



# Compliance Training

Our compliance specialists offer a range of training courses and masterclasses to help keep you, your firm and your clients safe.

**Teal**  
Compliance

**Compliance specialist and CEO of Teal Compliance, Amy Bell, leads a team of expert consultants with over 100 years' combined experience, providing essential, bespoke, practical and cost effective compliance training to those who need it.**

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I've been building effective compliance programmes 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 and how simple and effective training can be the solution.

Our team of specialists provide bespoke, practical and cost effective advice, accessible to law firms of all sizes. Whether it is AML training or a GDPR policy review, our approach is to understand and learn about your firm, to ensure the support received is customised to you.

It's rare a firm will have a query about one standalone element of compliance without it impacting on another. We bring together experts in each of the related fields, so you have confidence that the best support available is at your fingertips.

### **Why we care about compliance**

We believe that compliance is simply a framework for delivering a great service for your clients, and protection for your firm. When you break it down, we let you know the risks you and your clients face, explain what's in place to protect you, and check if it works. It's really that simple.

We hear all the time that simple mistakes are made, complaints are received from clients, and sometimes this can lead to claims. We understand how frustrating this can be and how much it can affect your lawyers, your clients and your firm. After all clients come to you for help, and your staff come to work to help them. The sinking feeling you get when something has gone wrong is one of the worst, not to mention the lost productivity, lost fees, penalties and fines.

That's why we at Teal Compliance offer a range of training solutions to suit your needs, providing you with peace of mind that you, your firm and your clients are safe.

A handwritten signature of Amy Bell in a cursive script.

**Amy Bell, CEO of Teal Compliance**

## Our Approach to Compliance

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When we look at the root causes of compliance issues within a firm, it's rarely because of a lack of policies and procedures. In fact, the recipe for success requires quite a few ingredients.

Our "6Cs of Compliance" methodology drives everything we do, so that whatever service you take from us, it will be building towards a successful compliance programme.

Our 6Cs of Compliance method guides you through making a practical compliance framework.

### 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

We take the firm through the options for resourcing an effective compliance function.

### 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

Buy-in from staff is so important and without it, compliance is very difficult. We make it real and change the mindset of the staff, so that it's not just a tick box process but a meaningful and necessary endeavour.

### 5. Consistency

Firms need to know their compliance works. By introducing a control framework, compliance officers will know where processes are being followed and, more importantly, where they're not.

### 6. Culture

Underpinning all of these is a compliance culture, with clear leadership, as well as an incentivisation programme to maintain momentum and protect the firm.





## AML Essentials

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Our AML Essentials course is designed for all firms, and their staff. It covers the fundamentals, which most people will have heard before, but never in the way we explain it.

It looks at the main offences in POCA and why lawyers sometimes get their priorities wrong when it comes to client due diligence.

The course covers:

- S327/8/9 of POCA
- S330 reporting obligation
- The purpose of identifying and verifying clients
- How to conduct source of funds and source of wealth enquiries
- The risks from third party funding
- How to spot money laundering in cash rich businesses



### Duration

This course is 90 minutes long



## AML Essentials Refresher

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Our AML Essentials Refresher course is designed for all firms, and all their staff. It covers the main offences in POCA and why lawyers sometimes get their priorities wrong when it comes to client due diligence. The course covers:

- S327/8/9 of POCA
- S330 reporting obligation
- Risk assessment
- 20 top tips – including CDD, PEPs, cash, high-risk clients/matters, NCA



### Duration

This course is 90 minutes long

## Targeted AML - Source of Funds

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Our Source of Funds training course covers the detail of what, why and how you may establish SOF/SOW.



### Duration

This course is 60 minutes long

## AML Masterclass

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Our AML Masterclass is for the COLP/MLRO/COFA, and other staff in the firm who support the compliance function. This course will ensure that they've had the training as required by the Regulator. Please note, this Masterclass excludes Solicitors Account Rules content.



### Duration

This course is 3 hours long



## **Code of Conduct - Standards and Regulations Essentials**

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Our Code of Conduct - Standards and Regulations Essentials course covers the following:

- The role of your compliance officers
- Detecting breaches
- Reporting
- Principles
- Regulations
- Client care
- Conflict
- Confidentiality
- Supervision duty to others
- Accounts rules issues
- Competence



### **Duration**

This course is 90 minutes long

## COLP Regulatory Masterclass

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Our COLP Regulatory Masterclass training covers the following areas:

- Roles and responsibilities of compliance officers
- Client care responsibilities
- Relationships with third parties
- Transparency rules
- Equality and diversity
- Continuing competence



### **Duration**

This course is 3.5 hours long

## GDPR Essentials

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Our GDPR Essentials training is suitable for the whole firm and covers the following areas:

- Regulatory obligations
- Confidentiality – examining the code of conduct outcomes and indicative behaviours
- Statutory obligations
- Data Protection Act
- Data loss
- Verbal – in reception, in public, at home
- Physical – loss of papers, being viewed by others
- Cyber – ransomware, spyware, phishing, password



### **Duration**

This course is 90 minutes long



## Source of Funds / Source of Wealth

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Our Source of Funds/Source of Wealth training course covers the reasoning behind how and why the source of funds should be established.



### **Duration**

This course is 60 minutes long

## Compliance Officer Training Programme

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This course is perfect for those who are new to a compliance role or are looking for a career change from fee earning. It's also a great opportunity for established compliance staff, to make sure they are up to date with the latest compliance requirements.

The course consists of a series of 18 recorded webinars and handbooks. There's an exam available at the end of the course, if required. Request a copy of our Compliance Officer Training Programme brochure for full details of the course.



### **Duration**

15-20 hours of content + practical exercises and an exam



# Money Laundering Compliance Officer Course

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Preventing Money Laundering continues to be one of the most high profile areas of compliance. With 99% of law firm having fairly recently appointed a Money Laundering Compliance Officer, it is crucial that they have had training to understand the extent of their responsibilities and how to implement effective policies, controls and procedures.

This course, written and delivered by Amy Bell, CEO of Teal Compliance, will look at

- The Money Laundering Regulations
- Compiling your firm wide risk assessment
- How to approach client identification and verification
- The extent to which firms are required to conduct source of funds and wealth training
- Common issues found on audit
- Making sure you are "regulator ready"

This course, for Money Laundering Reporting Officers (MLROs), Money Laundering Compliance Officers (MLCOs) and senior compliance staff, takes an in-depth look at both the legislation and the practical application. It's suitable for those new to the role as well as those who have more experience.



## Duration

This course is 5 hours long (10am - 3pm)



## Money Laundering Reporting Officer Course

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Preventing money laundering continues to be one of the most high-profile areas of compliance. Reporting officers need to have a good working knowledge of the Proceeds of Crime Act 2002, how to assess whether matters are suspicious, and how to report suspicions.

This course, written and delivered by Amy Bell, CEO of Teal Compliance, will look at:

- Money laundering offences
- Reporting requirements
- How to process internal suspicious activity reports
- Making external SARs to the National Crime Agency
- How to deal with enquiries from Law Enforcement

This course, for Money Laundering Reporting Officers (MLROs), Money Laundering Compliance Officers (MLCOs) and senior compliance staff, takes an in-depth look at both the legislation and the practical application. It's suitable for those new to the role as well as those who have more experience.



### Duration

This course is 5 hours long (10am - 3pm)

\*\* Please note that face to face sessions can also be arranged.  
Please contact us for a separate quote.

## Meet our Training Team

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**Amy Bell**  
**Founder and CEO**

Amy is the Founder of Teal Compliance and Teal Legal. As a compliance consultant with a passion for helping firms adapt to the changing legal landscape, Amy has many years' experience working with law firms. In 2017, she launched Amy Bell Compliance Limited followed by Teal Compliance Limited in January 2018.

Amy is the author of 'Solicitors and Money Laundering and Compliance That Works', published in 2021. She's also the author of the Law Society's Anti-Bribery Toolkit and their Anti Money Laundering Training courses. She's also a regular speaker for the Law Society, the ARK Group, MBL Seminars as well as local Law Societies.



**Eilish Cullen**  
**Compliance Consultant**

Eilish is a Compliance Associate working in the Consulting and Auditing team. She brings to the team her former experience as role as a Salaried Partner, Head of Department, Deputy COLP and Complaints Partner. She has a keen interest in risk management, gap analysis, carrying out root cause analysis exercises and implementing the required improvements.

Eilish has been responsible for carrying out compliance training on a range of topics such as data protection, cyber security, anti-money laundering as well as ethics and integrity, and is able to deliver the training in an engaging and easy-to-digest manner. She understands the importance of having a compliance plan that works, and that it's understood and adhered to by firms' employees.



**Simon Harbord**  
**Consulting and Auditing Team Leader**

Simon began working in the legal sector for a top 100 law firm in 2004, having previously been a compliance officer and MLRO for regional and national IFA's. He also has experience of working in an advisory capacity as a financial planner and mortgage advisor, positions he held prior to working in compliance.

From client on-boarding, auditing, the provision of training (both to colleagues and previously on behalf of the Law Society – at regional MLRO meetings) and advising colleagues in respect of their AML and POCA obligations, dealing with Suspicious Activity Reports and liaising with law enforcement, Simon brings a wealth of experience in the field and a practical, down to earth approach to providing advice.



### **Ellie Shute**

#### **Anti-Money Laundering Associate**

Ellie is an associate who specialises in anti-money laundering, with a vast amount of experience in all areas of AML and compliance.

She's a skilled analyst who previously worked in large international law firms, conducting extensive research and GAP analysis.

As well as this, Ellie has worked with firms, both in the UK and overseas, to draft policies in line with their local laws and regulations. She is highly skilled in running AML audits to ensure clients are compliant with their regulators and producing and delivering bespoke training courses and masterclasses. She also regularly hosts webinars, and blogs, on a full range of AML topics and compliance.



### **Kayleigh Smale**

#### **Anti-Money Laundering Associate**

Kayleigh started her compliance career over 10 years ago as a Conflicts and AML Analyst at an international law firm. She has a wealth of knowledge surrounding client due diligence for individuals, corporate entities and entities overseas. She's highly experienced in AML audits, AML training and helping clients with their AML queries through our 'Ask Teal' service.

Kayleigh is highly experienced in AML Audits, AML Training and helping clients with their day-to-day AML queries through Teal's Ask Teal Service. She has been teaching Teal courses since she joined the firm, and now is involved in writing and updating all our AML courses. She is an accomplished speaker appearing on webinars, at conferences and most recently in interviews for a podcast.



## Our Clients' Feedback

We've received some fantastic feedback from our clients over the years. But 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!"**

**Right Legal Group**

**"We have worked with Teal for several years. They have provided us with AML training and also helped us put together our firm-wide AML risk assessment and our updated AML policy, along with assisting us with various issues as and when they arose. We have always found them to be very helpful, friendly, responsive and knowledgeable, and are happy to recommend them."**

**Streathers Solicitors LLP**

**"We rely on Teal Compliance to provide responsive, practical compliance services to Constantine Law (we do not have an in-house compliance officer/function). I would encourage all solicitor firms without their own resource to engage with Teal: they know what they are doing and they provide peace of mind regarding day-to-day compliance matters as well as responses to unforeseen (tricky) compliance matters. They have become an indispensable partner to Constantine Law in our growth journey."**

**Constantine Law Limited**

**"We have had a relationship with Teal for a number of years and they have provided a valuable resource to our compliance team. Teal combine the delivery of a personal and friendly service with city level expertise."**

**Wilkin Chapman LLP**

**"We worked with Teal Compliance who undertook a legal compliance audit for us. We had no hesitation in instructing them to carry out the audit as it was clear that their knowledge in this area is extensive. They were very impressive from the moment of our first interaction with them, right through to receipt of their final report. In fact, we have been so impressed that we will be engaging with them again to undertake bespoke training for our staff. We would have no hesitation in recommending them."**

**Lester Aldridge LLP**

## Get in touch

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If you'd like to talk to us about any of our compliance training courses, please get in touch.

**0333 987 4320**

**[hello@tealcompliance.com](mailto:hello@tealcompliance.com)**



**[tealcompliance.com](https://tealcompliance.com)**