

## **AML: enforcement trends**

11 September 2023

Get the latest information on the AML trends from cases where the money laundering, terrorist financing and financial sanctions rules have been breached. This free webinar offers law firms insights into:

- an overview of the types of breaches we commonly see
- trends on area such as:
  - policies, controls and procedures
  - AML audits
  - training and oversight of staff
  - centralised risk and compliance/due diligence functions
  - identifying and assessing risk via client and matter risk assessments (which inform the levels of customer due diligence to be obtained)
  - areas of law where breaches more common (eg conveyancing)
- case studies highlighting the types of breaches where we are frequently taking enforcement action
- tips on what controls you can put in place to avoid common AML breaches.



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## Resources

Answers to further common AML queries, including some we did not get to during the webinar, can be found in our [AML questions and answers](https://referral.sra.org.uk/solicitors/resources-archived/money-laundering/guidance-support/aml-questions-answers/) [\[https://referral.sra.org.uk/solicitors/resources-archived/money-laundering/guidance-support/aml-questions-answers/\]](https://referral.sra.org.uk/solicitors/resources-archived/money-laundering/guidance-support/aml-questions-answers/).

- [Compliance with the money laundering regulations](https://referral.sra.org.uk/solicitors/guidance/compliance-money-laundering-regulations-firm-risk-assessment/) [\[https://referral.sra.org.uk/solicitors/guidance/compliance-money-laundering-regulations-firm-risk-assessment/\]](https://referral.sra.org.uk/solicitors/guidance/compliance-money-laundering-regulations-firm-risk-assessment/)



- [Firm risk assessments](https://referral.sra.org.uk/solicitors/guidance/firm-risk-assessments/) [https://referral.sra.org.uk/solicitors/guidance/firm-risk-assessments/]
- [Financial penalties](https://referral.sra.org.uk/sra/news/financial-penalties/) [https://referral.sra.org.uk/sra/news/financial-penalties/]