



# Documents and Resources by Role: Wealth Management

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This list recommends relevant documents and resources based on typical tasks completed by Mortgage Loan Originators, Processors, Underwriters, and Closing Personnel and is intended to serve as a resource when sharing Document and Resource functionality with users. These documents and resources may not apply to every user in a particular role, but instead are intended to offer a starting point for utilizing these offerings. In addition to these suggested documents and resources, you may recognize other training requirements of your specific regulator, state, or financial institution.

This list is not intended as a comprehensive example of “what to assign.” Instead, it is intended to allow your institution to provide actionable insights that help your team make better business decisions, every day.

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## [Bank Secrecy Act \(BSA\) \[Overview\]](#)

**1000BCM**

**PDF**

This resource provides an overview of the Bank Secrecy Act.

## [An Introduction to Office of Foreign Assets Control \(OFAC\) \[Video\]](#)

**1010BCM**

**MP4**

This brief video summarizes the purposes of OFAC regulations and the practical implications for financial institutions dealing with entities on the Specially Designated Nationals (SDN) List.

## [Money Laundering \[Red Flags\]](#)

**1014BCM**

**PDF**

This document details red flags for money laundering.

## [Terrorist Financing \[Red Flags\]](#)

**1018BCM**

**PDF**

This document provides an overview of common red flags associated with terrorist financing.

## [Trade-Based Money Laundering \[Red Flags\]](#)

**1020BCN**

**PDF**

This document describes trade-based money laundering red flags that financial institutions should be alert for.



### [Complying with Regulation U \[Overview\]](#)

**1050BCM**

**PDF**

This document covers the general requirements of Reg U, as well as exemptions for special-purpose loans made to brokers and dealers.

### [Federal Record Retention Requirements \[Overview\]](#)

**1051BCM**

**PDF**

This resource from 30013 Federal Records Retention Requirements provides a summary of federal records retention requirements under various regulations, including Regulation B, RESPA, the Bank Secrecy Act, and more.

### [Identity Theft and Elder Abuse \[Overview\]](#)

**1062, Banking Series Documents**

**PDF**

This document outlines how to detect identity theft and elder abuse in financial institutions.

### [An Introduction to Elder Financial Abuse \[Video\]](#)

**1101BCM**

**MP4**

This brief video provides an overview of the scope of elder financial abuse.

### [An Introduction to Identity Theft \[Video\]](#)

**1102BCM**

**MOV**

This video summarizes the purposes and consequences of identity theft, and the responsibility financial institutions have to protect customer information.

### [An Introduction to the Gramm-Leach-Bliley Act \(GLBA\) \[Video\]](#)

**1103BCM**

**MP4**

This video identifies what consumers the Gramm-Leach-Bliley Act protects and summarizes its requirements for financial institutions.

### [Cybersecurity Risk Management \[Overview\]](#)

**1105BCM**

**PDF**

This document highlights some numbers and advice on cybersecurity.



### [Cybersecurity: Computer Security Basics \[Overview\]](#)

**1106BCM**

**PDF**

This resource provides an overview of 30304 Cybersecurity: Computer Security Basics, including how to avoid malware and choose strong passwords and what to do if your computer is infected.

### [Cybersecurity: Phishing and Social Engineering](#)

**1107BCM**

**PDF**

This resource provides an overview of 30305 Cybersecurity: Phishing and Social Engineering, including types of social engineering scams, how to avoid falling victim to an attack, and what to do following an attack.

### [Cybersecurity: Securing Mobile Devices \[Overview\]](#)

**1108BCM**

**PDF**

This resource provides an overview of 30306 Cybersecurity: Securing Mobile Devices, including common threats to mobile device users, how to safeguard sensitive information on mobile devices, and what to do if your mobile device is lost or stolen.

### [Elder Financial Abuse \[Overview\]](#)

**1113BCM**

**PDF**

This resource provides an overview of 30100 Elder Financial Abuse, including the common victims and perpetrators of elder financial abuse, suspicious banking activity that may indicate that abuse is taking place, and what employees can do to prevent abuse.

### [Identity Theft Prevention: Safeguarding Information \[Overview\]](#)

**1115BCM**

**PDF**

This resource provides an overview of 30313 Identity Theft Prevention: Information Security, including what types of information identity thieves target, how they may attempt to steal this information, and what employees can do to protect sensitive information.



### [An Introduction to Unfair, Deceptive, and Abusive Acts or Practices \(UDAAPs\) \[Video\]](#)

**1122BCM**

**MP4**

This video provides an overview of the threat posed to consumers and financial institutions by unfair, deceptive, and abusive acts or practices and summarizes the role of the Dodd-Frank Act.

### [Detecting Unfair, Deceptive, or Abusive Acts or Practices \(UDAAPs\) in Consumer Complaints \[Video\]](#)

**1123BCM**

**MP4**

This brief video discusses the importance of consumer complaints in identifying potential unfair, deceptive, and abusive practices and the need for financial institutions to have an effective complain management system.

### [How Social Engineering Scams Work \[Video\]](#)

**1124BCM**

**WMV**

This video provides a brief overview of tactics used by social engineers to compromise sensitive information for use in attacking an institution's network.

### [Occupational Safety and Health Act \(OSHA\) Guidance on Preparing Workplaces for COVID-19 \[URL\]](#)

**1209BCM**

**URL**

OSHA's poster on preparing workplaces for Covid-19

### [9 Prohibited Discrimination Factors \[Overview\]](#)

**1218BCM**

**PDF**

This document details the nine prohibited discrimination factors in Reg B and how to avoid them when working with loan applicants.



### [Americans with Disabilities Act \(ADA\) \[Overview\]](#)

**1400BCM**

**PDF**

This document provides an overview of Title 1 of the Americans with Disabilities Act (ADA), which prohibits employers from discriminating against individuals with disabilities and requires employers to provide reasonable accommodations for applicants and employees with disabilities.

### [COVID-19 - Maintaining a Safe Work Environment \[Overview\]](#)

**1401BCM**

**PDF**

This list gives an overview of considerations and questions when returning to the office after the Covid-19 pandemic.

### [Diversity and Inclusion \[Overview\]](#)

**1409, Banking Series Documents**

**PDF**

Intended for all employees, this document addresses the importance of diversity and inclusion in preventing bullying and harassment in the workplace and identifies the responsibilities of employees in helping to promote diversity and inclusion and address inappropriate behavior.

### [Examples of Workplace Harassment \[Scenario\]](#)

**1410BCM**

**PDF**

This document details scenario examples that illustrate workplace harassment.

### [Sexual Harassment: Prevention and Response \[Overview\]](#)

**1411, Banking Series Documents**

**PDF**

This is an overview of the definition of sexual harassment and how to create a workplace that prevents and punishes sexual harassment.

### [Categories of Discrimination \[Process\]](#)

**1502BCM**

**PDF**

This document identifies how to recognize different types of discrimination.



### [Chapters 7 and 13 Consumer Bankruptcy \[Overview\]](#)

**1503BC**

**PDF**

This document details the different stages of Chapter 7 and 13 Bankruptcy investigations.

### [Servicemembers Civil Relief Act \(SCRA\) \[Overview\]](#)

**1527BCM**

**PDF**

This document covers key features of the Servicemembers Civil Relief Act (SCRA), which provides relief to members of the U.S. armed forces. Key features of the SCRA include a 6% per annum limit on interest and fees on loans initiated prior to active duty, and protections for foreclosures, liens, and certain legal proceedings.

### [Managing Customer Complaints \[Checklist\]](#)

**1673BC**

**PDF**

This checklist helps institutions evaluate their means and methods of receiving and analyzing customer complaints, as part of a larger compliance management system.

### [Managing Family Lending and Borrowing \[URL\]](#)

**1722BCM**

**URL**

This consumer-facing document helps the borrower ask the right questions to anyone they may be exchanging finances with. Whether you are the one asking for support, or providing support, you can start with these questions. The answers can be a guide to a conversation, or they can form the basis of a written agreement.

### [Your Disaster Checklist \[URL\]](#)

**1732BCM**

**URL**

Collecting, copying, and storing your financial information now could help you avoid problems and recover faster after a disaster. This checklist can help.