

MAKING COMPLIANCE WORK: Building a positive culture across your firm - from everyday practice to AML compliance

TUESDAY 26 JANUARY 2027 – 14:00 – 17:15

Registration:	13.30
Venue:	Queens Hotel, Meyrick Road, Bournemouth, Dorset BH1 3DL
Parking:	There is limited complimentary parking at the hotel, available on a first-come, first-served basis. Alternatively, delegates can park in the nearby Carlton Hotel and pay on arrival - the entrance to the car park is in Grove Road. Road parking is also available nearby
Cost:	£100 – Member and Associate Members of BDLS/Trainee Solicitor £150 – Non-Member of BDLS
Booking Reference:	708
CPD:	3
SRA Competence:	B https://www.sra.org.uk/solicitors/resources/continuing-competence/cpd/competence-statement/

Course content:

This session is suitable for Partners, COLPs, COFAs, MLROs, MLCOs, Heads of Department, Supervisors, Managers and Fee Earners.

Well-drafted policies, established procedures and regular training are important, but what happens when workloads increase, deadlines loom or a valued client pushes back?

Non-compliance is often not deliberate. It can arise from uncertainty, competing priorities, ingrained habits or assumptions that someone else has dealt with the issue. Understanding what drives those decisions is an important step towards improving compliance.

This practical, face-to-face session explores how law firms can create a positive compliance culture in which people understand their responsibilities, feel confident asking questions and raising concerns, and receive the support they need to make sound decisions.

Drawing on everyday examples across general Regulatory and quality standard compliance and AML, we will consider:

- Why people miss steps, take shortcuts or hesitate to raise concerns.

- How leadership, supervision and everyday behaviour influence what happens in practice.
- Whether the firm's expectations around billing, deadlines and client service support its compliance messages.
- How to make policies, procedures and escalation routes clear and workable.
- How to respond constructively to mistakes and recurring weaknesses while maintaining accountability.
- Practical ways to assess whether compliance is understood and applied throughout the firm.

Through discussion and realistic scenarios, delegates will explore what sits behind compliance failures and identify proportionate improvements they can take back to their own firms.

Speaker Profile:

Tracy Thompson is a Law Society Accredited Risk & Compliance Specialist, Law Society Accredited Lexcel Assessor and Consultant, and is a 19 year qualified property lawyer who has spent nearly 30 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. No refunds within 7 days of the course.