



	<p><b>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!</b></p> <p><b>This session will review:</b></p> <ul style="list-style-type: none"> <li>• The principles and some key rules;</li> <li>• Guidance from the SRA on the Accounts Rules;</li> <li>• 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)</li> </ul> <div data-bbox="381 629 632 878">  </div> <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><b>10:15 – 11:00</b> <b>45 mins</b></p>	<p><b>SRA UPDATE: REGULATORY CHANGES ON THEIR WAY</b> <b>Tony Stafford, Policy Manager, SRA</b></p> <ul style="list-style-type: none"> <li>• setting and maintaining high professional standards for solicitors and law firms</li> <li>• supporting the adoption of legal technology and innovation</li> <li>• building understanding of emerging opportunities and challenges for the users of legal services, and regulating accordingly</li> </ul> <div data-bbox="399 1240 632 1585">  </div> <p>Tony joined the SRA’s regulatory policy team in September 2021 from the Association of Optometrists, where he was Policy Director. His previous roles have included: ombudsman at the Financial Ombudsman Service; head of policy on the regulation of political funding and campaigning at the Electoral Commission; and leading Government projects on employment dispute resolution, industry policy, company law and consumer product safety. Tony’s policy work at the SRA currently covers topics including consumer protection, exploring how better information for consumers can drive competition, and wellbeing and workplace issues.</p>
<p><b>11:00 – 11:15</b></p>	<p><b>Refreshments</b></p>
<p><b>11:15 – 11:45</b> <b>30 mins</b></p>	<p><b>PRESIDENTIAL PRIORITIES</b> <b>I Stephanie Boyce, President, The Law Society</b></p> <div data-bbox="1225 1659 1485 1924">  </div>
<p><b>11:45 – 12:45</b> <b>1 hour</b></p>	<p><b>CYBER SECURITY: HACKEDin VIA LINKEDin</b> <b>Jake Moore, Cyber Security Specialist, ESET</b></p> <ul style="list-style-type: none"> <li>• Watch Jake unfold a targeted phishing attack via LinkedIn on the CEO of a company</li> </ul>



	<ul style="list-style-type: none"> <li>• <b>Business Continuity</b></li> <li>• <b>Data Protection</b></li> <li>• <b>SRA Transparency Rules</b></li> <li>• <b>SRA Standards &amp; Regulations 2019</b></li> <li>• <b>File Management</b></li> <li>• <b>Personnel Management</b></li> <li>• <b>SRA AML thematic review visits</b></li> </ul> <div data-bbox="384 488 638 840">  </div> <p>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 &amp; Wales standard, and the International standard. Tracy has recently been appointed Lead Assessor for the Law Society's Conveyancing Quality Scheme.</p>
<b>15:30 – 15:45</b>	<b>Refreshments</b>
<b>15.45 – 16:45</b> <b>1 hour</b>	<p><b>LESSONS LEARNED FROM AML AUDITS</b></p> <p><b>Amy Bell, Teal Compliance</b></p> <p>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</p> <div data-bbox="387 1216 727 1552">  </div> <p>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.</p>
<b>16:45</b>	<b>Close</b>

## **BOOKING FORM COMPLIANCE CONFERENCE**

**THURSDAY 3 MARCH 2022**

**09:15 – 16:45 – INSPIRATION SUITE, THE VILLAGE HOTEL, BOURNEMOUTH**

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

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