New Peer-level compliance learning and networking from Managing Partner

14 May 2015
Compliance Managers’ Symposium
Practical skills, knowledge, and techniques to ensure everybody complies

Key topics:
• Embedding a compliance culture
• Planning and monitoring compliance training
• Building and managing careers in compliance
• Regulatory updates: AML and consumer credit

“I am very much looking forward to being involved in this exciting conference. The unique aspect of this conference is the recognition of different interest groups within a firm, as Day One targets those issues of strategic importance and risk management for senior management, and Day Two focuses on system requirements for compliance managers”

Rachel Khiara, Partner, Khiara Law
Wednesday 13 May – Senior Risk and Compliance Forum

09.00 Registration and refreshments

09.30 Chairperson’s opening remarks
Rachel Khiara, Partner, Khiara Law

REGULATORY RISKS
09.40 Regulatory risks and the economic picture for legal services businesses in 2015
Tim Livesley will outline the key risks to the SRA’s regulatory objectives and provide an economic background to these. He will facilitate a short discussion on what participants consider to be the biggest risks to legal services businesses and share feedback with the forum on the similarities and differences between these and the SRA’s regulatory risks.
Tim Livesley, Chief Economist, Solicitors Regulation Authority

INFLUENCING SENIOR MANAGEMENT
10.30 Getting your board to take risk and compliance seriously
• Speaking to your board in the language they use
• Understanding the different roles in the boardroom
• Focusing your attention on the right people
• How to get a seat on the board, if you don’t already have one
Helen Pitcher, Chairman, Advanced Boardroom Excellence

11.10 Morning coffee break

11.40 PANEL DISCUSSION
Learning from experience: The relationship between the risk function and the board
• Different structures used by different firms
• Floor discussion: What are law firm boards interested in?
• How to gain access and build relationships
• Communicating at the right level - materiality
• Hints and tips for getting your message across
• Winning the resources you need
Panel moderator:
Helen Pitcher, Chairman, Advanced Boardroom Excellence

Chris Perrin, General Counsel, Clifford Chance
Nicole Bigby, Director of Risk, Berwin Leighton Paisner
Andrew Cheung, General Counsel – UKMEA, Dentons UKMEA

12.00 PANEL
ABSs, compliance, and lessons learned
This panel will explore the challenges that non-lawyers and new entrants to the market have faced when dealing with the SRA, to draw out lessons for both alternative business structures and traditional law firms.
Panel Moderator:
Rachel Khiara, Partner, Khiara Law
Howard Sharkett, Deputy COLP, KPMG
Debbie Farman, Director of Legal Practice, Jordans Corporate Law Limited
Simon Goldson, COLP, The Co-operative Legal Services

12.30 Ensuring compliance within online training
Managing the dissemination of compliance and corporate ethics messages is a crucial activity for every law firm. However, how do you ensure that training has been completed by the correct individuals, within the right timescales and that secure records are kept for potential future reference? John Owen will demonstrate how new technology solutions are solving these problems.
John Owen, Director, Original Business Solutions

12.50 Networking lunch break

CONFLICTS
13.50 CURRENT RESEARCH
The deregulation debate and conflicts of interest
• Deregulation so far: Developing outcomes focused regulation (OFR)
• Regulating conflicts of interest in large law firms
• Is OFR an appropriate and proportionate mechanism?
• Challenges posed by cross-border transactions
• Floor discussion: Practical suggestions for improvement
Michael Webster, Solicitor (practising) and ESRC-funded Doctoral Researcher, University of Warwick

INTERNATIONAL COMPLIANCE
14.30 SCENARIO-BASED WORKSHOP
If it happens in Vegas, does it stay in Vegas?
Through the use of case studies covering issues such as conflicts of interest, money laundering, and sanctions, Julia Adams, a Senior Compliance Lawyer at Slaughter and May, will explore how authorised bodies should address situations where their overseas practices appear to commit breaches of our domestic rules.
Julia Adams, Senior Compliance Lawyer, Slaughter and May

15.10 Afternoon coffee break

EMERGING RISKS
15.40 SCENARIO-BASED WORKSHOP
Protecting your firm, and your clients’ monies, from scams
• Explaining the types of scams that have recently been experienced at Addleshaw Goddard
• How the firm responded to protect its clients
• Floor discussion: Scams that have been experienced by participants, steps that firms have put in place to combat the criminals
Peter Hardy, COLP, Addleshaw Goddard

16.10 INTERVIEW FORMAT
Managing third-party risk
Managing third-party compliance risk is, without question, a ‘top five’ challenge for compliance officers and has certainly become a high-profile issue around the globe. Critically, law firms act both as third-parties to their clients, and have their own third-party contractors, and all of these relationships will require demonstrably effective risk management
• Understanding the risks and what can go wrong
• What your clients expect
• Taking a risk-based approach to third-party risk management
• Third-party management tools and techniques
• When to investigate and take action

Interviewer:
Rachel Khiara, Partner, Khiara Law

Speaker:
Keith Read, Former Group Compliance, Ethics and Risk Director, BT and European Knowledge Director, LRN.

16.50 Chairperson’s closing remarks

17.00 Close of conference
Thursday 14 May – Compliance Managers’ Symposium

09.00 Registration and refreshments

09.30 Chairperson’s opening remarks
Alison Matthew, Director, Alison Matthews Consulting

ESSENTIAL SKILLS

09.40 The legal compliance manager of the future
• Your mission for today
Tracey Calvert, Associate, The Law Society, Director, Oakalls Consultancy

09.50 WORKSHOP
Becoming indispensable
This short workshop will cover
• Saying ‘no’ but retaining credibility
• Getting to ‘yes’
• Barriers and challenges
Sarah Mumford, Interim Director of Risk, Addleshaw Goddard, Independent Consultant

10.50 Networking coffee break

CULTURE

11.20 Embedding a compliance culture
• Working with the business
• Adapting to your audience
• Developing commercial awareness
• Why attitude is as important as knowledge
• Winning respect, winning support
Alison Matthews, Director, Alison Matthews Consulting

11.50 Compliance: ‘The business prevention department’?
• The compliance challenge
• Rules, values, culture, and ethics: Ethical ‘fade’ and dilemmas
• Turning compliance ‘push’ into colleague ‘pull’
• Compliance: The fastest growing career?
Keith Read, Former Group Compliance, Ethics and Risk Director, BT and European Knowledge Director, LRN.

UPDATING YOUR KNOWLEDGE

12.10 Keeping ahead of the game in compliance: Best practice techniques
• How do I cope with the need to know so much?
• Where can I find the resources I need?
• How do I develop my own compliance resources?
• Beyond compliance updates: Looking to the future and anticipating business risks
Ottline Sefton, Global Risk & Compliance Partner and COLP, Holman Fenwick Willan

12.40 Networking lunch break

13.40 Anti-money laundering update: Everything you need to know in May 2015
This session will be kept flexible to ensure that it is as up-to-date as is possible. Anticipated developments for Spring 2015, which are likely to be covered, include:
• The European 4th Directive
• Written risk-based assessments
• Findings from the SRA’s thematic review
• Guidance from HM Treasury
• International sanctions regimes

Floor discussion: Benchmarking current AML practices in law firms, sharing experiences of SRA visits: Tracey Calvert, Director, Oakalls Consultancy

14.00 Legal businesses and the consumer credit regulatory regime
• Activities undertaken by law firms that may comprise regulated consumer credit activity
• Whether or not law firms need to be authorised and regulated under the Financial Services and Markets Act 2000 for consumer credit activity
• Authorisation and exemption options available to law firms undertaking regulated consumer credit activity
• The approach of the SRA to consumer credit regulation and latest developments
Questions and floor discussion: How are legal businesses approaching the application process, for Financial Conduct Authority authorisation?
Lucy Walker, Barrister, Guildhall Chambers

14.50 Afternoon coffee break

TRAINING FEE-EARNERS

15.20 Planning and monitoring education and training for compliance
Education is no longer the sole preserve of legal educators. It is a live compliance issue for COLPs, as they plan and evaluate training plans as an element of regulatory compliance. In addition to mapping and monitoring training for the firm, how can we ensure that training in compliance remains relevant and effective? This session will address the following issues:
• Understanding different learning styles
• Enhancing techniques to monitor and evaluate the effectiveness of training and education programmes, as part of the compliance plan
• Choosing your delivery channel: Face to face versus online
Jane Jarman, Reader, Nottingham Law School

16.00 PANEL DISCUSSION: Building and managing careers in compliance
• Understanding the different career paths you could follow
• Matching career options with your skillset
• Widening your focus from compliance to risk
• What you can learn from senior colleagues
• Career progression within compliance teams
Panel Moderator: Amasis Saba, Compliance Manager and Deputy MLRO, Berwin Leighton Paisner
Omar H. Choudhury, Risk and Compliance Senior Manager, Ropes and Gray
Lee Edwards, Compliance Manager, Davis Polk
Carolyn Knott, Compliance Manager, CMS Cameron McKenna LLP
Gavin Hadfield, Deputy COLP, Holman Fenwick Willan

16:40 Chairperson’s closing remarks

16:50 Close of conference
# Booking Form

**BOOKING CONTACT DETAILS**

Name: ___________________________  Job title: ___________________________  Organisation: ___________________________

Address: __________________________________________________________  Postcode: ___________________________

Phone: ___________________________  Email: ___________________________

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**DELEGATE DETAILS**

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**DELEGATE FEES**

**One day: £745 + VAT**  
Two day: £1245 + VAT

Send a different colleague to each day

**SPECIAL OFFER**

- Book one place at the Senior Risk and Compliance Forum and "two" places at the Compliance Managers’ Symposium for just £1295 (£432 each place). Offer must be booked before 6 March

**OTHER EARLYBIRD SAVINGS.**

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- Book before 23 April and receive 10% off, making each place on either day £670 + VAT for 1 day or £1120 + VAT for both

Please sign us up to attend these conferences as indicated above. I understand that I will be charged in accordance with the prices listed.

Signature: ___________________________

I have read, understand and agree to the booking conditions

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