



Beyond the Basics of BSA

Day 1 Agenda

The morning session will cover all aspects of your KYC/CDD/EDD programs including account opening forms, reviews and beneficial ownership challenges. Attendees will have opportunities to collaborate with one another on forms and processes.

The afternoon session will cover best practices for SAR programs and writing SAR narratives. The group will be given sample SAR narratives to discuss and critique. Red flags for various types of illicit behavior including elder abuse, human trafficking, charities, NGOs, and funnel accounts will also be covered. We will conclude with the latest on the marijuana dilemma facing financial institutions.

8:00 am – 8:30 am	Coffee/Tea Meet and Greet
8:30 am – 11:00 am	KYC/CDD/EDD Presentation & Class Discussion
11:00 am – 12:00 pm	Beneficial Ownership
12:00 pm – 1:00 pm	Lunch
1:00 pm – 2:30 pm	SAR Processes and Writing; Discussion of Sample SAR Scenarios
2:30 pm – 3:30 pm	Human Trafficking/Monitoring Typologies/Red Flags
3:30 pm – 4:00 pm	Marijuana Presentation and Discussion

Attendees Should Bring: Account Opening Sheet, CDD/EDD forms and a favorite BSA form to be shared (please bring 50 copies to share with the group).

Day 2 Agenda

The morning session will cover all aspects of an effective risk assessment for both BSA/AML & OFAC. Attendees will be participating in a group discussion specifically on their banks' risk assessments. Attendees will also be presented with various transaction scenarios and will discuss how to document customer reviews.

The afternoon session will be a deep dive into data benefits and usage. BSA/AML and OFAC programs so often focus specifically on the program – the policies, procedures and risk assessments – that there is little time left to explore a bank's data. Attendees will be provided with quick analysis techniques for the disposition of alerts efficiently and correctly, reviewing samples of data utilization that produce more accurate high-risk customer reviews and highlight methods to quickly gauge the effectiveness of the written program. Attendee takeaways include templates, sample procedures and steps to recreate the methods learned in the session.

8:00 am – 8:30 am	Coffee/Tea Meet and Greet
9:00 am – 11:00 am	Risk Assessments Slides 57-83
11:00 am – 12:00 pm	Two Scenarios and Sample Reviews
12:00 pm – 1:00 pm	Lunch
1:00 pm – 4:00 pm	Data Deep Dive

Attendees Should Bring: BSA/AML & OFAC Risk Assessment, and a favorite BSA form to be shared (please provide 50 copies to share with the group).