



# Anti-Money Laundering SORTED For Small Firms Programme

Our SORTED for Small Firms programme offers a fully functional solution to your compliance needs.

**Teal**  
Compliance

**Compliance specialist and CEO of Teal Compliance, Amy Bell, leads a team of expert consultants with over 100 years' combined experience, providing support and guidance to small firms on the rules and regulations they need to know.**

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I've been building effective compliance programmes to prevent money laundering through small firms for over 15 years, and as a member of, and current Chair of, the Law Society's Money Laundering Task Force, I fully understand the problems that can be faced.

At Teal, we believe in:

- **Being honest with our clients** - we'll never recommend a solution which doesn't fit with a firm's risk profile.
- **Giving our clients practical help** - we'll implement our solutions quickly and apply our guidance immediately.
- **Sharing what we have** - we share our knowledge and experience and provide valuable support to our clients when they need it.

When I founded Teal Compliance, I was determined that my clients would have practical and effective support from real experts in their field. Compliance is a never-ending enterprise as there'll always be new legislation and rules and new risks to avoid and not forget,

It's through my knowledge and understanding of the issues faced that I've created Teal Compliance's SORTED for Small Firms programme. It's designed to ensure compliance becomes embedded in your organisation, and that your people understand their role in protecting both your clients and your firm.

This guide helps you understand a little more about the SORTED for Small Firms programme we offer. But, if you'd like to know more, simply get in touch.

A handwritten signature in black ink that reads "Amy". The script is fluid and cursive.

**Amy Bell, CEO of Teal Compliance**





## The Issues

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We often talk to owners of the small firms we work with about the issues they face and find there's a common theme. They find compliance frustrating and often tell us the hardest thing about compliance is that even though they spend a significant amount of time and effort on it, the processes don't always seem to work.

Our clients also say that it's often difficult to find out what a "risk based approach" means in practice, and it's also difficult to engage staff. Even when everything's in place, staff don't always follow the routines.

We hear about these issues regularly and find that there are common causes.

## The Causes

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We understand that compliance can be frustrating, but we can see that it's often caused by:

- 1** Small firms trying to make an 'off the shelf' policy and toolkit fit their business, without being clear on what they want to achieve.
- 2** Small firms often don't have enough resources to enable them to fully implement and monitor a programme.
- 3** Staff are often not engaged with compliance. Training can be formulaic and technical, and often isn't relevant to their role.
- 4** Staff can also feel uncomfortable talking to their clients about AML because they're not given the context of why it's important.

## The Solution

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Our SORTED for Small Firms programme is based on our '6Cs of Compliance', which is a 6-step method that guides you through making a practical compliance framework. These 6 steps consist of:

### 1. Clarity

Everyone in the firm needs absolute clarity about what's required for compliance, and why it's important. We achieve this through providing masterclasses for those responsible for managing compliance, and also provide training for the whole firm.

### 2. Capacity

By working with Teal, you'll have access to experts in their field. They'll work with you to ensure compliance policies and procedures meet the expected requirements and are monitored regularly.

### 3. Communication

No-one likes reading policies or coming to compliance training. We change that. With readable, practical policies and procedures, staff know what the requirements are and, through our interactive live training sessions, they find out why it's relevant and important.

### 4. Commitment

We'll ask everyone in the firm to commit to working together and supporting the building of a programme that actually works. It's a real team effort!

### 5. Consistency

Through our regular reviews, we'll test your compliance procedures. If we find that they're not working, we'll find out why and suggest a solution.

### 6. Culture

In a recent poll of compliance professionals, 43% said they wanted to know how to build a compliance first culture. Although there's not a simple answer, it is achievable. Through clear communication, consistency, and sometimes consequences, we'll work together to build a programme which becomes part of every day life at your firm, giving you confidence that you have your practice SORTED.





## What you can expect from us

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Our SORTED programme is a 2 year programme which consists of:

### Masterclasses

We'll run a half-day masterclasses with your team and take them through the legal requirements. After these sessions, everyone will be much clearer on the task ahead.

### Quarterly Reviews

We'll perform quarterly reviews and discuss with you any forthcoming changes to the rules and regulations. We'll also check processes are being followed and deal with any issues we've identified.

### Newsletter for Staff on Compliance

To support and reinforce the training, we'll provide a newsletter for staff, to keep them up to date on compliance.

### Reports

Following our reviews, we'll prepare reports of activity, our findings and a plan of next steps so you have complete transparency of what's happening.

### Policy Reviews

We'll review your policies and work with you to produce the documentation required by the Regulator, ensuring that it's easy to understand and relevant to the needs of your business.

### Staff Training

We'll deliver staff training on the policies and regulations to ensure that everyone's aware of the expectations and how they're embedded within the firm.

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# YEAR 1



- Masterclass
- Quarterly review
- Quarterly review
- Report
- Newsletter
- Quarterly review
- Report
- Newsletter
- Quarterly review
- Report
- Newsletter

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# YEAR 2



- Masterclass
- Policy review
- Quarterly review
- Report
- Newsletter
- Training
- Quarterly review
- Report
- Newsletter
- Quarterly review
- Report
- Newsletter



## What our clients say

Our SORTED programme comes highly recommended by our clients. Don't just take our word for it. Here's what they have to say...



**We have been using Teal to support our compliance frameworks, and every aspect of our experience with them has been fantastic. From the training to the audits, and especially the 'Ask Teal' helpline, nothing is too much trouble, and you get quick support from some of the industry's best compliance experts. Just having them there to support our continued growth takes a huge weight off my mind. Highly recommend to firms of all size and structure!**

**Carrie Caladine - Right Legal**

**As COLP and MLCO of a large regional full service law firm, with day-to-day responsibility for leading and managing a business unit of 10 fee earners, I have found the guidance and support from Teal an invaluable adjunct to our employed Risk & Compliance team. Their depth of knowledge, response times and commercial pragmatism are invaluable. We had an existing relationship through our primary insurers and, when our full time Risk & Compliance Manager and Internal Auditor both exited the business, we took the decision to outsource the key elements of those roles to Teal. Overall, this has been a hugely beneficial change and gives us access to a breadth of know-how and whole market insight that we did not enjoy previously, this really helps drive compliance in a readily accessible way.**

**Ross Strowger - Partner, Ashtons**

**Having heard Amy Bell speak at Law Society events in the past few years, and listened to her practical and pragmatic approach to compliance, I decided that I needed to speak with her after we received notice from the SRA that we had been selected for an AML audit. Amy was extremely helpful when I spoke to her, and gave me some guidance on what to expect with the SRA audit, and how we might improve our processes where necessary. All in all, our audit went well, so when it came to our annual independent AML audit in 2021, we decided to use Teal Compliance.**

**Simon Harbord was our auditor and his approach to our audit was organised, reassuring and very helpful. Having reassured staff that Simon was approachable and just wanted to listen to how they approached compliance, staff were more than happy to speak with him. We have now received our report from Simon, exactly when he said we would receive it, and we will now work on any points that Simon has highlighted for improvement in our AML processes.**

**Teal Compliance know their stuff! They are approachable, helpful and knowledgeable, and I would not hesitate in recommending them.**

**Claire Vincent - Baker Gotelee**

## Get in touch

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If you'd like to talk to us about our AML SORTED for Small Firms programme, please get in touch.

**0333 987 4320**

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Compliance

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