



## Compliance Officers conference

Updated 3 December 2020

Our popular Conference Officers conference was virtual this year. The conference offered a mix of presentations giving compliance officers up-to-date information on key topics:

- Covid-19 and the legal landscape
- Cybercrime
- Money laundering
- Accounts Rules and dubious investment schemes
- Innovation and technology
- Common compliance issues
- The SQE and what it means for law firms

[Open all \[#\]](#)

### **Welcome to our 2020 Compliance Officers conference**

Thank you for joining us at our 8th annual Compliance Officers Conference.

Although we can't meet face-to-face this year, we have put together a programme of online events throughout the week. I am delighted to see so many of you have registered.

It has of course been a challenging year for everyone and we have been listening to your experiences and concerns. Our Covid-19 resources and adjustments have been well received and you can find lots of helpful material in the conference sessions. With continued uncertainty about the pandemic, please do keep on letting us have your views.

We are also looking at key issues, including anti-money laundering, lawtech, cybercrime, and publishing information about your services. In this first year of our new Corporate Strategy, I am particularly looking forward to the session on Thursday when you will have the opportunity to put questions to me and our Chief Executive, Paul Philip.

I hope you find it an interesting and useful conference week.

**Anna Bradley, SRA Chair**

### **Anti-money laundering - what you need to know**

Gain insight into the current anti-money laundering landscape, including:

- what we've found from law firm visits
- common problem areas for firms
- Legal Sector Affinity Group guidance
- sectoral risk assessment
- upcoming 6<sup>th</sup> money laundering directive
- next steps for Suspicious Activity Reports (SARs).

You can also hear key insights from external agencies.





**Benedict Fisher**, Head of External Communications, SRA | **Colette Best**, Director of Anti-money Laundering, SRA | **Mark Boyle**, Policy Lead, Anti-money Laundering, SRA | **Helena Wood**, Royal United Services Institute for Defence and Security Studies | **Tony Fitzpatrick**, NCA Royal United Services Institute | **Yunis Martin-Hussain**, National Crime Agency

[Give us your feedback about this session](https://form.sra.org.uk/s3/Compliance-AML) [https://form.sra.org.uk/s3/Compliance-AML]

[Download slides as PPT \(PPT 39 pages, 5.8MB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---what-you-need-to-know.pptx?version=4ad10b)

[https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---what-you-need-to-know.pptx?version=4ad10b]

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[https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---what-you-need-to-know.pdf]

## Resources

[Anti-money laundering guidance](https://media.sra.org.uk/solicitors/resources-archived/money-laundering/) [https://media.sra.org.uk/solicitors/resources-archived/money-laundering/]

[SRAs guidance \(National Crime Agency\)](https://www.nationalcrimeagency.gov.uk/what-we-do/crime-threats/money-laundering-and-illicit-finance/suspicious-activity-reports) [https://www.nationalcrimeagency.gov.uk/what-we-do/crime-threats/money-laundering-and-illicit-finance/suspicious-activity-reports]

## The SQE and what it means for your firm

With less than a year to introduction, get practical information on the new Solicitors Qualifying Examination and how qualifying as a solicitor is changing.

Learn what the new assessment means for your business, including opportunities to recruit new talent, take on legal apprentices, and the practicalities around the new more flexible approach to qualifying work experience.





**Benedict Fisher**, Head of External Communications, SRA | **Julie Brannan**, Director of Education and Training, SRA | **Michelle Tunney**, Apprenticeship Manager, BCLP | **Hannah Worsfold**, , HR Manager – Trainees and Apprentices, Kennedys Law | **Hadiyah Bint-Asam**, Bryan Cave Leighton Paisner LLP

[Give us your feedback about this session \[https://form.sra.org.uk/s3/Compliance-SQE\]](https://form.sra.org.uk/s3/Compliance-SQE)

[Download slides as PPT \(PPT 5 pages, 433KB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/the-sqe-and-what-it-means-for-your-firm.pptx)

[<https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/the-sqe-and-what-it-means-for-your-firm.pptx>]

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[<https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/the-sqe-and-what-it-means-for-your-firm.pdf>]

## Resources

[SQE \[https://media.sra.org.uk/become-solicitor/sqe/\]](https://media.sra.org.uk/become-solicitor/sqe/)

[Qualifying work experience \[https://media.sra.org.uk/become-solicitor/sqe/qualifying-work-experience-candidates/\]](https://media.sra.org.uk/become-solicitor/sqe/qualifying-work-experience-candidates/)

[SQE Update bulletin \[https://media.sra.org.uk/sra/news/sqe-update/\]](https://media.sra.org.uk/sra/news/sqe-update/)

## **Innovation and technology - how can technology help firms spot risks and comply with regulatory obligations**

We are committed to supporting the development and responsible adoption of legal technology that can lead to greater efficiency and new services delivered in new ways to the benefit of consumers and law firms.

In this session we will discuss:

- insights on the opportunities and risks around technology in legal services
- the impact of Covid-19 and home working on law firms adopting digital and automated solutions to replace manual compliance processes
- how the SRA can support innovation, including potentially by developing SRA Innovate.





**Tracy Vegro**, Executive Director, Strategy and Innovation, SRA | **April Brousseau**, Global Lead, Create & Innovation, Clifford Chance | **Shak Ashraf**, Managing Director, Forte Markets | **Amy Bell**, Managing Director, Teal Compliance and Teal Legal | **Tahlia Woollatt**, Partner, Parkinson Woollatt

[Give us your feedback about this session \[https://form.sra.org.uk/s3/Compliance-innovation\]](https://form.sra.org.uk/s3/Compliance-innovation)

## **Resources**

[SRA Innovate \[https://media.sra.org.uk/solicitors/resources-archived/sra-innovate/\]](https://media.sra.org.uk/solicitors/resources-archived/sra-innovate/)

[The Legal Access Challenge – conclusion and next steps \[https://media.sra.org.uk/sra/how-we-work/archive/reports/legal-access-challenge/\]](https://media.sra.org.uk/sra/how-we-work/archive/reports/legal-access-challenge/)

## **Accounts Rules - one year on from implementation**

Our Accounts Rules focus on what matters - keeping client money safe, while giving you more flexibility where appropriate.

One year on from implementation of our new rules, this session will look at how things have gone and common issues we have seen. You will have the opportunity to get your accounts rules questions answered.

The session will also cover the particular risks around dubious investment schemes.







**Liz Rosser**, Executive Director of Resources, SRA, (Chair) | **Sean Hankin**, Head of Forensic Investigation and Intelligence, SRA | **Jatinderpal Loyal**, Policy Associate, SRA

[Give us your feedback about this session \[https://form.sra.org.uk/s3/Compliance-accountsrules\]](https://form.sra.org.uk/s3/Compliance-accountsrules)

## **Resources**

[Prescribed circumstances in which client money can be withdrawn \[https://media.sra.org.uk/solicitors/standards-regulations/withdraw-client-money/\]](https://media.sra.org.uk/solicitors/standards-regulations/withdraw-client-money/)

[Law firms operating a client's own account \[https://media.sra.org.uk/solicitors/guidance/clients-own-account/\]](https://media.sra.org.uk/solicitors/guidance/clients-own-account/)

[Law firms taking money for their costs \[https://media.sra.org.uk/solicitors/guidance/taking-money-for-your-firms-costs/\]](https://media.sra.org.uk/solicitors/guidance/taking-money-for-your-firms-costs/)

## **Anti-money laundering - practical tips for managing AML risks**

Learn what law firms need to do to help keep the proceeds of crime out of legal services.

With a focus on practical examples from the everyday issues law firms face, this session will offer support to make sure you are doing the right things to keep your firm and the public safe.

You will also hear about the types of issues - and good practice - the SRA has seen from its recent round of visits to review AML practice within law firms.



**Benedict Fisher**, Head of External Communications, SRA | **Colette Best**, Director of Anti-money Laundering, SRA | **Zoe Allen-Robinson**, AML Proactive Supervision Manager, Anti-money Laundering, SRA | **Amasis Saba**, Chair, Law Society AML Taskforce | **Amasis Saba**, Chair, Law Society AML | **Suzie Ogilvie**, Global Head of Financial Crime and Sanctions, Freshfields Bruckhaus Deringer LLP

[Give us your feedback about this session \[https://form.sra.org.uk/s3/Compliance-AMLRisks\]](https://form.sra.org.uk/s3/Compliance-AMLRisks)

[Download slides as PPT \(PPT 17 pages, 282KB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---practical-tips-for-managing-aml-risks-.pptx)  
[https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---practical-tips-for-managing-aml-risks-.pptx]

[Download slides as PDF \(PDF 17 pages, 229KB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---practical-tips-for-managing-aml-risks-.pdf)  
[https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/anti-money-laundering---practical-tips-for-managing-aml-risks-.pdf]

## Resources

[Anti-money laundering tips and advice \[https://media.sra.org.uk/home/hot-topics/cybercrime/\]](https://media.sra.org.uk/home/hot-topics/cybercrime/)

[Anti-money laundering guidance \[https://media.sra.org.uk/solicitors/resources-archived/money-laundering/\]](https://media.sra.org.uk/solicitors/resources-archived/money-laundering/)

## **Your compliance queries**

Get the answers to your compliance queries. This session will cover some of the most common topics for compliance queries.

Vote for what you want covered - whether its when to report misconduct, planning for succession or what adequate and appropriate insurance means.



**Benedict Fisher**, Head of External Communications, SRA | **Juliet Oliver**, General Counsel, SRA | **Justine Allen**, Ethics Team Manager, SRA | **Jatinderpal Loyal**, Policy Associate, SRA

[Give us your feedback about this session \[https://form.sra.org.uk/s3/Compliance-queries\]](https://form.sra.org.uk/s3/Compliance-queries).

## **Resources**

[Guidance \[https://media.sra.org.uk/solicitors/guidance/\]](https://media.sra.org.uk/solicitors/guidance/)

[Professional indemnity insurance \[https://media.sra.org.uk/solicitors/resources-archived/indemnity/\]](https://media.sra.org.uk/solicitors/resources-archived/indemnity/)

[Succession planning and closing down \[https://media.sra.org.uk/solicitors/guidance/closing-down-your-practice/\]](https://media.sra.org.uk/solicitors/guidance/closing-down-your-practice/)

[SRA enforcement strategy \[https://media.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/\]](https://media.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/)

## **Keynote: A conversation with our Chair and Chief Executive**

Hear our Chair and Chief Executive's views on where the legal sector currently is and where our focus is as a regulator - both in the coming months and over the long term.

This session will offer you the opportunity to ask Paul and Anna your questions about the big issues facing the legal sector and our approach to regulation.



**Anna Bradley**, Board Chair | **Paul Philip**, Chief Executive, SRA

[Give us your feedback about this session \[https://form.sra.org.uk/s3/Compliance-keynote\]](https://form.sra.org.uk/s3/Compliance-keynote)

## **Resources**

[Business plan \[https://media.sra.org.uk/sra/corporate-strategy/business-plans/business-plan/archive/business-plan-2020-2021/\]](https://media.sra.org.uk/sra/corporate-strategy/business-plans/business-plan/archive/business-plan-2020-2021/)

[News from the Board \[https://media.sra.org.uk/sra/how-we-work/our-board/news-from-the-board/\]](https://media.sra.org.uk/sra/how-we-work/our-board/news-from-the-board/)

## **Cybercrime, Covid-19 and homeworking and increased risk**

This session will offer the opportunity to hear about cyber security best practice at a time when Covid-19 and homeworking increases the risk.

You can learn what we found in our recent review into law firms who have been victims of cybercrime and common pitfalls you should avoid.







**Robert Loughlin**, Executive Director, Operations and Performance, SRA (Chair) | **Rachel Clements**, Regulatory Manager, SRA | **Karen J**, National Cyber Security Centre | **David Bish**, Head of Research and Analysis, SRA

[Give us your feedback about this session](https://form.sra.org.uk/s3/Compliance-cybercrime) [<https://form.sra.org.uk/s3/Compliance-cybercrime>]

[Download slides as PPT \(PPT 34 pages, 18.2MB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/cybercrime--covid-19-homeworking-and-changing-risks.pptx)

[<https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/cybercrime--covid-19-homeworking-and-changing-risks.pptx>]

[Download slides as PDF \(PDF 34 pages, 2.5MB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/cybercrime--covid-19-homeworking-and-changing-risks.pdf)

[<https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/cybercrime--covid-19-homeworking-and-changing-risks.pdf>]

## Resources

[Cybercrime thematic review](https://media.sra.org.uk/sra/how-we-work/archive/reports/cyber-security/) [<https://media.sra.org.uk/sra/how-we-work/archive/reports/cyber-security/>]

[Cybercrime tips and advice](https://media.sra.org.uk/solicitors/resources-archived/cybercrime/) [<https://media.sra.org.uk/solicitors/resources-archived/cybercrime/>]

[NCSC legal sector report](https://www.ncsc.gov.uk/report/cyber-threat-report-uk-legal-sector) [<https://www.ncsc.gov.uk/report/cyber-threat-report-uk-legal-sector>]

[NCSC tips for staff](https://www.ncsc.gov.uk/blog-post/ncsc-cyber-security-training-for-staff-now-available/?referrer=legal) [<https://www.ncsc.gov.uk/blog-post/ncsc-cyber-security-training-for-staff-now-available/?referrer=legal>]

[NCSC exercise in a box](https://www.ncsc.gov.uk/section/exercise-in-a-box/overview) [<https://www.ncsc.gov.uk/section/exercise-in-a-box/overview>]

## **Better information for customers**

Better information not only helps the public and small businesses, but also provides opportunities for firms to promote their individual offer.

Find out what our one-year review of the impact of our transparency rules has found. How have consumers responded? What has it meant for law firms? And are there common areas where some firms fall short?





**Jane Malcolm**, Executive Director, External and Corporate Affairs, SRA (Chair)  
| **Chris Handford**, Director of Regulatory Policy, SRA | **Natalie Darby**, Policy  
Manager, Regulatory Policy, SRA | **Paul O'Hara**, Regulatory Manager,  
Thematic Risk, SRA | **Arvinder Dhaliwal**, Research Officer, Research and  
Analysis, SRA

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[<https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/better-information-for-customers.pptx?version=4ade0c>]

[Download slides as PDF \(PDF 13 pages, 207KB\)](https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/better-information-for-customers.pdf?version=4ade0c)

[<https://media.sra.org.uk/globalassets/sra/news/events/on-demand/colp-cofa/better-information-for-customers.pdf?version=4ade0c>]

## Resources

[Transparency rules guidance](https://media.sra.org.uk/solicitors/resources-archived/transparency/) [<https://media.sra.org.uk/solicitors/resources-archived/transparency/>]