

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 ____	79
Introduction	79
Chapter 2: What is ethics?	87
Chapter 3: Essential behaviour	91
Chapter 4: Evidence of compliance	121
Chapter 5: Safe client inception processes	127
Chapter 6: Compliance in the litigation arena	137
Chapter 7: Adding the people and commercial perspective to regulatory standards	153
Chapter 8: The Legal Ombudsman – why are we bothered? ____	159
Section 3: Compliance with legal obligations	169
Introduction	169
Chapter 9: An overview of legal compliance	173

Chapter 10: Managing the money laundering risk	181
Chapter 11: Managing the risks of handling data	201
Section 4: Compliance tools and resources	209
Introduction	209
Chapter 12: Be aware of changes	213
Chapter 13: Conclusion	219
Chapter 14: Resources	227
Notes	227
About the author	233
Index	235