

Case Study: Experiences from Centralising Compliance

July 2025

Introduction

- What and Why
- Some context
 - 3 offices
 - 176 colleagues
 - Approx 100 fee earners
 - Predominantly Commercial – 85%:15%
 - Clients UK based and overseas

The Problem: Where we started

- Inconsistent application of policies and processes
- Difficult to have accurate oversight
- Increased risk – gaming the system
- Cascading regulatory changes to colleagues
- Possible source of friction between clients and fee earners
- Inconsistent quality

The solution

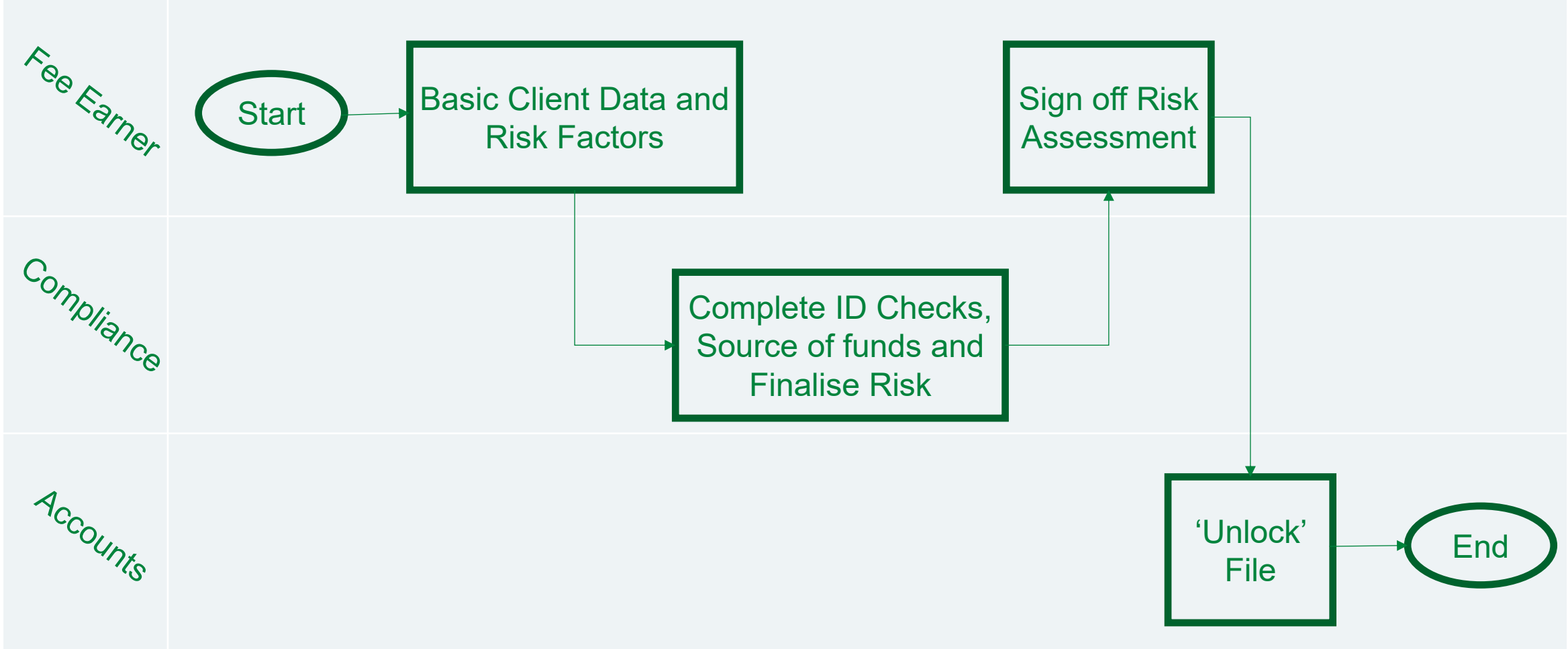
- Building the team
- Designing the process
- Delivery
- Review

The Team



- Compliance manager
- New Hire with an FCA and SRA background
- Initially one assistant
- Internal appointment - role not backfilled
- Compliance 'trainee'
- A Level 3 Business Admin Apprentice progression route

Process



Impact

- **Internally**
 - Consistent client journey
 - Consistent data gathering
 - Compliance no longer a process
- **Externally**
 - SRA AML audit
 - Reg 21 independent audit
 - Stance of PII insurers

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