New Account Documentation and Compliance

April 10, 2018 – Holiday Inn, Fargo ND
April 11, 2018 – Courtyard by Marriott, Bismarck ND

About the Program

Managing risk is the #1 priority for all banks and it all starts at the new account desk. If a criminal cannot get in, they cannot steal from your organization. Well-trained new account personnel and universal bankers who recognize and stop attempted dishonest activity are the first line of defense in protecting a bank from fraudsters. Unfortunately, too often, new account personnel are trained "on the job" which results in an environment of potential vulnerability and unnecessary losses. Additionally, with constant new regulations, the need for ongoing training is paramount in order to maintain diligence as well as update processes and procedures. This full-day workshop teaches important new account opening procedures and compliance requirements focusing on vital information for every type of new account.

The seminar manual is ***customized to state law*** and has become known as the "technical reference handbook" for new account departments across the country.

Who Should Attend

All customer contact personnel, supervisors and officers whose responsibilities include opening or managing new accounts and certificates of deposit. Excellent for supervisors or officers who have recently assumed the responsibility of the new account area but have never worked in new accounts. Internal auditors and compliance officers will find the information beneficial as well.

What You Will Learn

- Six basic requirements for opening any new account
- Understanding signature card and account agreement contracts
- TIN compliance
- Proper business account documentation and resolutions: Sole proprietorships, general and limited partnerships, LLC, LLP, LLLP, corporations, escrow accounts, nonprofit associations and charitable organizations, IOLTA accounts 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 – In-house vs. out-of-house form
- Trust accounts – Formal vs. informal, revocable or irrevocable, living trusts, and six pieces of information needed for every trust
- Payable on Death, In Trust For "ITF"
- Accounts for minors
- Court-ordered accounts: estate, guardianship and conservatorship

Schedule

8:00-8:30 a.m.	Registration & Continental Breakfast
8:30 a.m.- Noon	**Program**
12:00-12:45 p.m.	NDBA Hosted Lunch
12:45-4:00 p.m.	**Program**

Please bring a copy of your bank's signature cards and account agreement to the workshop.

NDBA Registration Form

New Account Documentation & Compliance • April 10 & 11, 2018

Registration Information

Register early and save...

	Advance	After 3/20
NDBA Member:	$225	$245
Nonmember	$335	$355

Mail this form with payment to:
North Dakota Bankers Association
Attn: Registration
PO Box 1438
Bismarck ND 58502

or email to ndba@ndba.com
or register online at www.ndba.com

PRINT EMAIL

Questions? Call Dorothy Lick at NDBA at 701.223.5303.

Bank: ____________________

Address: ____________________

City: ____________ State: ________ Zip: ____________

Phone: ____________________

Registrants (first & last name)

Registrant 1. ____________________ ❐ *April 10-Fargo*
Reg. 1 Email: ____________________ ❐ *April 11-Bismarck*
Reg. 1 Branch location: ____________________

Registrant 2. ____________________ ❐ *April 10-Fargo*
Reg. 2 Email: ____________________ ❐ *April 11-Bismarck*
Reg. 2 Branch location: ____________________

Registrant 3. ____________________ ❐ *April 10-Fargo*
Reg. 3 Email: ____________________ ❐ *April 11-Bismarck*
Reg. 3 Branch Location: ____________________

Total Due: ________

❐ *Please send an invoice.*
❐ *Check is enclosed or will be mailed.*
❐ *I'd like to pay by credit card. Please contact me.*

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About the Speaker

Suzette (Suzie) Jones, CFP® is the managing member of Training Resources Consulting, L.L.C. located in Houston, Texas. With over 40 years of experience in the financial industry, Suzie has focused her technical expertise on new accounts risk management and investment management.

Suzie served as an Executive Vice President at a $50B financial organization where she 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.

Seminar Locations

Holiday Inn
3803 13th Ave S
Fargo ND 58103
Phone: 701.282.2700
Room rate: $99 Block held until March 10 under "ND Bankers."

Courtyard by Marriott
3319 N 14th Street
Bismarck ND 58503
Phone: 701.223.6667
Room rate: $139 Block held until March 20 under "ND Bankers."

Schedule

8:00-8:30 a.m.	Registration & Continental Breakfast
8:30 a.m.- Noon	**Program**
12:00-12:45 p.m.	NDBA Hosted Lunch
12:45-4:00 p.m.	**Program**

Registration Information

Early registration will save you money! Fees listed are per person.

	Advance	After 3/20
NDBA Member:	$225	$245
Nonmember	$335	$355

Seminar Confirmation

Please save a copy of this flyer as a confirmation for details of this event.

Tax Disclaimer

The cost for all meals and breaks at the seminar is $35. This information is provided for your tax records, in keeping with the IRS 50% deductible provision under Section 274(n) of the Internal Revenue Code.

Refund Policy

Refund less $20 will be made if requested one week prior to seminar date. No refunds after that date. Substitutions allowed any time.

NORTH DAKOTA BANKERS ASSOCIATION

Questions? Call NDBA at 701.223.5303.