

COMPLIANCE CONFERENCE

THURSDAY 10 JULY 2024 – 09:15 – 16:45

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: 621	
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>EQUALITY, DIVERSITY AND INCLUSION David Green, Regulation and Compliance Office</p> <p>Topics to be covered are as follows:</p> <ol style="list-style-type: none"> 1. Key elements of the Equality Act <ol style="list-style-type: none"> a. Defining: <ol style="list-style-type: none"> i. Equality ii. Diversity iii. Inclusion

- b. SRA expectations of Firms
 - c. Impact of breaches and self-reporting
 - d. What should be a Firm's approach?
 - i. Policies
 - ii. Management
 - iii. Grievances and disciplinaries
 - e. Examples:
 - i. Direct Discrimination
 - ii. Indirect Discrimination
 - iii. Harassment
 - iv. Victimisation
 - v. Bullying
 - vi. Unconscious Bias/Unintentional Discrimination
 - f. Recruitment and Selection
- 2. Key Elements of The Worker Protection (Amendment of Equality Act 2010) Act 2023**
- a. What has changed
 - b. SRA views and expectations
 - c. What does proactive mean
 - d. What should a Firm's approach be
 - i. Policies
 - ii. Management
 - iii. Risk Assessment
 - iv. Grievances and disciplinaries

David is the Managing Director of Regulation and Compliance Office which is consultancy and compliance business working for law firms, professional indemnity insurers and other businesses in the regulated sectors. Having previously run a law firm for some 17 years David spends his time now working with law firms as a consultant focusing on strategy and finance or assisting with the improvement of risk, regulation, compliance and general supervision. The combined experience of working as a fee earner, law firm owner and a consultant provides David with a breadth of experience which, it is hoped, he uses effectively to deliver pragmatic and workable solutions to the industry and those the Company engaged with.



10:15 – 11:15
1 hour

AML - HAS IT GOT HARDER ALL OF A SUDDEN?
Amy Bell, Teal Compliance

We have seen unprecedented amounts of fines levied on the legal profession in the last 12 months for AML failings. The SRA have doubled their team and their visits, and has left many wondering, are the expectations higher than before? In this session, Amy Bell, chair of the England & Wales Law Society's Economic Crime Task Force as she looks at the approach currently taken by the Regulator, and how to make sure your firm is regulator ready.

She will look at:

- **the SRA Sectoral Risk Assessment and how to reflect this in your Firm Wide Risk Assessment**
- **The SRA's Client and Matter Risk Assessment and why yours might look a bit different**
- **How much source of funds and wealth information are you required to obtain?**



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 as well as local Law Societies.

11:15 – 11:30

Refreshments

11:30– 12:00
30 minutes

200 YEARS OF LEGAL EXCELLENCE

Insights from Mark Evans, Vice President, The Law Society of England and Wales

Admitted as a solicitor in 1995, Mark specialised in property and private client work and held various leadership positions in North Wales and Cheshire. In October 2021 he joined the University of Law as a Tutor and is now a Lecturer teaching real estate, private client and professional skills. Based in Manchester he also teaches from the Liverpool and Chester campuses. Mark has been a Law Society Council Member since 2015 representing the constituency of North Wales. He has been an inaugural member of both the Law Society Board and National Board for Wales. Mark has had an active role in his local law society since 2010 and was President of Cheshire & North Wales Law Society in 2014. In recent years Mark has completed marathons in support of dementia and baby loss charities and is the founder of a social running group for the legal community - LegalRunner.



12.00 – 13:00
1 hour

UPDATE ON COMPLAINTS HANDLING AND OUR APPROACH TO FIRST TIER COMPLAINTS

Jason Chapman, Legal Ombudsman

- **What has happened over the past year – data on numbers and types of complaints, what we are seeing**

- Our strategy for the next three years – Insight and Engagement, concentrating on first tier handling and what we are doing to help the profession improve their complaints handling, particularly given the LSB’s focus on it
- Tips on avoiding, recognising and dealing with complaints.



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.

13:00 – 14:00

Lunch

14:00 – 15:00
1 hour

DATA BREACHES, ICO, CYBER CRIME ARTIFICIAL INTELLIGENCE
David Green, Regulation and Compliance Office

Topics to be covered are as follows:

1. An overview of GDPR
 - a. Key elements
 - b. Lawful processing
 - c. GDPR Audits
 - d. Policies Controls and Procedures
 - e. Typical Breaches
2. Reporting to the ICO
 - a. Investigating
 - b. Recording
 - c. Reporting
3. Reporting to the SRA
 - a. Investigating
 - b. Recording
 - c. Reporting
4. Cyber Crime
 - a. What is it?
 - b. Risks for law firms
 - c. The SRA and Cybercrime
 - d. Policies Controls and Procedures
 - e. Case studies
5. Artificial Intelligence
 - a. What exists
 - b. Deployment into a Firm
 - c. Controls and Supervision

<p>15:00 – 15:30 30 mins</p>	<p>EDUCATING AND TRAINING SOLICITORS AND THE FUTURE OF APPRENTICESHIPS AT BOURNEMOUTH UNIVERSITY Jamie Fletcher, Bournemouth University</p>
<p>15:30 – 15:45 Refreshments</p>	
<p>15:45 – 16:45 1 hour</p>	<p>SRA ACCOUNT RULES – YOUR ANNUAL UPDATE Janet Taylor FCA - Consultant, PKF Francis Clark</p> <p>There has been a lot of talk and consulting! Aimed at keeping everyone up to date and alert to key risks and common problems, the session will also look at where we are now:</p> <ul style="list-style-type: none"> • Update on the SRA’s consultation including the position regarding: <ul style="list-style-type: none"> • Rule 2.5 returning client balances; and • Rule 7.1 and 7.2 interest provisions; and • Rules 2.1(d), 2.3(c) and 4.3 – taking and holding money for fees; and • Advance fees • Ongoing tricky areas including: <ul style="list-style-type: none"> • The prohibition on providing banking facilities to clients • Operating a client’s own account as signatory • Any emerging issues with SRA Accounts Rules in SDT/SRA rulings <p>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 17 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.</p> 
<p>16:45</p>	<p>The Law Society Bicentenary Drinks Reception</p>

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.