

Table of contents

Preface	5
Section 1: Governance and risk management	9
Introduction	9
Chapter 1: Effective law firm management	11
Section 2: Demonstrating regulatory compliance in practice	73
Introduction	73
Chapter 2: What is ethics?	81
Chapter 3: Essential behaviour	85
Chapter 4: Evidence of compliance	115
Chapter 5: Safe client inception processes	121
Chapter 6: Compliance in the litigation arena	131
Chapter 7: Adding the people and commercial perspective to regulatory standards	147
Chapter 8: The Legal Ombudsman – why are we bothered?	153
Section 3: Compliance with legal obligations	165
Introduction	165
Chapter 9: An overview of legal compliance	169

Chapter 10: Managing the money laundering risk _____	177
Chapter 11: Managing the risks of handling data _____	197
Section 4: Compliance tools and resources _____	205
Introduction _____	205
Chapter 12: Be aware of recent changes _____	209
Chapter 13: Remote working – compliance considerations _____	215
Chapter 14: Conclusion _____	227
Chapter 15: Resources _____	235
Notes _____	237
About the author _____	241
Index _____	243
About Globe Law and Business _____	249