



COMPLIANCE COURSES 2009

BUILDING FUTURES



RULE 5 COMPLIANCE: RISK MANAGEMENT

This course counts towards the training requirements of the SRA for Management Course Stage 2 and Rule 5 for solicitors wishing to be “qualified to supervise.”

Essential details

Half day course - am.

3 CPD hours.

Trainer: Adèle Warchester.

Course fees per delegate:

KH member	£165 + VAT
non-member	£275 + VAT

Course fee includes refreshments and materials.

For details on becoming a KH member, please contact us on 029 2045 1000.

Why you should attend this seminar

The Solicitors' Code of Conduct has made risk management mandatory for every solicitors' practice. Is your firm doing enough? This seminar will focus on the management of operational risk and will offer practical advice and guidance on the tools needed to measure your risk and on implementing a risk management strategy. The presenter will share in an interactive way her personal experiences of implementing risk measures, explain the methods she used and benefits gained.

Who should attend

- Solicitors
- Complaints Managers
- Partners
- Heads of legal

Key benefits

By attending this seminar you will learn how to protect your firm from a breach of the Solicitor's Code of Conduct. Find out how to avoid serious risk and compliance problems.

Programme includes

- An overview of the Solicitors' Code of Conduct
- The Code's requirements on business and risk management
- Implementing a risk management strategy
- Creating a “risk culture”
- Risk management in practice
- Methods to evaluate operational risk
- Evidence needed to ensure compliance
- The benefits of risk management

Locations & dates

London	14 January 2009
Manchester	11 February 2009
Birmingham	11 March 2009

For further information, please call 029 2045 1000 or visit www.altior.co.uk

RULE 2 COMPLIANCE: COMPLAINTS HANDLING

This course counts towards the training requirements of the SRA for Management Course Stage 2 and Rule 5 for solicitors wishing to be “qualified to supervise.”

Essential details

Half day course - pm.

3 CPD hours.

Trainer: Adèle Warchester.

Course fees per delegate:

KH member	£165 + VAT
non-member	£275 + VAT

Course fee includes refreshments and materials.

For details on becoming a KH member, please contact us on 029 2045 1000.

Why you should attend this seminar

Complaints can have an adverse impact on your business. They often take up valuable fee earner time and can be expensive and difficult to resolve. Negative comments and poor publicity can also be costly to your firm's reputation. Solicitors have a professional obligation to deal with complaints effectively pursuant to Rule 2 of the Solicitor's Code of Conduct. By doing so, they should be able to minimise the cost and negative effects of complaints to the practice. Effective complaints handling is an integral part of your firm's risk management processes.

Who should attend

- Solicitors
- Complaints Managers
- Partners
- Heads of legal
- Compliance Officers/Heads of Compliance

Key benefits

By attending this seminar you will learn how to protect your firm from a breach of the Solicitor's Code of Conduct. Delegates will be better able to avoid complaints and avoid negligence complaints against their firm.

Programme includes

- Regulatory background to complaints handling.
- Why bother?
- Complaints avoidance.
- Principles of complaint management.
- The framework.
- Firm's policies and procedures.
- Monitoring and continual improvement.
- Writing it right.
- How not to do it!

Locations & dates

London	14 January 2009
Manchester	11 February 2009
Birmingham	11 March 2009

For further information, please call 029 2045 1000 or visit www.altior.co.uk

RULE 6 COMPLIANCE: EQUALITY & DIVERSITY

This course counts towards the training requirements of the SRA for Management Course Stage 2 and Rule 5 for solicitors wishing to be “qualified to supervise.”

Essential details

Half day course - pm.

3 CPD hours.

Trainer: Helen Boardman.

Course fees per delegate:

KH member	£165 + VAT
non-member	£275 + VAT

Course fee includes refreshments and materials.

For details on becoming a KH member, please contact us on 029 2045 1000.

Why you should attend this seminar

This course is a must for all fee-earners, practice managers, compliance chiefs and support staff. The SRA is committed to promoting equality and diversity. This is reflected in the fact that there is a specific rule dealing with this area in the new Code of Conduct. The Rule provides, among other things, that all firms must have a policy for preventing discrimination and promoting equality and diversity within their firm, so this is not an optional compliance area. All firms might soon be required to undergo training in this subject; but why wait? This course will guide you through the rule and the essence of the underlying legislation, and offer practical guidance on how to ensure compliance.

Who should attend

- Compliance Manager/Heads of Compliance
- Solicitors

- Complaints Managers
- Partners
- Practice managers and support staff

Key benefits

By attending this course you will be aware of the new equality and diversity provisions of the Code and become familiar with equality and diversity issues within law firms. You will learn how to help your firm comply with the Code and gain an understanding of what should be contained in your firm's Equality & Diversity policy. This will help you avoid potentially serious risk and compliance problems.

Programme includes

- Rule 6 of the Solicitors' Code of Conduct 2007
- A summary of the main requirements of the relevant legislation tackling age, disability, sex, race and other discrimination
- The SRA Guidance on the Rules
- Scenarios and case studies
- Guidelines for formulating an Equality and Diversity policy

Location & dates

London

1 June 2009
25 September 2009

For further information, please call 029 2045 1000 or visit www.altior.co.uk

E-LEARNING COMPLIANCE COURSES

This course counts towards the training requirements of the SRA for Management Course Stage 2 and Rule 5 for solicitors wishing to be “qualified to supervise.”

Introduction

During the first quarter of 2009, Kaplan Altior will launch the first of a series of e-learning programmes. Designed with all fee earners and support staff in mind, the courses will be particularly suitable for use on firm-wide training programmes and as part of induction programmes for new starters and lateral hires.

Format

Between 1 and 3 hours' duration, the modular courses will be practical, interactive and self-paced to ensure maximum benefit and convenience for learners. Assessment questions will be included to reinforce and measure learning and Training Managers will be able to monitor the progress and performance of each user.

Programme includes

The first course will take a practical look at the Solicitors Accounts Rules and is designed to enable all members of staff to understand the main requirements of the Rules and thus help ensure that the firm complies with them.

Later courses in the programme will include:

- Equality and diversity
- Complaints handling
- Risk management
- Other compliance courses

The next step...

For further information and to discuss your firm's particular needs, including the option of a bespoke module covering your own firm's internal policies and procedures, please contact Barbara Anderson on 029 2045 1000 or email barbara@altior.co.uk.

ANTI-MONEY LAUNDERING UPDATE

This course counts towards the training requirements of the SRA for Management Course Stage 2 and Rule 5 for solicitors wishing to be “qualified to supervise.”

Essential details

Half day course - pm.

3 CPD hours.

Trainer: Andrew Haynes and Phil Lyons.

Course fees per delegate:

KH member	£165 + VAT
non-member	£275 + VAT

Course fee includes refreshments and materials.

For details on becoming a KH member, please contact us on 029 2045 1000.

Why you should attend this seminar

This course is a vital compliance course for fee earners and other members of staff who work on transactions in which money laundering may take place. In 2007, a new set of Money Laundering Regulations came into force. Money laundering regulations are constantly being amended and updated and it is vital that practitioners are aware of these changes. This course will examine the requirements of these regulations and the most recent case law to affect solicitors and their practice. Please remember that all law firms are under a duty to ensure their staff are trained on the new regime.

Who should attend

- Solicitors
- Complaints Managers
- Partners

- Heads of legal
- Compliance Officers/Heads of Compliance

Key benefits

Delegates will gain a full understanding of money laundering and the new regulations concerning solicitors.

Programme includes

- Statutory requirements & resulting criminal liability
- Money Laundering Regulations 2007
- Terrorism legislation
- The most recent Law Society Guidance
- Reporting suspicions and blowing the whistle
- Appropriate training for the firm
- The role of the MLRO
- Recent case law

Locations & dates

Birmingham	6 October 2009
Leeds	22 October 2009
London	20 April 2009 16 October 2009
Manchester	11 September 2009

For further information, please call 029 2045 1000 or visit www.altior.co.uk

SOLICITORS' ACCOUNTS RULES

This course counts towards the training requirements of the SRA for Management Course Stage 2 and Rule 5 for solicitors wishing to be “qualified to supervise.”

Essential details

Half day course - am or pm.

3 CPD hours.

Trainer: Roy Chandler.

Course fees per delegate:

KH member	£195 + VAT
non-member	£290 + VAT

Course fee includes refreshments and materials.

For details on becoming a KH member, please contact us on 029 2045 1000.

Why you should attend this seminar

Compliance with the Solicitors' Accounts Rules (SAR) is a frequent source of difficulty for many law firms. Failure to comply with SAR is a common cause for disciplinary action against solicitors. The penalties for non-compliance are serious but the financial benefits of knowing how to manage clients' money effectively within the rules are considerable. This seminar will show you not only how to comply with the rules but also how to increase your profitability in the light of them.

Who should attend

- Practice managers, book-keepers and cashiers
- Every solicitor in private practice, not simply partners
- Partners and sole practitioners
- Accountants who act for law firms

Programme includes

- Do we need to review our terms of business with clients?
- How to deal with disbursements
- When can you transfer costs?
- Operating joint accounts with clients, non-clients and other firms
- The application of the rules to liquidators, trustees in bankruptcy, Court of Protection receivers and trustees of occupational pension schemes
- Who is liable for breaches of the rules?
- Accounting to clients for interest
- Do we need designated accounts?
- Dealing with Controlled Trust money
- How to maximise interest on client account
- The significance of clearance for interest and fate

Locations & dates

Birmingham 28 April 2009 - pm
21 September 2009 - pm

Cardiff 12 October 2009 - am

Leeds 20 January 2009 - am
14 July 2009 - am

London 19 May 2009 - pm
7 July 2009 - pm

Manchester 12 May 2009 - pm

For further information, please call 029 2045 1000
or visit www.altior.co.uk

HOW TO BOOK

Telephone, email & fax

Call us on 029 2045 1000,
email beth@altior.co.uk
or fax 029 2045 9900.

You may pay by debit/credit card over the telephone or send a cheque (payable to Kaplan Altior) by post the same day.

Post

Complete and send the booking form to the address below, together with your cheque (payable to Kaplan Altior).

Course fees per delegate:

Rule 5 Compliance: Risk Management

KH member	£165 + VAT
non-member	£275 + VAT

Rule 2 Compliance: Complaints Handling

KH member	£165 + VAT
non-member	£275 + VAT

Rule 6 Compliance: Equality & Diversity

KH member	£165 + VAT
non-member	£275 + VAT

Anti-Money Laundering Update

KH member	£165 + VAT
non-member	£275 + VAT

Solicitors' Accounts Rules

KH member	£195 + VAT
non-member	£290 + VAT

In-house programmes

Please contact our Business Development Director, Barbara Anderson, on 029 2045 1000 for details about how these courses can be run in-house at your firm.

Kaplan Altior will endeavour to accommodate delegates with disabilities, specific learning difficulties or with medical conditions which affect their studies or the sitting of examinations. Please discuss your needs with us asap.

terms & conditions apply - see www.altior.co.uk
Details correct as at date of print - February 2009

Kaplan Altior

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email: info@altior.co.uk
www.altior.co.uk

BOOKING FORM

web

Compliance Courses

Please complete the details below in BLOCK CAPITALS.

We wish to make a booking for the delegate(s) named below and enclose a cheque for the full amount of

£ made payable to Kaplan Altior.

Rule 5 Compliance: Risk Management

KH member delegate(s) at £165 per person £

non-member delegate(s) at £275 per person £

Rule 2 Compliance: Complaints Handling

KH member delegate(s) at £165 per person £

non-member delegate(s) at £275 per person £

Rule 6 Compliance: Equality & Diversity

KH member delegate(s) at £165 per person £

non-member delegate(s) at £275 per person £

Anti-Money Laundering Update

KH member delegate(s) at £165 per person £

non-member delegate(s) at £275 per person £

Solicitors' Accounts Rules

KH member delegate(s) at £195 per person £

non-member delegate(s) at £290 per person £

Plus VAT at 15% £

Total £

contact's full name	Ms/Mrs/Miss/Mr
correspondence to be sent to delegate <input type="checkbox"/> or contact <input type="checkbox"/>	
firm's name and address	
DX	
telephone	
fax	
training contact for firm	
training contact's email	

Name(s) or delegates(s): Please use block letters and continue on a clearly labelled separate sheet if necessary.

title	first name	surname
position in firm		SRA roll number
course date		course venue
delegate's mobile*		delegate's email**

* To be used only to advise delegates of late course changes

** Please only include an email address if it is a suitable address (i.e reliable and regularly checked, not temporary) for us to send important course and other information to.

Return this form to: Kaplan Altior, 136 Newport Road, Cardiff, CF24 1DJ. dx: 33035 Cardiff 1
tel: 029 2045 1000 fax: 029 2045 9900 e-mail: info@altior.co.uk www.altior.co.uk

We will not pass your details to any third parties but we may use this information to contact you about future Kaplan Altior courses and special offers. Please put a cross in the box if you do not wish to be contacted.