



> *We bring practical, tailored BSA/AML solutions that allow you to meet your regulatory obligations and deliver essential support and training to foster a culture of compliance.*

## BSA/AML Audits and Reviews



**A BETTER WAY** for financial institutions to manage compliance

BSA/AML compliance never gets simpler.

Instead, year after year, we see more layers of complexity that make it more challenging for banks to comply with the Bank Secrecy Act and Anti-Money Laundering requirements.

Identifying, testing, managing, and controlling such risks require vigilance and someone to keep an eye on the minutiae.

We're those eyes.

In addition, we bring you the knowledge and expertise to ease your team's strain and workload and prepare you for your next exam. We also ensure that you have a solid plan in place to address your BSA/AML obligations for the long term.

Brian Crow, a nationally recognized BSA/AML expert who regularly presents at BOL's BSA/AML Top Gun Conferences, leads TCA's BSA/AML team.

That team comprises seven former bankers who are skilled at spotting and correcting the most common

problems—inadequate systems, documentation, procedures, or staffing levels—and addressing the subtle, complex risks specific to your institution.

During engagements, we work collaboratively with your team and provide daily updates—something that's invaluable in resolving challenges throughout the engagement.

We think it's A Better Way than finishing a review and handing you a report with surprises and intimidating to-do lists.

You also can expect guidance from BSA/AML specialists through TCA's RCM Hotline, routine check-ins that keep

### For more information:



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# BSA/AML Audits and Reviews (continued)

your program on track, and discussions about FinCEN updates and how they affect your compliance program.

Through this ongoing support and discussion, we help you nurture your bank's culture of compliance and enhance your skills so that you can recognize and avoid regulatory minefields.

TCA offers A Better Way for you to comply with the Bank Secrecy Act's complicated obligations and related requirements.

## Specialties:

- Risk assessments / CIP / OFAC
- Due Diligence / Enhanced Due Diligence
- Private Banking
- Politically Exposed Persons
- Money Services Businesses
- SAR Investigations and Reports
- AML Model Validation

## Key Deliverables Include:

- Assessing the effectiveness of the design of your bank's BSA/AML Program and testing the integrity as it relates to BSA/AML compliance requirements in accordance with FFIEC Exam Manual Standards.
- Measuring BSA/AML staff's understanding of internal policies and procedures.
- Offering the Board of Directors perspective on the overall status of the BSA/AML Compliance Program.
- Developing conclusions about your BSA/AML compliance program's adequacy, reporting, and explaining our findings, and making recommendations on ways to improve your program's effectiveness.

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