

SRA KEY AREAS OF FOCUS 2021
HOW TO COMPLY & AVOID ENFORCEMENT ACTION
Live Webinar
Thursday, 4th November, 2021

Speaker: Tracy Thompson, Lead Assessor for CQS

Time: 11am – 12pm; Fee: £30 + VAT (£36) members; £40 + VAT (£48) non members

The SRA is currently actively reviewing firms compliance with the legislative requirements of the Money Laundering Regulations (2017) and SRA Transparency Rules and have openly stated that they expect to see evidence of full compliance when conducting their review. Recent reporting has evidenced that they will take, and indeed have taken, enforcement action against those firms who cannot demonstrate compliance.

This short webinar aims to provide practical guidance to assist firms in understand how to comply with obligations and will cover;

- SRA Transparency requirements – key requirements and considerations.
- Money Laundering Regulations (2017) Regulation 18 Firmwide Risk Assessment – key requirements and considerations.
- What does a compliant Regulation 18 Risk Assessment look like?
- SRA AML practice visits – what to expect.

Tracy Thompson was appointed as Lead CQS Assessor in 2019. Tracy is a property lawyer who has spent over two decades in the legal profession, most recently as managing partner of a Merseyside multi-disciplinary practice. She is very hands on in her approach to management and has a unique perspective of the many challenges facing law firms. Tracy possesses a diverse mix of skills and is highly experienced in operational management and business strategy. Tracy is passionate about managing risk in practice and the benefits Lexcel can bring to a practice and it is this passion which saw her appointed to the Law Society Lexcel Panel in 2013. She is a Law Society accredited Lexcel Consultant and a Lexcel Assessor for both the England & Wales standard, and the International Standard.

Sussex Law Society Application Form 'SRA Areas of Focus 2021 – How to comply & avoid enforcement action' webinar (04/11/21)

Return to: Mrs J Lacy Scott, The Old Stores, Mill Street, Falmer, BN1 9PE. Tel/Fax: 01273 674420

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