



Opening New Accounts Documentation & Compliance

August 21, 2019



HOW STRONG IS YOUR FIRST LINE OF DEFENSE?

Well-trained new account personnel and universal bankers who recognize and stop attempted fraudulent activity are the first line of defense in protecting a financial institution. This workshop encompasses every aspect of account opening - from personal accounts, court ordered, Trusts, and simple business to the challenges of more complicated layered business structures. Participants gain confidence and a clear understanding of the regulatory, compliance, documentation, and state law requirements for every ownership offered. Suzie Jones, CFP® brings technical information to life with her engaging training style, in-depth technical knowledge, and passion for empowering new account representatives with the skills and tools to protect their organizations while at the same time providing quality customer service. The 100+ page training manual is customized to Arkansas and has become known as the “technical reference handbook” for new account departments across the country.

ON THE AGENDA

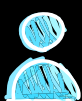
- Six Requirements For Opening Any New Account
- Understanding the Importance and Far-Reaching Ramifications of “Checking a Box” on a Signature Card
- TIN Compliance – When to Use an SSN vs. EIN
- Proper Business Account Documentation and Resolutions
- Opening Personal Accounts
- Adding Authorized Signers or Agents to Personal or Business Accounts
- Who has Access at Death on a Personal or Business Account?
- Power of Attorney – In-House vs. Statutory POA
- Trust Accounts – Formal vs Informal, Revocable vs Irrevocable, Living Trusts, Trust Account Certification
- Payable on Death, In Trust For “ITF”
- Accounts For Minors – Single Account In Minor’s Name, Joint Account With a Minor, Uniform Transfer To Minors Act Accounts
- Court Ordered Accounts: Estate, Guardianship and Conservatorship
- Social Security Representative Payee
- Beneficial Owner Requirements – FinCen – New Customer Due Diligence

ABOUT THE INSTRUCTOR

Suzette (Suzie) Jones, CFP® is the managing member of Training Resources Consulting, L.L.C. in Houston, Texas. With over 40 years of experience



in the financial industry, Suzie has focused her technical expertise on new accounts risk management. Suzie served as an Executive Vice President at a \$50B financial organization where she was an active member and leader of the AML, BSA, Personal/Corporate Product Risk Committees. She holds the Certified Financial Planner (CFP®) professional designation.



WHO SHOULD ATTEND

- Branch Managers
- Branch Administration
- New Accounts Representatives



WHEN

August 21, 2019
8:30 a.m. – 4:30 p.m.



WHERE

Arkansas Bankers Association
1220 W. 3rd Street | Little Rock
501-376-3741

Arkansas Bankers Association Professional Development Department

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

NEW ACCOUNTS DOCUMENTATION & COMPLIANCE

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Arkansas Bankers Association

REGISTRATION INFORMATION

Registrant #1 Name _____

Title _____

Email _____

Registrant #2 Name _____

Title _____

Email _____

Registrant #3 Name _____

Title _____

Email _____

Bank/Company _____

Address _____

City _____ State _____ Zip _____

Billing Contact _____

Phone _____

PAYMENT INFORMATION

Charge my: Mastercard  Visa 

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.

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: _____

REGISTRATION FEES

ABA Members:

Early Registration Price: \$325; After July 22: \$375

Non-Members:

Early Registration Price: \$650; After July 22: \$750

Registration fees include instruction, manual, continental breakfast, refreshments, 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 seminar will be held at the Arkansas Bankers Association. Should you need a hotel room reservation, a Locally Negotiated Rate has been reserved for your convenience at the following hotels:

Holiday Inn Presidential | (501) 375-2100

Group Rate: \$97 | Group Code: IL64N

Hilton Garden Inn | (501) 244-0044

Group Rate: \$119 | Group Code: N3197385

CANCELLATION

Register before August 7 if possible. Full registration fees will be refunded if a cancellation is received before August 7. No refunds will be given for cancellations made after August 7. 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 21.
- 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.
- Bring a copy of your institution's signature cards and account agreement for a better workshop experience

CONTINUING EDUCATION



Attendants qualify for 6 Continuing Professional Education (CPE) Credits in Specialized Knowledge & Applications in group-live training. No advance preparation is required.

The Arkansas Bankers Association is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org.