

COMPLIANCE CONFERENCE


THURSDAY 28 SEPTEMBER 2023 – 09:15 – 16:30

Marsham Court Hotel, 3 Russell Cotes Road, Bournemouth BH1 3AB

COST	
£135	Solicitor Member/Associate Member/Trainee Solicitor
£180	Non-Member of BDLS
CPD	
6 Hours	
BOOKING	
Please book online at: www.bournemouthlaw.com/bournemouth-district-law-society-lectures	
Ref: 957	
Solicitor Competence: A and B (SRA Statement of solicitor competence Solicitors Regulation Authority)	
HOTEL PARKING	
Marsham Court Hotel, 3 Russell Cotes Road, Bournemouth BH1 3AB	
Parking: This is at the rear of the hotel (postcode BH1 3AU) No parking charge. On arrival, please inform hotel reception of your car registration number and, when you leave, ask for the exit code to raise the exit barrier. Alternatively, there is parking at Berry Court in St Peter's Road, Central Car Park in Upper Hinton Road or street parking around the hotel.	

Thanks to our sponsors:



08:45		Registration and refreshments
09:15		<p>INTRODUCTION FROM THE CHAIR Mark Kiteley, BDLS Past President</p>  <p>Mark is a Director of Rawlins Davy Reeves 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>EFFECTIVE SUPERVISION IN PRACTICE AND QUALITY STANDARDS UPDATE 2023 Tracy Thompson</p> <p>The session, specifically taking into account the SRA supervision report published in late 2022, will look at what effective supervision should look like in practice and how this can be achieved seamlessly.</p> <p>Tracy will also take the opportunity to advise practices of any recent or impending updates to quality standards such as CQS and Lexcel.</p>



Tracy Thompson is a 15 year qualified property lawyer who has spent over two decades in the legal profession, having been managing partner in a Merseyside multi million pound multidisciplinary practice. Tracy possesses a diverse mix of skills and is highly experienced in both operational management, business strategy and risk management. Tracy is extremely passionate about compliance with quality standards having been appointed to The Law Society Lexcel Panel in 2013. Tracy has been a Law Society Lexcel consultant and Lexcel assessor for over 10 years and was appointed as Lead Assessor for the Law Society Conveyancing Quality Scheme (CQS) in 2019.

Tracy wears many different hats and is a well-known legal trainer, risk and compliance consultant specialising in CQS, Lexcel and AML, in addition to providing general risk management services to many practices nationwide.

10:15 – 11:15
1 hour

SRA ACCOUNT RULES – KEEP YOURSELF UP-TO-DATE

Janet Taylor FCA - Director, PKF Francis Clark

The session, which provides an annual update on key client money issues, will cover:

- Any changes to the SRA Accounts Rules themselves
- Changes to guidance and warning notices effecting the Accounts Rules
- Top 5 SRA Accounts Rules breaches reported on by Accountants.
 - Failure to repay client funds promptly.
 - Failure to tackle subsequent residual balances.
 - Client account reconciliation errors and weaknesses.
 - Improper use of suspense ledgers.
 - Providing banking facilities to clients.

Janet joined PKF Francis Clark as part of the firm’s specialist legal team in 2018 as a director and now works as a consultant to the firm and has been an owner in Taylor Mowbray LLP for over 15 years. Prior to that she spent over 10 years with another top 20 accounting firm heading up their specialist solicitors’ group. Over the last 20+ 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, and co-author of the Law Society’s Solicitors and the Accounts Rules - A Compliance Handbook.



11:15 – 11:30

Refreshments

11:30 – 12:30


SRA UPDATE

Paul Phillip, Chief Executive, Solicitors Regulation Authority

This update will cover:

- Developments in regulation
- SLAPPs
- Financial sanctions
- Anti money laundering

	<p>Paul joined the Solicitors Regulation Authority as Chief Executive in 2014. Since then, he has delivered an ambitious programme of reform. This includes the introduction of an up-to-date regulatory model that supports a modern, competitive, legal sector and a full review of how solicitors qualify and enter the profession. He has also developed the SRA role as an anti-money laundering supervisor as well as making significant operational improvements. Paul has previously held senior roles in the medical, health and legal sectors.</p> 
<p>12:30 – 13:15</p>	<p>Lunch</p>
<p>13.15 – 14:15 1 hour</p>	<p style="text-align: center;">RECENT CHANGES AND DEALING WITH COMPLAINTS</p> <p>Jason Chapman</p> <ul style="list-style-type: none"> • LeO’s journey – overview of recent changes, Scheme Rules, Front-end changes and how it has impacted • Preventing complaints • Dealing with complaints • Support for the profession  <p>Jason originally joined the Legal Ombudsman in 2011 as an investigator before being appointed as an ombudsman in 2013. In his ten years as an Ombudsman Jason gained a wealth of experience and has determined over 3,500 complaints. Prior to joining the Legal Ombudsman, Jason was an experienced Commercial Manager, working in several sectors, including consumer finance, leasing, travel and facilities management. During this time, he also gained considerable experience managing regulatory and compliance functions.</p>
<p>14:15 – 15:15 1 hour</p>	<p style="text-align: center;">ANTI MONEY LAUNDERING UPDATE</p> <p>Kayleigh Smale, Teal Compliance</p> <p>An update on the fast-moving word of compliance to include:</p> <ul style="list-style-type: none"> • The SRA’s new fining powers • Sanctions • Failure to prevent fraud • Proliferation Financing • Any new AML Updates <p>Kayleigh started her compliance career over 10 years ago as a Conflicts and AML Analyst at an international law firm. She has a wealth of knowledge surrounding client due diligence for individuals, corporate entities and entities overseas. As one of the Team Teams first associates, Kayleigh is highly experienced in AML Audits, AML Training and helping clients with their day-to-day AML queries through Teal’s Ask Teal Service. She has been teaching Teal courses from the beginning, and now is involved in writing and updating all</p> 

	Teal's AML courses. She is an accomplished speaker appearing on webinars, at conferences and most recently interviews for a podcast.
15:15 – 15:30	Refreshments
15.30 – 16:30 1 hour	<p>LAW FIRMS AT THE CROSSROADS: DECIDING WHAT DIRECTION TO TAKE YOUR PRACTICE</p> <p>Viv Williams</p> <p>How can you make your Practice Future Fit?</p> <ul style="list-style-type: none"> • Merger and Consolidation • Corporate Structure - what are your Options. • Finding and Retaining Talent • Using Technology and Outsourcing. • How do you fund Growth • Making Regulation work for you <p>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, 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.</p> 
16:30	Close

Please book online at:

<https://www.bournemouthlaw.com/bournemouth-district-law-society-lectures>

