

Webinar on

Emerging Issues: E-Signatures, E-Verification, E-CDD/EDD Etc

Learning Objectives

- An overview of FinCEN and regulatory requirements and guidance related to electronic information gathering*
- Defining exactly what constitutes an E-Signature, and E-Verification, and E-CDD/EDD*
- Common mistake financial institutions make related to electronic information gathering*
- Internal controls needed to ensure that electronic information gathering complies with AML/CFT laws and regulations*



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○ *Needed additions to KYC and CDD/EDD policies, procedures, and practices to improve current bank guidance*

○ *Regulatory expectations for compliance with electronic information gathering*

• Areas Covered

- FinCEN regulations and guidelines related to electronic information gathering*
- FFIEC and other regulatory requirements and guidance*
- Items to include in your electronic information gathering policies, procedures, and practices*
- Current industry standards and business norms related to electronic information gathering*
- Recent enforcement actions related to weak programs and practices*
- Proposed future issues related to electronic information gathering*



This webinar will discuss methods of using electronic means for these activities and will discuss up-to-date guidance provided by FinCEN and financial regulators in the use of electronic platforms for these processes.

PRESENTED BY:

Thomas E Nollner has more than 38 years of experience in financial institution supervision and consulting. Mr. Nollner spent 30 years as a National Bank Examiner (NBE) for the Comptroller of the Currency where he was a safety and soundness examiner and a compliance examiner. The last 15 years as an NBE and for the past 8 years as a consultant.

On-Demand Webinar

Duration : 60 Minutes

Price: \$200

Webinar Description

In recent years the increased use of electronic means to obtain customer signatures, to conduct verifications of customer information, and to conduct overall customer due diligence has posed problems for financial institutions to fully comply with KYC, CDD/EDD requirements. This webinar will discuss methods of using electronic means for these activities and will discuss up-to-date guidance provided by FinCEN and financial regulators in the use of electronic platforms for these processes. As electronic technology increases in the financial sector, staff and employees of financial institutions must be aware of the methods of electronic information gathering, and the risks associated with this type of information gathering.



Who Should Attend ?

Front line BSA/AML staff

Account opening/customer service staff

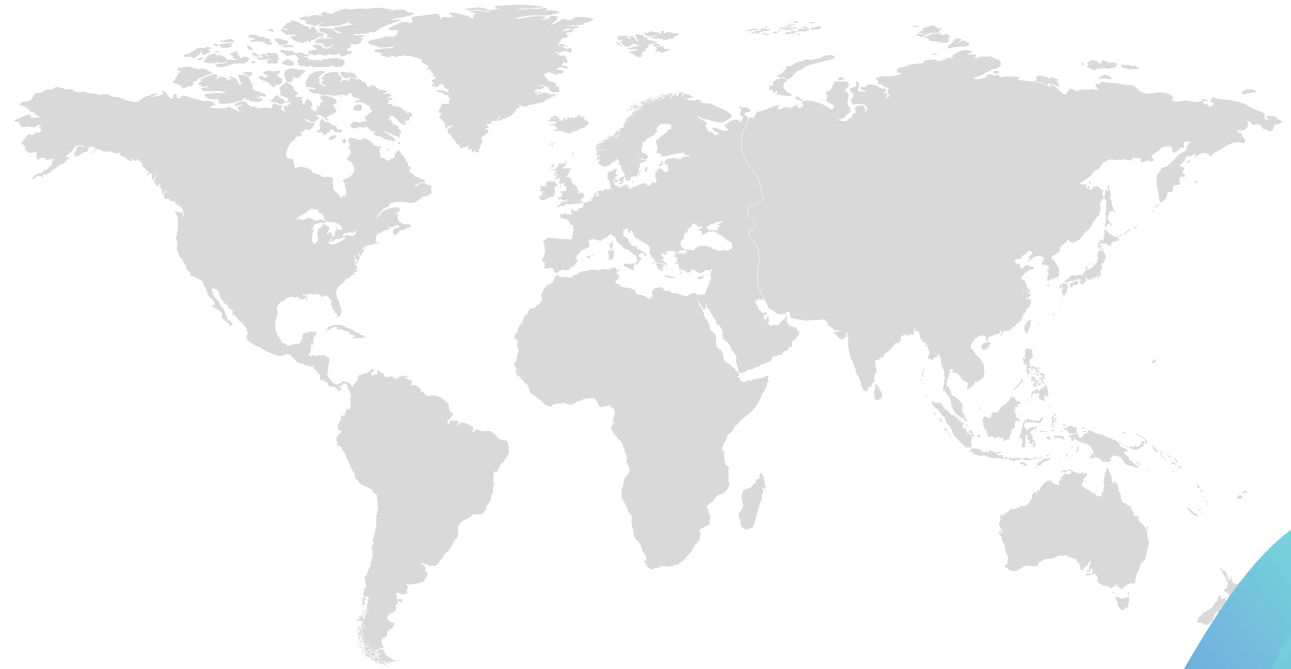
BSA/AML Officers

Compliance Officers

BSA/AML Audit staff

*Suspicious Activity information review staff,
investigators, and SAR decision-makers*

Risk Managers



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