



OPENING NEW ACCOUNTS DOCUMENTATION & COMPLIANCE



Open a bank account

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AUGUST 12, 2021

Managing risk is the #1 priority for all financial institutions, and it all starts at the new account desk.

If a criminal cannot get in, they cannot steal from your organization and community. Well-trained new account personnel and universal bankers who recognize and stop attempted dishonest activity are the first line of defense in protecting a financial institution from fraudsters. Unfortunately, new account personnel are often trained “on the job,” which can result in an environment of potential vulnerability and unnecessary losses for the financial institution. Additionally, with constant new regulations, the need for ongoing compliance training is paramount to maintain diligence and update processes and procedures.

This full-day workshop, customized to your state law, teaches essential new account opening procedures, best practices, and compliance requirements. It answers complex questions asked by customers and staff while focusing on vital information for every new account type.

WHAT YOU WILL LEARN:

- Six Essential Requirements for Opening Any New Account
- Understanding Signature Card and Account Agreement Contracts
- TIN Compliance
- Proper Business Account Documentation and Completion of Resolutions:
 - Sole Proprietorships, General and Limited Partnerships, LLC, LLP, LLLP, Corporations, Escrow Accounts, Non-Profit Associations, and Charitable Organizations, IOLTA, and Public or Governmental Units
- Opening Individual Accounts:
 - Individual, Joint with Rights of Survivorship, Tenants-In-Common Without Rights of Survivorship
- Adding Authorized Signers or Agents to Personal or Business Accounts
- Access at Death on a Personal or Business Account
- Power of Attorney
- Fiduciary/Trust Accounts – Formal vs. Informal, Revocable vs. Irrevocable, Living Trusts, Trust Account Certification
- Payable on Death, In Trust For “ITF”
- Accounts for Minors
- Court Ordered Accounts
- Representative Payee and Veterans Affairs Fiduciary
- FinCEN - Customer Due Diligence
- Opening Accounts for Complex Business Structures

About the Instructor



Suzette (Suzie) Jones, CFP®, is the managing member of Training Resources Consulting, L.L.C. For over 40 years, Suzie has focused her technical expertise on new accounts risk management. Suzie served as an Executive Vice President at a \$50B regional financial organization. She led the \$11B Investment Division and was an active member of the AML, BSA, Personal/Corporate Risk, and Non-Bank Product Risk Committees. Suzie brings technical information to life with her engaging training style and in-depth knowledge. She holds the Certified Financial Planner (CFP®) professional designation.

WHEN

August 12, 2021
9:00 a.m. - 4:30 p.m.

WHERE

Arkansas Bankers Association
1220 W. Third Street
Little Rock, AR 72201

WHO SHOULD ATTEND

All customer contact personnel, supervisors, and officers whose responsibilities include opening or managing new accounts. Excellent for supervisors or officers who have recently assumed the new account area’s responsibility.



NOTICE

The ABA takes the health and safety of members seriously. Given the impact of the coronavirus pandemic, this event is subject to change to a virtual learning course at any time. We appreciate your understanding and flexibility.



Arkansas Bankers Association | Professional Development Department

1220 West Third Street | Little Rock, Arkansas 72201 | (501) 376-3741 | www.arkbankers.org

REGISTRATION FEES

ABA Members:

Early Registration Price: \$340; After July 15: \$390

Non-Members:

Early Registration Price: \$680; After July 15: \$780

Registration fees include continental breakfast, instruction, materials, refreshment breaks, and lunch. To receive a registration confirmation, please provide an e-mail address on the registration form. If you do not receive a confirmation within 48 hours, please check with the ABA.

HOTEL INFORMATION

This event will be held at the Arkansas Bankers Association. Should you need a hotel room reservation, a Local Negotiated Rate (LNR) has been reserved for your convenience at the following hotels. The LNR is based on hotel availability, and you are responsible for all hotel room charges.

Hilton Garden Inn Downtown | (501) 244-0044

Group Rate: \$122 | Group Code: 3197385

Downtown Marriott Little Rock | (501) 906-4000

Group Rate: \$159 | Group Code: A5698

CANCELLATION

Register before July 15 if possible. Full registration fees will be refunded if a cancellation is received before July 29. No refunds will be given for cancellations made after July 29. Substitutions are welcome and encouraged. All cancellations and substitutions must be submitted in written format prior to the event.

MORE INFORMATION

- Registration will begin at 8:30 a.m. on August 12.
- Dress for the seminar is business casual. To ensure your comfort, please bring a jacket or sweater.
- If you have any special dietary requests, please contact the ABA Professional Development Department at (501) 376-3741.
- By attending an ABA event, you are consenting to the ABA taking and using your photograph and name for use in its marketing or promotional materials, news publications or website.
- The manual is customized to your state law and is a valuable technical reference handbook.
- You are encouraged to bring a copy of your institution's signature cards, resolutions, and account agreements to the workshop.

CONTINUING EDUCATION

Continuing Legal Education (CLE): Attendants qualify for 6 hours of CLE credits for Opening New Accounts Documentation & Compliance through the Arkansas Continuing Legal Education Board.

Opening New Accounts Documentation & Compliance is approved for 7.25 CAFP credits, 7.25 CRCM credits, and 7.25 CTFA credits.

OPENING NEW ACCOUNTS

AUGUST 12, 2021

Bank/Company Name _____ Phone _____

Registrant Name _____ Title _____ E-mail _____

Registrant Name _____ Title _____ E-mail _____

Address _____ City _____ State _____ Zip _____

Registration Contact _____ Phone _____ E-mail _____

PAYMENT INFORMATION

Charge my: Mastercard  Visa 
 American Express  Discover 

Account Number _____

Name on Card _____

Expiration Date _____ CSC Number _____

(3-digit security code on back of your card)

If you would prefer to give us your credit card information over the phone, please call the ABA Professional Development Department at (501) 376-3741. Please do not email credit card information.

Note: Non-Members must pay with credit card or check prior to the event.

Email: kami.coleman@arkbankers.org

Fax: (501) 376-9243

Mail: **Check Payable to:**
Arkansas Bankers Association
Professional Development Department
1220 West Third Street
Little Rock, AR 72201

ABA USE ONLY:

Registered: _____

Amount: _____

Received: _____