

## **DEMONSTRATING COMPLIANCE WITH THE CONVEYANCING QUALITY SCHEME (CQS) AND MEETING AML OBLIGATIONS**

**for Partners, Heads of Conveyancing, SRO, Conveyancing Fee Earners, MLRO and MLCO and Supervisors**

**WEDNESDAY 4 SEPTEMBER 2024 – 14:00 – 17:15**

<b>Registration:</b>	13.30
<b>Venue:</b>	Marsham Court Hotel, 3 Russell Cotes Road, Bournemouth BH1 3AB
<b>Parking:</b>	This is at the rear of the hotel (postcode BH1 3AU) and there is 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.
<b>Cost:</b>	<b>£95</b> Solicitor Member; Associate Member; Trainees (Solicitor, Cilex & Apprentices) <b>£145</b> Non Member of BDLS
<b>Booking Reference:</b>	609
<b>CPD:</b>	3
<b>SRA Competence:</b>	A and B <a href="#">SRA   Statement of solicitor competence</a>   <a href="#">Solicitors Regulation Authority</a>

**The seminar is aimed at Partners, Heads of Conveyancing, SRO, MLRO and MLCO, Conveyancing Fee Earners & Supervisors and those charged with implementing and managing quality standards in the practice.**

**Please note this is a repeat of the course previously run by Tracy in 2022 and 2023, although slightly updated to provide a greater focus in relation to key AML obligations which form part of CQS compliance.**

**In February 2022, The Law Society announced CQS accreditation practices should be following the new CPMS (Feb 22) and be 'assessment ready' from 1st May 2022.**

**The Law Society is now actively undertaking onsite CQS assessments in practices nationwide and clear patterns and trends are being identified where practices are unable to meet the requirements of the CQS Scheme Rules, which could potentially compromise their accreditation status.**

**The onsite assessment is both technical and qualitative and requires CQS accredited firms to demonstrate compliance with the requirements of the CQS scheme throughout the practice, including the ability to evidence the Core Practice Management Standards and The Law Society Conveyancing Protocol through their conduct of conveyancing files. Practices are selected for assessment by The Law Society both reactively and through random selection.**

**This seminar is specifically designed for firms who are both CQS accredited, and those firms who are currently working towards attaining accreditation.**

**The presenter, Tracy Thompson, former CQS Lead Assessor, will provide guidance to interpret the requirements of the standard whilst gaining practical experience of how to develop and**

**implement those requirements. In addition, the SRA have stepped up enforcement actions against practices who are failing to comply with the complex Money Laundering Regulations in recent months. Compliance with the Money Laundering Regulations 2017 is a key feature of CQS compliance and therefore CQS accredited practices need to ensure they understand what is expected of them.**

- **The session will look in detail at:**
- **The on-site assessment detail.**
- **Key requirements of the court practice management standard (CPMS).**
- **Implementing the required policies and procedures of CQS within your practice.**
- **How to adequately demonstrate compliance with CQS.**
- **Understanding the regulators expectations relating to AML compliance.**
- **How to prepare for an SRA AML thematic review visit.**

**This session will equip you with the in depth practical and technical expertise needed to successfully and swiftly implement policies and procedures to enable you to survive the assessment and any SRA visit**

### **Speaker Profile:**

**Tracy Thompson** is a Law Society Accredited Risk & Compliance Specialist, Law Society Accredited Lexcel Assessor and Consultant, and is a 15 year qualified property lawyer who has spent over 25 years in the legal profession, most recently in practice as Managing Partner in a Merseyside multi million pound multidisciplinary practice. Tracy is an expert in Conveyancing Quality Scheme compliance having previously carried out the role of Lead Assessor and is extremely passionate about compliance with quality standards having been appointed to The Law Society Lexcel Panel in 2013. Tracy possesses a diverse mix of skills and is highly experienced in both operational and risk management and is very practical in her guidance and support. Tracy wears many different hats and is a well-known legal trainer, legal risk and compliance consultant specialising in CQS, Lexcel and AML in addition to providing support to many legal practices nationwide with their Regulation 21 AML Independent Audit function



### **Please book online at:**

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

**Course Notes:** For environmental reasons, BDLS will no longer be providing printed course notes at lectures. Lecture notes will be emailed to delegates in advance for either printing or accessing via their laptop or alternative device on the day.

**Payment for lectures:** Please be aware that payment must be received at the office **before** the lecture takes place. Course bookings will only be confirmed upon payment. All payments are to be paid by BACS. No refunds within 7 days of the course.