



OCC's Web and Telephone Seminar
**Meeting the Challenges of BSA/AML Risk
Management: A Regulatory Perspective**

Registration Form:

Registrant name _____
Title _____
Bank/company _____
Charter number _____
Street address _____
City _____
State _____ Zip _____
Phone number _____
Fax number _____
E-mail address _____

Select seminar:

March 15, OCC 10442
 March 16, OCC 10443
 Please check here if you are unable to receive your materials via the Internet. We will ship you a hard copy. *(To receive via the Internet, you will need Acrobat Reader, available free at www.adobe.com.)*

Site registration and one set of written materials.

National banks: \$115 each session
 Others: \$150 each session

Check method of payment:

Check made payable to KRM
 American Express
 Visa
 MasterCard
 Discover Card

Card number: _____

Expiration date: _____

Signature: _____

Registrations after 3/3/05, please add \$8 for expedited handling.

Total payment: _____

Who should participate?

The topic for this Web and telephone seminar will be of particular interest to bank—

- Chief executive officers
- Directors
- Senior managers
- Risk management officers
- Compliance and BSA officers
- Auditors
- Consultants
- Counsels/Attorneys

Price:

Participation is \$115 per connection for each national bank listening site and \$150 per connection for each non-national bank listening site.

Questions for Speakers?

If you would like to submit questions to the speakers in advance, please e-mail your questions to OCCTeleSeminar@occ.treas.gov.

A WEB AND TELEPHONE SEMINAR

**Meeting the
Challenges of
BSA/AML Risk
Management:
A Regulatory
Perspective**

**Tuesday, March 15, 2005
2:00 p.m. – 3:30 p.m. EST**

and again on

**Wednesday, March 16, 2005
11:00 a.m. – 12:30 p.m. EST**

— CONVENIENT —
— INFORMATIVE —
— COST EFFECTIVE —

What is a telephone seminar?

This 90-minute Web and telephone seminar allows an unlimited number of people to listen to OCC experts and to discuss with them their experiences and policy imperatives over individual telephones or with colleagues on speaker-phones. The experts' interaction with you, the listener, will make the program a valuable learning experience and enjoyable to listen to. And you can ask questions from wherever you are.

There is no rush-hour traffic, no parking, no travel time or expenses. You can remain in the office and share information with a large group of colleagues for one price per site. A moderator guides the presentation and the open forum, much like participating in a talk-radio program.



Welcome by
Julie Williams,
*Acting
Comptroller of the Currency*

Participants will gain insight into:

- OCC Bank Secrecy Act enforcement guidance.
- SAR issues: SAR volumes as an indicator of compliance; the problem of “defensive SARs;” and the “criminalization” of the SAR process.
- Understanding BSA / AML risk in your institution.
- Avoiding BSA program pitfalls.

This telephone seminar will feature:

- Reviewing recent enforcement cases.
- Assessing BSA / AML risk across products, services, customers, and geographies.
- Controlling risks related to money services businesses and politically exposed persons.
- Implementing risk-based controls for suspicious activity monitoring.
- Discussing keys to an effective BSA / AML audit.

Seminar panel:



Dan Stipano
*Acting Chief Counsel
Law Department*



Ann Jaedicke
*Deputy Comptroller
Compliance Policy Division*



Ken Kohrs
*National Bank Examiner
Southern District*



Margaret Agostino
*National Bank Examiner
Large Banks*

How to register:

Those wishing to attend the seminar may register by:

- Filling out the online registration form at www.occ.treas.gov/bankereducation.htm.

- Calling 1 (800) 775-7654 between the hours of 7 a.m. and 5 p.m. EST and providing registration information
- Faxing the form to 1 (800) 676-0734
- Mailing the registration form to KRM Information Services, P.O. Box 1187, Eau Claire, WI 54702-1187

Registrants receive a special toll-free number and a PIN number for entrance to the telephone seminar. You will receive written materials prior to the call via the Internet or direct mail.