

COMPLIANCE CONFERENCE

THURSDAY 3 MARCH 2022 – 09:00 – 16:45

Inspiration Suite, The Village, Wessex Fields, Deansleigh Road, Bournemouth
BH7 7DZ

| COST |
|--|
| £125 Solicitor Member/Associate Member/Trainee Solicitor |
| £170 Non-Member of BDLS |
| CPD |
| 6 Hours |
| BOOKING |
| Please complete and return the booking slip below. Please note that places are limited so early booking is recommended to avoid disappointment |
| *HOTEL PARKING |
| The Village, Wessex Fields, Deansleigh Road, Bournemouth BH7 7DZ Please note there is no charge for BDLS delegates to park at the hotel. For a 4 hour period you will just park – no registration number to register and no code needed to exit the car park. For all day Conferences the Organiser – Mandy or Julie - will hand out the exit code to delegates |

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SHAREDAMBITION

| | |
|---------------------------------------|---|
| 08:45 | Registration and refreshments |
| 09:10 | <p>INTRODUCTION FROM THE CHAIR Mark Kiteley, BDLS Past President</p>  <p>Mark is a Director of Rawlins Davy Solicitors in Bournemouth, specialising in regulation and compliance. He qualified as a solicitor more than 20 years ago and, prior to selling his interest in the firm, enjoyed the position of managing director at Kiteleys Solicitors. He sits on the Law Society Professional Indemnity Insurance Panel, part of the Regulatory Affairs Board, and prior to his appointment as President was Honorary Secretary of the Bournemouth and District Law Society between 2012 and 2018. He has promoted and chaired our previous compliance conferences, spoken at Bournemouth and Solent Universities on routes to the profession, and led inhouse training on GDPR, AML, and cyber security.</p> |
| 09:15 – 10:15 1 hour | <p>SRA ACCOUNT RULES – ESSENTIAL UPDATE Janet Taylor FCA - Director, PKF Francis Clark</p> <p>Are you and your team fully up to date? Are you alert to the common and most serious breaches?</p> <p>Rule 1 - the 'authorised body's managers are jointly and severally responsible for compliance by the authorised body, its managers and employees with the rules.' And if you are the COFA there are extra responsibilities. There is no hiding place!</p> |

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| | <p>This session will review:</p> <ul style="list-style-type: none"> • The principles and some key rules; • Guidance from the SRA on the Accounts Rules; • High risk areas including: the prohibition on providing banking facilities; dealing with residual client balances; how to properly review the client account reconciliation (warning signs of problems) <p>Janet joined PKF Francis Clark as part of the firm’s specialist legal team in 2018 having been an owner in Taylor Mowbray LLP for over 12 years. Prior to that she spent over 10 years with another top 20 accounting firm heading up their specialist solicitors’ group. A highly experienced presenter Janet provides relevant and practical training on a number of financial issues for lawyers. Over the last 18 years she has regularly presented training on the SRA Accounts Rules to a wide range of accounting and law firms through in-house and public seminars. Clients have included several major international and national law firms as well as their reporting accountants. Janet is the current Subject Matter Expert for the ICAEW’s Solicitors Community Advisory Group</p>  |
| <p>10:15 – 11:00 45 mins</p> | <p>SRA UPDATE: REGULATORY CHANGES ON THEIR WAY Policy Associate, SRA</p> <p>Details to be confirmed</p> |
| <p>11:00 – 11:15</p> | <p>Refreshments</p> |
| <p>11:15 – 11:45 30 mins</p> | <p>PRESIDENTIAL PRIORITIES I Stephanie Boyce, President, The Law Society</p>  |
| <p>11:45 – 12:45 1 hour</p> | <p>CYBER SECURITY: HACKEDin VIA LINKEDin Jake Moore, Cyber Security Specialist, ESET</p> <ul style="list-style-type: none"> • Watch Jake unfold a targeted phishing attack via LinkedIn on the CEO of a company • See how easy it is to manipulate anyone into handing over the credentials of their accounts • Learn how to spot and stop phishing attacks  <p>Jake Moore is a Cyber Security Specialist for Europe’s number one internet security company ESET. He helps businesses and employees understand cyber security and the risks involved. Jake previously worked for Dorset Police for 14 years investigating computer crime in the Digital Forensics Unit before being a cyber security advisor for the force delivering tailored advice to the public and local businesses.</p> |
| <p>12:45 – 13:30</p> | <p>Lunch</p> |
| <p>13.30 – 14:30 1 hour</p> | <p>WHAT WILL THE POST PANDEMIC LAW FIRM LOOK LIKE? Viv Williams</p> <ul style="list-style-type: none"> • Consolidation • Mergers • Failures |

- **New models**
- **Private equity**
- **3000 mergers or failures**



Viv Williams is a leading consultant to law firms on the topics of strategy, merger & acquisition, management, practice development and marketing. Viv's experience as a Managing Director of two floated plc companies adds a new dimension to law firms. He has the experience necessary to provide an invaluable practical management insight that applies to all professional firms. He is a specialist in strategy, merger and acquisition and "lean management" theory helping law firms to evolve. He provides the vision and inspiration for law firms to become more corporate. By applying corporate governance to a modern law firm Viv helps them to improve their management systems and increase profitability. Viv is involved with several businesses serving the legal profession, Consulting Director of Viv Williams Consulting, Chairman of AWH Solicitors, CEO of Zaiwalla & Co and non-executive Director of several law firms. Viv has written two books on law firm management and is regularly interviewed by the Law Society Gazette on a host of topics.

14:30 – 15:30
1 hour

COMPLIANCE REVIEW ESSENTIALS FOR 2022 – KEY AREAS OF FOCUS
Tracy Thompson

Does your firm have a strategic plan for which areas of the practice need to be reviewed in 2022 to ensure ongoing compliance with regulatory and legislative obligations? Many legal practices are still dealing with the hangover from exponential volumes of conveyancing in 2021 and further continue to battle with the numerous challenges brought about by the ongoing pandemic. The resulting danger being monitoring and updating of compliance obligations could fall off the radar, albeit unintentionally. This short session will identify common shortcomings and explore best practice in key areas of interest to the SRA, Legal Ombudsman, professional indemnity insurers and other stakeholders, allowing practices to subsequently review and consider their own levels of compliance particularly in:

- **Business Continuity**
- **Data Protection**
- **SRA Transparency Rules**
- **SRA Standards & Regulations 2019**
- **File Management**
- **Personnel Management**
- **SRA AML thematic review visits**



Tracy Thompson is a property lawyer who has spent over two decades in the legal profession, most recently as managing partner of a Merseyside multi-disciplinary practice. She is very hands on in her approach to management and has a unique perspective of the many challenges facing law firms. Tracy possesses a diverse mix of skills and is highly experienced in operational management and business strategy. Tracy is passionate about managing risk in practice and the benefits Lexcel can bring to a practice and it is this passion which saw her appointed to the Law Society Lexcel Panel in 2013. She is a Law Society accredited Lexcel Consultant and Lexcel Assessor for both the England & Wales standard, and the International standard. Tracy has recently been appointed Lead Assessor for the Law Society's Conveyancing Quality Scheme.

15:30 – 15:45

Refreshments

15.45 – 16:45
1 hour

LESSONS LEARNED FROM AML AUDITS

Amy Bell, Teal Compliance

This session will look at Amy's experience in reviewing hundreds of AML policies and procedures, hours of interviews and weeks of file reviews, to share the most common issues which firms have



Amy is the Founder of Teal Compliance and Teal Legal as well as the Author of Solicitors and Money Laundering and Compliance That Works (Due to be published in Spring 2022). Amy is a Compliance Consultant with a passion for helping firms adapt to the changing legal landscape. She has many years' experience in working with law firms, and in 2017 launched Amy Bell Compliance Limited followed by Teal Compliance Limited in January 2018. Amy's team provide support to law firms, through consultancy services and training to help everyone in the firm to understand

compliance and how to apply risk management principles to improve client service and deliver efficiencies. Amy is a member and former Chair of the Law Society's Money Laundering Task Force, where she represents the Solicitors profession at Government and in Europe. She is also the author of the Law Society's Anti-Bribery Toolkit and their Anti Money Laundering Training courses. Amy is a regular speaker for the Law Society, the ARK Group, MBL Seminars as well as local Law Societies.

16:45

Close

BOOKING FORM
COMPLIANCE CONFERENCE

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Please complete and return this slip with your payment by Thursday 27 February 2021

Bournemouth and District Law Society, Borough Chambers, Fir Vale Road, Bournemouth BH1 2JJ – DX 7616
 Bournemouth – Tel: 01202 587551 email: office@bournemouthlaw.com

| No* | Membership Type | Cost |
|--------------------------------------|-------------------|----------|
| | Solicitor Member | £125 |
| | Associate Member | £125 |
| | Trainee Solicitor | £125 |
| | Non-Member | £170 |
| Cheque/BACS* payment made for | | £ |

*Please indicate

Cheques: payable to "Bournemouth & District Law Society"

BACS: Account Name: Bournemouth & District Law Society
 Account No: 56568851 Sort Code: 56-00-35.

Important: Please quote reference "911/initials or surname of delegate"

| | |
|-----------------------------------|--|
| Name of Delegate(s) | |
| Name of Firm | |
| Address/DX No | |
| Email | |
| Any special dietary requirements? | |