is approximately 90 minutes, including question and answer sessions. Seminar materials, including instructions, PIN number, and handouts are emailed to you prior to the broadcast. You need the most-current version of Adobe Reader available free at www.adobe.com.

2. ON-DEMAND WEB LINK**

Can't attend the live webinar? The ON-DEMAND WEB LINK** is a recording of the live event including audio, visuals, and handouts. We even provide the presenter's email address so you may ask follow-up questions. Within five business days following the webinar, you are provided with a web link that can be viewed anytime for the next six months. This link expires six months after the live program date.

3. BOTH LIVE WEBINAR AND ON-DEMAND WEB LINK**

Includes options 1 and 2 above.

NEW! Listen to the on-demand web link on your iPad, iPhone, or Android. Instructions are emailed to you with the on-demand link.

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AFFORDABLE TRAINING, WHEN AND WHERE YOU CHOOSE.

REGISTRATION FORM

Revisiting CDD Policies & Procedures to Include Beneficial Ownership Rule Changes Effective May 11, 2018

Telephone/Webcast

Tuesday, March 6, 2018

2 - 3:30 p.m.

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