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Managing Partner Events presents the 8th annual **Risk management for law firms**

Defending your firm against strategic and operational risk



The UK's leading legal risk event

A two-day intensive conference that will give you:

- » A first-hand account of how leading law firms including Taylor Wessing, Freshfields Bruckhaus Deringer and Allen & Overy have tackled the challenges in operating under the new outcomes-focused regulation
- » Clarity from the **SRA, Law Society** and **Legal Ombudsman** as they share their expectations for OFR, ABS and the claim trends for the coming year
- » Tools to benchmark your firm against leading law firms' risk management strategies and ensure you stay out of trouble
- » An understanding of the key changes and trends in claims over the past year and how these will affect your professional indemnity insurance renewal
- » Insights into how other firms will tackle the impending nomination of the COLP
- » Better understanding of professional legal privilege
- » Learning opportunities to avoid the pointed end of regulation, with an overview of high-profile disciplinary matters and rogue partners
- » A forum to consider all risks relating to outsourcing



Essential for Compliance Officers for Legal Practice and others responsible for law firm risk and compliance.
Frank Maher, Partner, Legal Risk LLP and author of Risk and Compliance for Law Firms in a Changed World



Don't miss this unique opportunity to network with your peers and hear expert contributions from:

- » Allen & Overy LLP
- » Ashfords LLP
- » Berwin Leighton Paisner LLP
- » Bird & Bird LLP
- » Clyde & Co LLP
- » Freshfields Bruckhaus Deringer LLP
- » IntApp
- » Law Society
- » Legal Ombudsman
- » Legal Risk LLP
- » Linklaters LLP
- » Mayer Brown International LLP
- » Mills & Reeve LLP
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- » Solicitors Regulation Authority
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09:00 Registration and refreshments

09:30 **Chair's opening remarks**

Frank Maher, Partner, Legal Risk

THE NEW REGULATORY REGIME

09:40 **Keynote: A brave new world – expectations for outcomes-focused regulation**

A view from the Solicitors Regulation Authority

- » Sharing expectations on how we will police and monitor firms in the new regime
- » Information flow – what we will be looking for and how we aim to use this information
- » Overview of parameters and indicative behaviours
- » Relationship management – how it has worked so far

Samantha Barrass, Executive Director – Supervision, Risk and Standards, Solicitors Regulation Authority

10:20 **Keynote: Organising your firm to meet the challenges of the outcomes-focused regulation regime**

- » Handbook: Principles, code and rules
- » Ethics, governance, policies, systems, controls, monitoring and reporting
- » Resources: People, relationships, systems and awareness training
- » Strategy, risk register, gap analysis and compliance plan
- » Management, compliance, audit and demonstrating compliance
- » Culture: Command and control v. individual professional responsibility
- » Enterprise risk management and integration into overall management
- » Claims, complaints, PI, quality assurance and client satisfaction
- » International practice

Roger Butterworth, General Counsel & Risk Partner and David Whitney, Senior Risk & Compliance Manager, Bird & Bird

10:55 Morning coffee break

11:25 **Keynote: Alternative business structures and the future impact on the profession**

- » Overview of the current market and investment opportunities
- » Making your firm attractive to external investors
- » ABS under outcomes-focused regulation – examining potential challenges and opportunities
- » Indemnity insurance – will your new business be covered?

Des Hudson, Chief Executive, Law Society

12:00 **Joint question time**

Your opportunity to pose your key questions and concerns to the SRA and Law Society and hear opinions from both sides

- *Samantha Barrass, Executive Director – Supervision, Risk and Standards, Solicitors Regulation Authority*
- *Des Hudson, Chief Executive, Law Society*

12:20 **Pre-lunch address**

Kaye Sycamore, Managing Director, UK, IntApp

12:30 Networking lunch break

13:30 **Professional indemnity insurance: Trends, expectations and the impact of outcomes-focused regulation**

- » Key trends in claims and underwriting
- » What will insurers be looking for at renewal time?
- » Impacts on pricing
- » Will your COLP be covered?

- » Will costs of regulatory investigations be covered?
- » Trends in renewal and dealing with firms who are not covered

Colin Taylor, Director/Head of Risk Management, Prime Professions

MONEY LAUNDERING AND CLIENT DUE DILIGENCE

14:10 **Money laundering compliance: An update**

Recent developments in the case law, including:

- » *R v. Akhtar* – importance of a predicate offence and implications for reporting
- » *Shah v. HSBC* – recording reasons for suspicion and defensive reporting
- » Environmental law offences and reporting obligations
- » Developments in AML typologies – litigation

Andrew Cheung, Director of Compliance, SNR Denton

14:45 **Essential client intake procedures to safe guard your firm's cash flow**

- » Performing due diligence on potential clients to ensure you assess all risks
- » Understanding a client's financial position/solvency and ability to pay bills
- » Understanding potential commercial conflicts

George Wilkinson, Partner, Ashfords

15:25 Afternoon coffee break

EXPERIENCES SO FAR AND LOOKING AHEAD

15:55 **Conflicts and claims: Monitoring the business to spot signs of trouble in the new regime**

- » ABSs – guarding against the conflicts that may rise between new owners, investors, stakeholders and clients
- » Critical risk factors to consider under OFR
- » What might the courts make of OFR and the Handbook?
- » The relevance of the Handbook and OFR in the context of civil claims against law firms

William Glassey, Partner, Insurance & Reinsurance Group, Mayer Brown International

16:35 **Exploring the regulation of international law firms**

- » How will the SRA aim to address these concerns?
- » Key factors for consideration
- » Opportunity to discuss your concerns

Alison Hook, International Advisor, Solicitors Regulation Authority

16:55 **Outcomes-focused regulation: Experiences so far**

Panel and table discussion

- » The first two months – what we have found
- » Implementing change in practice and imbedding a culture of risk awareness
- » Regulation of international offices
- » Moving forward – anticipated risks and challenges

Panel Chair: Heather McCallum, Partner – Head of Risk & Compliance, Allen & Overy

Panellists include:

- *Frank Maher, Partner, Legal Risk*
- *Annette Fritze-Shanks, Head of Risk Management, Taylor Wessing*
- *Sonya Foulds, Regulatory Compliance Manager, Freshfields Bruckhaus Deringer*

17:35 **Chair's closing remarks**

17:40 Close of day one and drinks reception sponsored by IntApp

INTXAPP
Risk Management for Law Firms

09:00 Registration and refreshments

09:30 Chair's opening remarks

Frank Maher, Partner, **Legal Risk**

COMPLAINT MANAGEMENT AND DISCIPLINARY ACTIONS

09:35 Keynote: Complaint management: LeO, processes and procedures

- » Overview of the Legal Ombudsman's year to date
- » Trends in claims to be aware of
- » Advice on procedures, processes and what constitutes a claim
- » Exploring the relationship between the Legal Ombudsman and the SRA

Adam Sampson, Chief Ombudsman, **Legal Ombudsman**

10:10 The pointed end of regulation: Investigation and enforcement

- » Who will be held accountable? Risks for the entity, Managing Partner or team leaders
- » Managing the investigation: Tactics and scenarios
- » Fines, costs recovery and the SRA's new powers
- » Predicting trends in enforcement activity

Graham Reid, Legal Director – Professional Regulation, **Reynolds Porter Chamberlain**

10:45 Morning coffee break

11:15 Dealing with fraud and dishonesty

- » Critical monitoring and essential management process
- » Identifying rogue partners or staff – an essential action plan
- » Cultivating a culture of whistle blowing within the law firm
- » Reputation management

Andrew Horrocks, Partner and Richard Harrison, Partner, **Clyde & Co**

BUSINESS CONTINUITY, INFORMATION SECURITY AND OUTSOURCING ARRANGEMENTS

11:55 Business continuity: Planning for the Olympics and other threats to business as usual

- » The London Olympics – not just a City firm concern
- » Understanding the potential impact on your business and staff resources
- » Defining a manageable action plan to reduce risks
- » Evaluating day-to-day challenges and preparing accordingly
- » Economic and physical threats – planning for the unthinkable

Nick Brook, Head of Facilities Management, **Mills & Reeve**

12:30 Networking lunch break

13:30 Information security and data protection

- » Are you and your firm sufficiently protected?
- » Data protection and privacy – critical overview to safeguard client information
- » The impact of technology and mobile devices – breaches in security
- » Phone taps, cybercrime and spyware, are they a real risk?

Dyann Heward-Mills, Senior Risk Lawyer (Privacy and Communications), **Linklaters**

14:10 Managing risk in outsourcing arrangements under the SRA

- » Why outsource?
- » The risks to you and to your client
- » Dealing with an outsource provider and due diligence
- » What are you outsourcing? Is it a reserved activity?
- » Backroom services, legal services, what is the difference?

- » Why is the SRA so interested in outsourcing arrangements?
- » Monitoring quality and compliance of the outsourced services

John Verry, Risk Director, **TLT Solicitors**

14:50 Afternoon coffee break

LEGAL PROFESSIONAL PRIVILEGE

15:20 Exploring the boundaries of legal professional privilege

- » Ensuring you understand the legal restrictions
- » How far can legal professional privilege go?
- » Problem areas
- » Case studies: When it goes wrong and why

Patrick Boylan, Partner, **Simmons & Simmons**

APPOINTING THE COLP

16:00 Panel: The role of the COLP – who will be stepping up to the plate in your firm?

- » What approach and rationale is behind your firm's appointment of the COLP?
- » Dealing with the conflict between loyalty to the firm and reporting to the SRA
- » What do COLPs view as a "material breach" which they would report to the SRA?
- » Understanding the nature, obligations and responsibilities of the COLP
- » Expectations on the practical workings of this role

Panellists include:

- Roger Butterworth, General Counsel & Risk Partner, **Bird & Bird**
- David Whitney, Senior Risk & Compliance Manager, **Bird & Bird**
- Philippa Hayes, Director of Risk and Compliance, **Robin Simon**
- Nicole Bigby, Head of Risk, **Berwin Leighton Paisner**

16:40 Chair's closing remarks

16:50 Close of conference

CPD information

Attendance at this conference qualifies for **11 hours 30 minutes** of **SRA CPD** (at intermediate/advanced level). To claim your hours, quote provider code: **ANS/ARCO**.

Who should attend?

Anyone responsible for strategic or operational risk management within their law firms, including Risk/Compliance partners, Heads of Risk/Compliance, Risk/Compliance managers, Heads of Professional Practice/Legal Practice, Business Continuity managers, Chief Executives and Managing Partners.

Delegate feedback from last year's event

“ **Highly informative and relevant.** ”
Brendan Pang, The Stokes Partnership

“ **Sound practical advice and guidance on how to identify and manage risk.** ”

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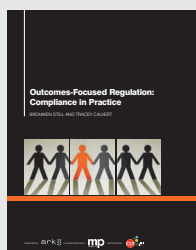
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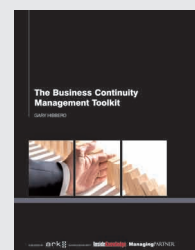
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