

WEBINAR: COMMON AML NON-COMPLIANCES – REGULATION 21 INDEPENDENT AUDIT OUTCOMES

WEDNESDAY 17 JULY 2024 – 15:00 – 16:00

Webinar details:	The platform is Zoom and can be viewed on a mobile, tablet, laptop or PC. The link to join will be emailed to you nearer the time. It would be helpful to download Zoom on to your device beforehand - the app is Zoom Cloud Meetings. Please note that it may not be possible to access your video and microphone if you are remote accessing your office computer - you may want to forward the link.
Cost:	£35 – Member and Associate Members of BDLS/Trainee Solicitor £55 – Non-Member of BDLS
Booking Reference:	605
CPD:	1
SRA Competence:	B SRA Statement of solicitor competence Solicitors Regulation Authority

It hasn't gone unnoticed in recent months how the SRA are taking robust enforcement action against practices who are failing to comply with their Money Laundering legislation obligations in practice. Whilst we are all likely to be aware of the failings of some practices in not producing a compliant Practice Wide Risk Assessment or AML policy, or they have failed to evidence an appropriate client/matter risk assessment has been carried out, many other gaps exist in day-to-day operational compliance.

Tracy Thompson has been carrying out Regulation 21 AML Independent Audits since 2018, and during this short webinar Tracy will take the opportunity to give an insight to practices of the common patterns and trends identified from her independent audit outcomes and will provide practical guidance to firms to assist them in ensuring they meet the requirements expected to be seen in practice.

Tracy will also give an insight into what practices should expect to happen during an SRA AML Thematic Review visit.

Speaker Profile:

This webinar will be presented by **Tracy Thompson**, a 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 risk management. She provides valuable practice management support to many law firms nationally and is an experienced trainer particularly in the areas of Law Firm Compliance, Health & Safety and Quality Management Standards. Tracy is a Law Society accredited Lexcel Consultant and a Lexcel Assessor for both the England & Wales standard, and the International standard and was formerly Lead Assessor for the Law Society's Conveyancing Quality Scheme.



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.