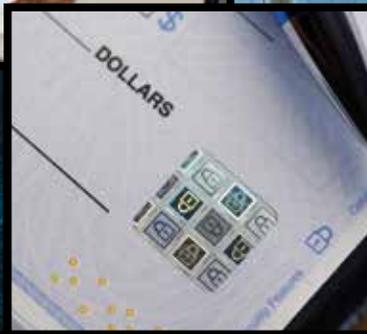




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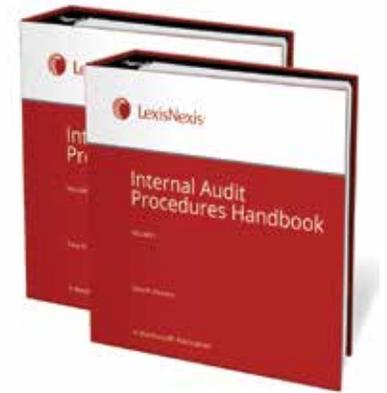
AUDITING

Internal Audit Procedures Handbook

Gary M. Deutsch

Develop, maintain and improve internal control procedures with this comprehensive resource. Focusing on the basics, this handbook delivers detailed programs to ensure preparedness and provide management and the board with the types of assurances regulators expect.

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- Checklists: Access easy-to-follow checklists for eight primary areas subject to audit.
- Sample documents: Find planning memos, charters, questionnaires and more.
- Procedures: Detailed internal audit procedures for most areas of the bank are included.



S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04768, ISBN 9780769878256
eISBN 9780769879673

Internal Audit Programs

Joy B. Boone

These audit checklists cover all areas of compliance, including: accounts and payment systems; BSA/anti-money laundering; credit, lending and leasing; finance and accounting; human resources, information privacy and security; mortgage lending; and governance.

S eBook, updated 3 times per year, Pub. #04912,
eISBN 9781630441135

Bank Internal Audit: A Working Guide to Regulatory Compliance

Joy B. Boone

This practical resource shows how to ensure policies and procedures are being followed and accomplishing their intended goals. From credit risk to integrated financial software systems, the manual covers it all, including:

- Basics such as organizing the internal audit function and developing the audit scope
- Clear guidelines to use for your own internal audit
- Sample procedures for every key area of the bank
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- Examples of documentation
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Bank Secrecy Act and Anti-Money Laundering Service

Dena Somers

Step-by-step compliance guidance, specifically addressing BSA and AML, including checklists for maintaining good internal controls, examples of typical money-laundering schemes, sample BSA and OFAC policies, and sample training materials. In addition, this publication provides FinCEN e-filing forms, BSA compliance exam guidelines, customer due diligence guidelines and procedures, high-risk accounts in international banking, and wire transfer requirements.



S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04710, ISBN 9780769877679 eISBN 9780769879093

BSA Officer Training Program

Joy B. Boone

The Bank Secrecy Act has never been a bigger concern to regulators and remains a minefield for financial institutions. One of the fundamental requirements of the Bank Secrecy Act is the designation of a BSA officer. The BSA officer is responsible for administering your institution's anti-money laundering program and ensuring that your staff knows what their responsibilities are. The BSA Officer Training Program provides self-paced training that gives your BSA officer the information and skills needed to perform this critical function.



S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04722, ISBN 9780769877792 eISBN 9780769879215

BSA/AML Update

Kurt Mattson

This newsletter provides you with the most current BSA/AML information twice a month, covering regulatory changes and hot court cases.

S Newsletter, 24 issues per year, Pub. #04725, ISBN 9780769877822 eISBN 9780769879246

Guide to Anti-Money Laundering and BSA Compliance

Jeffrey R. Torp

This Guide provides a straightforward discussion of the laws and regulations from the USA PATRIOT Act, which the federal government and financial agencies have enacted and continue to use, update and clarify. The guide identifies high-risk areas, products and transactions to help you determine specific activities on which to focus, and includes regulatory summaries, highlighted high-risk areas, restrictions and detailed checklists of key requirements.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04760, ISBN 9780769878171 eISBN 9780769879598

BSA Officer's Administration Handbook

Dena Somers

Providing the tools necessary to fortify an institution's BSA/AML program, this comprehensive Handbook includes explanations of regulatory requirements, sample policies and procedures, checklists, and training outlines for the staff of each department or operational area of a financial institution.

S 1 volume, loose-leaf, updated twice per year, Pub. #04723, ISBN 9780769877808 eISBN 9780769879222

BSA/Anti-Money Laundering: Internal Audit and Risk Management

Dena Somers

This guide provides information to help your financial institution establish and implement risk-based policies, procedures and processes to comply with the most recent regulatory release of the *BSA/AML Examination Manual*. It also contains the latest information on topics such as electronic banking, changes to BSA reporting requirements and OFAC compliance.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04727, ISBN 9780769877846 eISBN 9780769879260

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CORE COMPLIANCE

Bank Regulatory Compliance Alert

Dena Somers

This monthly newsletter covers the latest bank compliance issues and provides valuable compliance guidance for all aspects of bank operations. Articles talk about what's happening and what to do to stay in compliance. It's written specifically for bank compliance officers in a fast-reading format.

S Newsletter, 12 issues per year, Pub. #04708, ISBN 9780769877655
eISBN 9780769879079

Compliance Monitoring Program for National Banks

Jeffrey R. Torp

Tailored to the OCC's requirements, this manual provides clear compliance guidance, including coverage of all the consumer regulations outlining the regulation's purpose, requirements, exemptions and liabilities for noncompliance. Offering detailed coverage of compliance responsibilities by function, compliance checklists, audit procedures, training guidelines, checklists, and sample forms and reports, this manual is an essential resource for compliance officers.



S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04744, ISBN 9780769878010
eISBN 9780769879437

Compliance Monitoring Program for State Non-Member Banks

Jeffrey R. Torp

Tailored to the FDIC's requirements, this manual provides clear compliance guidance, including coverage of all the consumer regulations outlining the regulation's purpose, requirements, exemptions and liabilities for noncompliance. Offering detailed coverage of compliance responsibilities by function, compliance checklists, audit procedures, training guidelines, checklists, and sample forms and reports, this manual is an essential resource for compliance officers.

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04745, ISBN 9780769878027
eISBN 9780769879444

Compliance Officer's Management Manual

Joy B. Boone

Keeping up with ongoing compliance changes and ensuring your programs remain effective can leave you little time for anything else. Plus, you need to be sure that every employee knows what to do to help the bank stay in compliance. This comprehensive resource provides: clear and easy-to-follow compliance guidance; detailed coverage of each regulation and its purpose, requirements, exemptions and liabilities for noncompliance; compliance responsibilities by function; compliance checklists; audit procedures; training guidelines; and sample forms and reports. It's an essential resource for compliance officers.

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04746, ISBN 9780769878034
eISBN 9780769879451

Regulatory Compliance Guide for Bankers

Robert E. Braun

Written by industry veteran Robert E. Braun, this *Guide* delivers analysis for each consumer regulation in its entirety, including summaries and the effect of that regulation on different functions within a financial institution. It provides practical application for operations, procedures, compliance, disclosures, notices, marketing, advertising and record retention.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04796, ISBN 9780769878539
eISBN 9780769879956

Compliance Examinations Update for Financial Institutions

James H. Pannabecker

Compliance Examinations Update reports on institutions' liabilities for noncompliance, makes you aware of the consequences and specifies what it takes to put the bank back in compliance. Each article is presented as a case study covering an important compliance issue.

S 2 volumes, loose-leaf with downloadable content, updated monthly, Pub. #04739, ISBN 9780769877969
eISBN 9780769879383



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COMPLIANCE TOOLS

The following publications cover policies, procedures, checklists, ICQs, risk matrices and work papers—all the tools needed to support the compliance officer's daily workflow.

Self-Assessment and Regulatory Compliance Review

Jeffrey R. Torp

Self-Assessment and Regulatory Compliance Review is more than a compliance manual. It contains additional elements that, in addition to the manual, provide useful tools for maintaining compliance. These tools include:

- A risk-based operational checklist for each regulation
- A risk-assessment matrix to assist you in identifying your level of compliance risk
- A calendar of regulatory events

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04844, ISBN 9780769886152
eISBN 9780769886169



Risk-Based Compliance Audit Program: Risk Assessment Checklists and Related Requirements

Jeffrey R. Torp

The regulators expect you to be able to identify and rate the areas in which you have risk exposure. This helpful manual consists of individual checklists with risk ratings—organized by specific products and services—for conducting compliance reviews for federal consumer laws and regulations, including security, privacy, electronic banking, disclosures and insurance roles.

The manual provides:

- Compliance checklists organized by individual products and services
- A risk assessment matrix to help you easily access and record your institution's specific level of risk for the various compliance requirements, as they become effective
- The assessments to allow you to assign a risk rating, thus prioritizing your institution's needs and maximizing your resources
- A compliance calendar that gives you a quick reference for changing requirements

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04804, ISBN 9780769878676
eISBN 9780769880099

Bank Internal Control Manual

Charles LeGrand

From credit risk to integrated financial software systems, this *Manual* contains sample internal controls tools for every key area of the financial institution; checklists, examples of documentation and clear guidelines you can use for internal control checklists for your own operation. Topics such as credit scoring processes and automated clearinghouse activities are also areas of risk focus.

S 1 volume, loose-leaf with downloadable content, updated annually, Pub. #04703, ISBN 9780769877600
eISBN 9780769879024

Bank Policies and Procedures: A Working Guide to Regulatory Compliance

Joy B. Boone

This is your blueprint for developing and implementing policies and procedures mandated by the regulators. Guidelines and sample materials help save hours of time and help ensure that your bank has effective, proven policies that have been implemented by banks just like yours.

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04706, ISBN 9780769877631
eISBN 9780769879055



Policies and Procedures

Joy B. Boone

These policies and procedures cover all areas of compliance, including: accounts and payment systems; BSA/anti-money laundering; credit, lending and leasing; finance and accounting; human resources, information privacy and security; mortgage lending; and governance.

NS eBook, updated 3 times per year, Pub. #04914,
eISBN 9781630441166

Bank Policies, Procedures, and Internal Audit Set

Includes downloadable versions of *Bank Internal Audit* and *Bank Policies and Procedures*.

S Downloadable content, Pub. #04850, ISBN 9780769886275

CREDIT UNION COMPLIANCE

Compliance Guide for Credit Unions

Jeffrey R. Torp

Designed to help you establish an effective compliance management system and understand the requirements of each law and regulation to ensure your credit union is in compliance.

The first part of the manual, *Managing Your Compliance Program*, provides an overview of the entire compliance function. The second part examines each of the relevant regulations and explains them in a practical, usable form. Each chapter discusses the regulation's purpose, coverage, any exemptions, disclosure and reporting requirements, and liabilities for noncompliance. Whenever appropriate, there are regulatory forms or model forms that relate to a variety of requirements, including reporting and disclosure. There also are plain, straightforward examples throughout the book to help illustrate the often complex material found in the regulations.

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04740, ISBN 9780769877976
eISBN 9780769879390



Compliance Guide to Credit Union Operations

Robert E. Braud

Running a credit union's operations is getting more complex all the time. As your credit union membership grows and changes, you may offer more products and services. You may try new channels for serving your members, such as remote locations or mobile banking. You have to make sure every product and service you offer stays in compliance with the ever-changing laws and regulations, such as Reg E, Truth in Savings Act, Fair Lending, and the Bank Secrecy Act.

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04742, ISBN 9780769877990
eISBN 9780769879413

Credit Union Regulatory Compliance Report

Joy B. Boone

This is every credit unions' best tool for keeping up with and understanding the implications as compliance issues change. It's written specifically for credit unions in a fast-reading format that delivers the information you really need. Stay focused on what's important to you and get the information you need without being overwhelmed by all the information that's out there.

S Newsletter, 12 issues per year, Pub. #04751, ISBN 9780769878089
eISBN 9780769879505

Internal Auditing Manual for Credit Unions

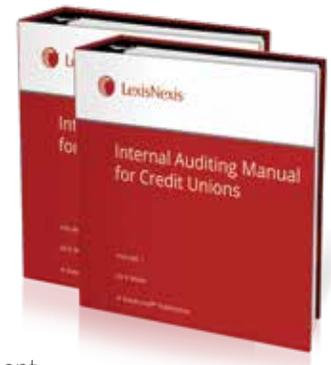
Joy B. Boone

Now you can do your credit union's internal audits by the book and be sure you're covering it all. *Internal Auditing Manual for Credit Unions* puts everything you need in one easy-to-use resource:

- How to set up an audit department
- Development of an audit program
- Detailed audit programs you can adapt for your credit union
- How to write an audit report
- Sample reports
- Sample work papers

The manual is organized by the areas and functions requiring internal audits in a credit union. Each audit program is presented with an overview section to introduce and explain the major components of the audit, followed by detailed checklists and a questionnaire to help gather necessary information before the audit. *Internal Auditing Manual for Credit Unions* also helps you identify and address areas of risk before they become a problem. Periodic updates help you modify and update your internal audit programs as laws, regulations and best practices change, and how to test your internal controls and document their effectiveness for your next exam.

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04770, ISBN 9780769878270
eISBN 9780769879697



Marketing and Advertising Regulatory Guide for Credit Unions

Robert E. Braun

The easiest way for credit unions to keep every marketing effort and product in compliance. Both your members and examiners want more. Members want more products and services, like share draft accounts, ATMs, home credit union services and other new services. Meanwhile, Congress and the regulators have given you a lot more consumer rules and regulations to follow, and a lot more attention is being paid to how well you comply.

- S** 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04777, ISBN 9780769878348 eISBN 9780769879765

Policies and Procedures for Credit Unions

Joy B. Boone

A comprehensive credit union policies and procedures manual that covers all the functional areas of credit unions—operations, lending, finance/treasury, and administration. You get specific, sample credit union policies and procedures for every appropriate area, like fair lending, A/L management and personnel to satisfy the examiners and help management achieve its goals. You can use them to develop policies and procedures tailored to fit your credit union.

- S** 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04786, ISBN 9780769878430 eISBN 9780769879857

Risk-Based Compliance Audit Program for Credit Unions: Risk Assessment Checklists and Related Requirements

Jeffrey R. Torp

This one-of-a-kind resource provides everything you need to minimize your credit union's chances of investigations, litigation and costly penalties.

This helpful manual provides:

- Compliance checklists organized by individual products and services
- A risk assessment matrix to help you easily assess and record your credit union's specific level of risk for the various compliance requirements as they become effective
- Assessments that allow you to assign a risk rating, thus prioritizing your credit union's needs and maximizing your resources
- A compliance calendar to give you a quick reference for changing requirements

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One-to-Four Family Loan Documentation Charts for Credit Unions

The charts are designed to help credit unions decipher all the complex disclosure requirements for loans secured by one- to four-family real estate. The charts help identify which disclosures to give on certain types of loans, and the charts have been updated to address the TRID rules.

- NS** eBook, Pub. #04918, ISBN 9781630441159



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Volume 3: Risk Management and Bank Compliance identifies information and tools you need to understand risk management, loss prevention and compliance requirements; and protect your bank—from model systems and programs to prevention measures and contingency planning.

S 3 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04737, ISBN 9780769877945
eISBN 9780769879369



Bank CEOs Operating and Management Desk Reference

Gary M. Deutsch

Provides guidance for Bank CEOs on key aspects of operations and management, with practical examples, a sample strategic plan, sample risk management system and other adaptable material. Helpful for any Bank CEO, essential for those with less experience.

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eISBN 9780769878997

Bank Operations and Administration Desk Reference

Gary M. Deutsch

The authoritative resource that gives you clear, practical guidance for managing all the functional areas of administration and operations.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04705, ISBN 9780769877624
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Implementing Dodd-Frank Consumer Financial Protection Provisions

James H. Pannabecker

The Consumer Financial Protection Bureau has unprecedented power, and you can expect ongoing new and changing regulations. The Dodd-Frank Wall Street Reform and Consumer Protection Act is complex, but *Implementing Dodd-Frank Consumer Financial Protection Provisions* breaks it down for financial institutions.

This resource provides:

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- Executive Summaries that spotlight key issues, “takeaways” and talking points
- Quick-reference tables of regulations and regulatory actions, including deadlines and reference cites to manuals and regulations
- Alerts that keep you informed of changes as they occur

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FRONTLINE

Model Teller/CSR Training Manual with Trainer's Guide

Dena Somers

This *Training Manual* focuses on how your bank can train your tellers and customer service representatives to meet the demands of today's banking industry—dealing effectively with customers, performing job responsibilities efficiently and following bank policies, while projecting and maintaining a professional image for the bank.

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LENDING

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Gary M. Deutsch

This detailed desk reference will help you establish a loan officer's duties, with detailed descriptions on how to perform every aspect of this complex job. A must-have for loan officers, this valuable resource answers the many questions that arise daily.

This manual can help you minimize both loan losses and loan department stress levels. Use the model watchlist and watchlist reporting procedures to stay on top of the situation, but you can't let problem loans get in the way of serving commercial customers the way they should be serviced. *Senior Loan Officers Desk Reference* can help you find ways to reduce costs, price your commercial loans to be competitive and profitable, make sure your loans are safe and protect the bank's interests, and develop new business. There are the less frequent but equally critical issues like managing bank examinations, establishing loan officer authority, working with the board, negotiating workouts and much more.

Senior Loan Officers Desk Reference covers the following functional areas:

- Senior loan officer's executive function
- Managing the loan documentation process
- Managing real estate lending
- Managing problem loans
- Managing compliance
- Consumer lending

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eISBN 9780769880150

Loan Policies Manual

Dena Somers

This is your comprehensive credit policy manual for all lending activities throughout your organization. The manual focuses on reducing risk and gives you sample lending policies that will satisfy your regulators. By identifying weaknesses and controlling risky underwriting practices, you can avoid undue attention during on-site examinations. Even if you already have lending policies in place, this guide is useful to make sure everything is complete. The *Manual* covers:

- General lending standards
- Consumer lending
- Residential mortgage lending
- Commercial real estate and construction lending
- Non-real estate business lending
- Specialized lending and credit extensions
- Customer verification and authentication requirements
- Workout credits and problem assets
- Risk assessment and management
- Processing loans over the internet
- Applicable laws and regulations

Sample policies make it easy for you to customize documents and distribute them to loan officers.

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Community Bank Loan Management

Gary M. Deutsch

This set of manuals is an encyclopedia of lending, designed to be a central loan library for everyone involved in lending. It covers lending from A to Z—and includes allowance for loan losses; workouts; consumer, real estate and commercial lending; lending with financial statements and lending when the financial statements are meaningless; loan documentation procedures; loan grading systems; and more. Materials include:

- An entire section on how to manage, control and collect the bank's problem loans
- Clearly written and easy-to-use chapters that explain how the various loan departments of a bank should function
- Step-by-step approach showing how to improve loan documentation procedures, keep track of exceptions and put together loan approval packages
- Detailed, extremely practical loan grading system
- Help in avoiding compliance mistakes
- Numerous examples, samples of documents and key explanations that make even the most complex topics understandable



S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04736, ISBN 9780769877938
eISBN 9780769879352

Self-Paced Loan Documentation Training

Dena Somers

Get up to speed on the latest rules, techniques and methods for making safer, better-documented loans and keeping the lending area in compliance, to help you have less exposure with the examiners and in court. Training includes:

- Documentation for the most common types of secured loans, including real estate, pledge agreements and security agreements
- Basics, such as elements of a loan for beginners
- More complex agreements, such as contracts involving other parties that veteran loan officers may need to brush up on
- End-of-chapter reviews and self tests that help reinforce the information covered in each chapter
- Examples to illustrate complex issues

S 2 volumes, loose-leaf with downloadable content, updated twice per year, Pub. #04808, ISBN 9780769878713
eISBN 9780769880136

One-to-Four-Family Loan Documentation Charts for Banks

Lorraine Hyde

This collection of charts is designed to help banks decipher all the complex disclosure requirements for loans secured by one-to four-family real estate.

NS eBook, Pub. #04913, eISBN 9781630441142



MORTGAGE LENDING

An A.S. Pratt® Publication

Mortgage Lender's Guide to Dodd-Frank Compliance

James H. Pannabecker

Mortgage Lender's Guide to Dodd-Frank Compliance will help you and your organization understand, implement and comply with the mortgage lending provisions of the most ambitious and far-reaching financial reform since the 1930s. Rather than bombard the reader with information about every Dodd-Frank development regarding swaps, securities, financial stability oversight, orderly liquidation and other matters, this resource focuses on mortgage lending. It provides the practical tools and actionable guidance you need.

- Expert guidance and analysis from author James Pannabecker, who breaks down the complexities of this historic bill
- Executive Summaries that spotlight key issues, "takeaways" and talking points
- Quick-reference timelines and tables of regulatory requirements
- Alerts that keep you informed of changes as they occur

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04842, ISBN 9780769886114
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Mortgage Lenders Model Compliance Manual: Policies, Forms, and Checklists

James H. Pannabecker

Regulations continue to change and evolve in the aftermath of Dodd-Frank and the establishment of the CFPB, making it more important than ever to ensure a residential mortgage lending staff understands and complies with these new and changing state and federal regulations.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04863, ISBN 9780769886268
eISBN 9780769888996

PAYMENT SYSTEMS

ACH Transactions Compliance and Training Guide

Gary Nesbitt

Noncompliance with the ACH rules can create rules violations, potentially resulting in a fine to the financial institution. Lack of ACH risk management policies and well-documented operational procedures can expose your institution not only to a financial loss, but also to loss of account holders and damage to the institution's reputation.

This manual is an excellent tool to keep your financial institution and your account holders up to date. It has two components: ACH compliance and ACH training. Whether you choose self-paced study or classroom training, you will find the comprehensive reviews, manager's handbook and examination invaluable tools to help keep your ACH knowledge current and skills sharp.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #02415, ISBN 9781522110897
eISBN 9781522110903

Compliance Guide to Payment Status: Law and Regulation

Barkley Clark, Barbara Clark, Mark Hargrave

Written specifically for bankers, this essential publication provides practical guidance to all types of payment systems including: money/currency, bank checks, mobile banking, NACHA rules, Credit CARD Act, disclosure requirements, high-to-low debit posting, unfair, deceptive or abusive acts and practices, credit union share drafts, remittance instruments, documentary drafts, letters of credit, credit cards, ATMs, wire transfers, ACH networks, smart cards, internet transactions and home banking.

S 1 volume, loose-leaf with downloadable content, updated twice per year, Pub. #04743, ISBN 9780769878003
eISBN 9780769879420

Electronic Banking Compliance

Jeffrey R. Torp

Comprehensive coverage of six discrete electronic services, processes or products to which the rules and regulations apply, including:

- Internet banking—electronic transactions, information privacy and security, loans and deposits
- ACH transactions
- Check 21 Act and Regulation CC
- Remote capture
- Wire transfers
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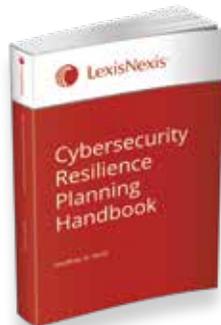
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