2 **Two-day conference**
8-9 June 2010, London

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Keeping abreast of developments and addressing the practicalities of compliance

Expert contributions

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Eversheds LLP
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Taylor Wessing LLP
Bird & Bird LLP
Berwin Leighton Paisner LLP
Hammonds LLP
Holman Fenwick Willan LLP
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Burges Salmon LLP
McGrigors LLP
Lawrence Graham LLP
Bevan Brittan LLP
Hunton & Williams
Carey Olsen
Bond Pearce LLP
TLT LLP

A two-day conference designed to help you:

» Review and prepare for outcomes-focused regulation and a new Code of Conduct for 2011
» Examine how the ABS regulatory structure will drive the regulatory model of all law firms
» Keep abreast of anti-money laundering developments including HM Treasury's Review, the Law Society's updated practice note and the case of Shah v HSBC
» Develop a supervisory system to monitor fee earners and minimise mistakes being made
» Assess the risks and maintain compliance with legal process outsourcing arrangements
» Influence and capitalise on future regulatory and compliance change

Researched by: managingpartner

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DAY ONE TUESDAY, 8 JUNE 2010

09:00 Registration and refreshments

09:30 Chair's opening remarks
John Sarginson, Compliance Director, Eversheds LLP

09:40 <u>Freedom in practice - better outcomes for consumers:</u> The Solicitors Regulation Authority on outcomes-focused regulation and a new Code of Conduct for 2011
- Outcomes-focused regulation – what is it?
- Why is it happening?
- When will it happen, and what will it mean for law firms?
- What will change, and what is the new Code of Conduct going to look like?

Stephen Whittle, Board member and Chair of the Standards Committee, Solicitors Regulation Authority

10:20 Preparing for outcomes-focused regulation; the law firm perspective
- What should firms be doing now in response to the SRA initiatives?
- How will outcomes-focused regulation work in practice?
- Looking to 2011 and beyond, what will change and what is likely to remain the same?

Jonathan Kembery, Risk and Compliance Director, Freshfields Bruckhaus Deringer LLP

11:00 Morning coffee break

11:30 Alternative business structures and the Legal Services Act
- Examining how the ABS regulatory structure will drive the regulatory model of all law firms
- Who are the players? Which market areas will they be targeting?
- Examples of firms embracing ABS and setting up vehicles through which to operate in the provision of legal services
- Examining the challenges with setting up an ABS
- What changes or processes should firms be making or putting in place in preparation for ABS?

Iain Miller, Partner & Head of Professional Regulation, Bevan Brittan LLP

12:10 Evolving your compliance measures and risk management strategy
- Responding to challenges facing risk stakeholders including resource limitations, internal communications, expanding external rules and internal expectations
- Securing and aligning new resources for firm risk and compliance teams – understanding the business case and addressing requirements for staff and technology
- Communicating the value and importance of the risk organisation and its efforts across your firm
- Understanding new avenues and approaches for working with industry peers on developing team expertise and acceptable risk response and compliance guidelines

John Sharkey, Director, Risk Management Practice, IntApp

Amasis Saba, Compliance Manager, Berwin Leighton Paisner LLP

12:50 Networking lunch break

13:50 Overdue debts: how they can help firms to view risk management and compliance as profit enhancing activities
- Pinning down who our retainer is with - who exactly is our client here and who is authorised to instruct us?
- Engagement letters must contain everything we need to ensure cost recovery - simply having one may not be enough
- Costs information and the scope of work - the dangers of complacency and engagement creep
- What should be done if doubts arise about credit-worthiness?

Tom Arrowsmith, Head of Risk Management & Compliance, Olswang LLP

14:30 Afternoon coffee break

PANEL DISCUSSION

15:00 Developing a compliance culture that supports the lawyers not hinders them
- Understanding the tension that exists between lawyers and compliance professionals
- Creating a culture where compliance officers can support lawyers in delivering their work
- Training compliance officers to be pragmatic and to recognise the challenges lawyers and clients face
- Determining which information to disseminate to lawyers and training lawyers on compliance

Clare Wilson, Partner, Global Head of Risk Management and Compliance, Herbert Smith LLP

Ottilie Sefton, Risk Management & Compliance Partner, Holman Fenwick Willan LLP

Sarah Mumford, Best Practice Partner, Bevan Brittan LLP

15:40 Supervising and managing partners and senior associates
- The Law Society's practice note on supervision
- Developing a supervisory system to monitor all fee earners and minimise mistakes being made
- Appointing supervisors, providing management skills training and ensuring they have the time, ability and willingness to supervise
- Supervising partners and long standing members of the firm
- The role of auditing in supervision
- Is supervision chargeable? Should the client be billed?

Annette Fritze-Shanks, Head of Professional Standards and Compliance, Taylor Wessing LLP

16:20 Chair's closing remarks

16:30 Close of day one and drinks reception
Sponsored by: INTAPP
Risk Management for Law Firms

DAY TWO WEDNESDAY, 9 JUNE 2010

09:00 Registration and refreshments

09:30 Chair's opening remarks

Bill Richards, Partner, Head of Risk and Compliance, *Lawrence Graham LLP*

09:40 Anti-money laundering compliance for law firms

» An update on HM Treasury's Review of the Money Laundering Regulations 2007 and the Law Society's practice note on anti-money laundering
» Examining the case of Shah v HSBC and what this means for firms
» Applying the regulations and addressing the practicalities concerning privilege, CDD and ongoing monitoring or compliance, beneficial ownership, reliance and proportionality and effectiveness

Charles Proctor, Partner & MLRO, Bird & Bird LLP

10:20 Data protection compliance for law firms

» Key data protection risks for law firms
» Creating an effective data protection strategy
» Providing data protection training firm-wide
» Managing third party data protection risks

Bridget Treacy, Partner, Privacy and Information Management Practice, Hunton & Williams

11:00 Morning coffee break

11:30 Examining HMRC's position on legal privilege, law firm marketing and tax evasion

» What is HMRC's position on law firms highlighting legal privilege in its marketing to potential tax clients?
» What do law firms need to look out for and how should they respond?
» How does this impact on legal professional privilege?
» Tax avoidance vs. tax evasion - the "old chestnut"
» What is "acceptable" tax planning in 2010?

James Bullock, Partner & Head of Risk Advisory Solutions (Litigation and Regulation), McGrigors LLP

12:10 Minimising your firm's exposure to criminal activities such as fraud, bribery, corruption and insider dealing

» An overview of recent case law and legislation on fraud, bribery, corruption and insider dealing
» What changes have occurred?
» What are the things to watch out for and how can you protect your firm from being inadvertently exposed to criminal activity?

Monty Raphael, Special Counsel , Peters & Peters Solicitors LLP

12:50 Networking lunch break

PANEL DISCUSSION

13:50 Assessing the value of quality standards for compliance purposes

» An overview of the various quality standards for compliance purposes
» How relevant and how valuable are they for law firms?
» How will a new Code of Conduct affect quality standards?
» Overcoming the challenges to seeking accreditation

Sue Howard, Quality Manager, Hammonds LLP

Emma Dowden, Director of Best Practice & Operations, Burges Salmon LLP

Nicki Shepherd, Partner & Head of Best Practice and Compliance, Bond Pearce LLP

14:50 Afternoon coffee break

15:20 Assessing the risks and maintaining compliance with legal process outsourcing arrangements

» Identifying, quantifying and managing the risks when outsourcing legal processes
» Could increasing regulation lead to a growth in legal process outsourcing?
» What lessons can be learned from the financial sector experience of business process outsourcing?

Keith Hood, Compliance Director, Carey Olsen

FACILITATED DISCUSSION

16:00 Scanning the horizon for future regulatory and compliance changes

» What should law firms be doing now to manage upcoming risks?
» Maintaining risk registers
» Identifying risks - strategic, operational and disaster

John Verry, Risk Director, TLT LLP

16:40 Chair's closing remarks

16:50 Close of conference

ADVISORY BOARD

This event has been validated and researched with a broad range of compliance and risk professionals from across the legal profession. We are grateful for the ideas they have provided us with for the speakers and the programme content. In particular our special thanks go to the following for their invaluable input:

Martin Webster, Partner, **PINSENT MASONS LLP**
Amasis Saba, Compliance Manager, **BERWIN LEIGHTON PAISNER LLP**
Robert Farrant, Head of Risk Management, **MILLS & REEVE LLP**
Bill Richards, Partner, Head of Risk and Compliance, **LAWRENCE GRAHAM LLP**
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