Risk Management in the Modern Law Firm

Developing & examining risk management policies & values in a changing business climate that demands more accountability

This highly-interactive forum is designed to help you:

- Evaluate the disconnect between policy and practice
- Avoid unnecessary risk—taking sufficient steps in managing internal access to sensitive client and firm information
- Unify risk governance, enforcement and internal auditing
- Leverage compliance for competitive and business development advantage
- Assess client risk and better understand how the business intake process changes in a down economy
- Assess people risk and the unforeseen consequences of lateral hires, internal redundancies and cut-backs
- Better understand how technology creates new risks while at the same time offering a path to better compliance and a more risk aware culture
- Improve client information management practices by identifying and addressing gaps, improving processes and educating attorneys and staff

With key contributions and candid perspectives from:

- Ann Ostrander, Senior Director, Firmwide Loss Prevention, Kirkland & Ellis LLP
- Ronald E. Van Buskirk, Partner and General Counsel, Pillsbury Winthrop Shaw Pittman LLP
- Ed Witt, Director of Conflicts and Business Intake, Reed Smith LLP
- William D. Heinz, Partner, General Counsel, Jenner & Block LLP
- Randall A. Miller, Chair Professional Liability Group, Sedgwick, Detert, Moran & Arnold LLP
- Edward J. Zulkey, General Counsel, Baker & McKenzie International
- Thomas L. Browne, Partner & In-House Counsel, Hinshaw & Culbertson LLP
- Thomas D. Paradise, General Counsel, Fox Rothschild LLP
- Nancy Beauchemin, President, InOutsource, LLC

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Dear Colleague,

Do you feel like it’s getting riskier out there? If you do, you’re not alone. The risk issues facing the legal industry are very real and are multiplying. Why? Like most trends, several factors can explain the recent surge in concern and interest in risk management. But the biggest of these has been the continuing global economic downturn.

Economic slowdowns spawn a well-understood chain reaction, as interdependent agents respond, causing direct and indirect consequences for law firms. Clients put fee and performance pressures on firms and malpractice claims typically increase. Attorneys may also feel personal pressure to take greater chances (like the “rogue attorney” who cuts a few corners to bypass “intake bureaucracy” or takes on a matter outside their area of expertise). Insurance providers know that a down economy amplifies risk. That’s one reason why rates go up during tough economic times.

The economy may be the current catalyst but the importance of risk management and compliance has been growing for several reasons – clients are getting savvier and more demanding, the practice of law is changing in several important ways, the insurance industry is taking new steps to protect their own interests and government and other regulatory authorities increasingly affect firms practicing across jurisdictions and borders.

Today, firms are increasingly assessing their risk profiles, evaluating the extent to which their cultures are “risk aware,” and developing plans to address any gaps between internal policies and real-world practices.

Is your firm taking the necessary steps to protect itself?

We’re fortunate to have assembled a distinguished group of presenters and speakers. They bring practical knowledge and real-world experience and have developed sessions designed to explain and explore new issues, answer questions and impart actionable steps that firm leaders can take back and implement at their firms.

Discussion topics will include long standing risk concerns as well as emerging risk challenges relating to technology, confidentiality, ethics, culture, regulatory and professional responsibility rules, and international issues.

This forum has been developed and organized to provide ample opportunity for peer interaction, networking and education. Often-times, the best information, insight and ideas come from your fellow attendees. We hope to discuss the good, the bad and even some of the ugly realities of today’s risk landscape. As risk rules and expectations continue to evolve, peer collaboration represents the best way for firms to ensure that they stay on top of industry standards.

I hope to see you at the forum this May —

Pat Archbold

ABOUT YOUR CONFERENCE CHAIRPERSON:

Pat Archbold manages IntApp's Risk Practice Group and focuses on helping law firms address issues including client confidentiality, regulatory compliance and risk management. Pat has presented at several law firm risk events internationally. He currently co-chairs the United Kingdom’s Confidentiality Working Group—a consortium of law firms collaborating on the development of industry standards in response to evolving regulatory rules that establish information management standards. Additionally, Pat chairs a regular series of peer risk discussion forums held across the United States as part of the Law Firm Risk Roundtable program (http://www.RiskRoundtable.com).

Prior to joining IntApp, Pat served as Regional Vice President for Open Text Corporation’s Legal Business Solutions division. In that capacity, he worked with a wide variety of firms to meet their records management and compliance objectives. He has over 15 years of legal industry experience, including leadership positions with a legal consulting organization and West Publishing.

Pat can be contacted at pat.archbold@intapp.com
## Forum Agenda: Tuesday, May 19, 2009

### 8:30AM
Registration & Refreshments

### 9:00AM
**Opening Remarks and Introductions**  
Pat Archbold, Director Risk Practice Group, *IntApp, Inc*

### 9:15AM
**Avoiding Unnecessary Risk—Confidentiality Drivers and Related Compliance & Tracking Issues**  
Is your organization taking sufficient steps to manage internal access to sensitive client and firm information? In recent years several high-profile disclosures, data leaks and ethical slips have highlighted gaps and weaknesses in current practices. Additionally, evolving industry rules, expanding client guidelines and new international regulatory requirements are increasingly driving the need for improved controls and auditability standards. This opening session will discuss:

- Scenarios driving the need for controlling internal access to information (drivers including client, regulatory and insurance concerns)
- How technology creates new risks while at the same time offering a path to better compliance and a more risk aware culture
- Unifying risk governance, enforcement and internal auditing
- Leveraging compliance for competitive and business development advantage

Ann Ostrander, Senior Director, Firmwide Loss Prevention, *Kirkland & Ellis LLP* & Pat Archbold, Director Risk Practice Group, *IntApp, Inc*

### 10:15AM
**Consortio Caveo (Partners Beware): Managing New (and old) Risk in the Post-Bubble World**

- Why Risk Management is not a part-time job: The advantages of having a dedicated firm GC
- Streamlining your firm’s conflict system and conflict committee
- Strategies in anticipating, protecting against, and reacting to loss of major clients or cases
- Managing law firm downsizing—Effective strategies in a leaner legal arena
- Formalizing retainer letters and conflict letters and related sub-issues of a multi-state practice
- Preferred retainer agreements as a means of hedging or eliminating risk
- A management structure to accomplish the above

Randall A. Miller, Chair Professional Liability Group, *Sedgwick, Detert, Moran & Arnold LLP*

### 11:00AM
Networking Coffee Break

### 11:30AM
**PANEL DISCUSSION**  
**Evaluating the Disconnect between Policy and Practice**

- Is your firm better or worse at managing risk than its peers?
- Common reasons why firms often don’t follow established risk management policies

### 12:30PM
Networking Luncheon

### 1:30PM
**PANEL DISCUSSION**  
**Assessing Client Risk: Where Will the Claims Come From?**

The ability of a law firm to make accurate determinations of what they are good at, what their attorney population is capable of doing effectively and what they should avoid is the crux of claim avoidance today. This highly-interactive discussion will be centered on how the business intake process changes in a down economy and measures you can take to safeguard your firm.

**Panel:**
Thomas L. Browne, Partner & In-House Counsel, *Hinshaw & Culbertson LLP*, Ronald E. Van Buskirk, Partner and General Counsel, *Pillsbury Winthrop Shaw Pittman LLP*, Others TBA

**Moderator:**
Pat Archbold, Director Risk Practice Group, *IntApp, Inc*

### 2:30PM
**PANEL DISCUSSION**  
**People Risk: The Unforeseen Consequences of Lateral Hires, Internal Redundancies and Cut-Backs**

- Reviewing any potential employment/labor claims
- Ensuring that work is transitioned and properly reviewed
- The Imputed Knowledge Rule and the impact of the ABA Resolution on Model Rule 1.10
- Well-documented due diligence of lateral hires
- Making institutional knowledge truly institutional

**Panel:**
Edward J. Zulkey, General Counsel, *Baker & McKenzie International*, Thomas L. Browne, Partner & In-House Counsel, *Hinshaw & Culbertson LLP*, Ed Witt, Director of Conflicts and Business Intake, *Reed Smith LLP*

**Moderator:**
Pat Archbold, Director Risk Practice Group, *IntApp, Inc*

### 3:30PM
**Q & A / Interactive Wrap-Up Discussion**

Pat Archbold, Director Risk Practice Group, *IntApp, Inc*
Registration:

Risk Management in the Modern Law Firm

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I have read the terms and conditions

Booking options:

☐ Forum Registration Fee $895

☐ I am registering for this forum before March 30th and would like to claim my 15% early bird discount

For team discounts, please call Peter Franken at 773 281 4275

Event Venue & Accommodations

This meeting will be held at the University of Chicago’s Gleacher Center - located at 450 North Cityfront Plaza Drive Chicago, IL 60611—conveniently located in the heart of Chicago’s business community just blocks away from the Loop and steps away from Magnificent Mile shopping, restaurants and hotels. For information regarding rates at nearby hotels please contact Peter Franken at Pfranken@ark-group.com or at 773 281 4275. We hope to see you there!

Who Will Attend this Forum?

Ark Group/Managing Partner Magazine’s 4th annual Risk Management in the Modern Law Firm conference is a highly interactive forum researched with and developed exclusively for (but not limited to) Law Firm General Counsel, Loss Prevention Partners, Risk Management Partners, Conflicts Managers and other risk stakeholders - including firm management, financial and technology thought leadership. This forum is a must-attend event for law firms looking to avoid potential hazards in our changing economic and business environment.

Exhibition & Sponsorship Opportunities

If you are interested in exhibition or sponsorship opportunities for this (or any) Ark Group USA event, please contact Kevin Klein for more details at kklein@ark-group.com or by phone at 708 386 3868

Please note: payment must be received in full prior to the event to guarantee your place

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☐ Payment enclosed (checks made payable to Ark Group USA)

☐ Multiple bookings: please invoice separately

Booking conditions

1. Bookings can be submitted at any stage prior to the event, subject to availability. A limited allocation is being held and booking early is therefore recommended, in the event of the booking not being accepted by Ark Group the total amount will be refunded.

2. Payment must be received in full prior to the course.

3. All speakers are correct at the time of printing, but are subject to variation without notice.

4. If the delegate cancels after the booking has been accepted, the delegate will be liable to the following cancellation charges:

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   - In the event of a cancellation between 45 and 30 days prior to the event, a 20% cancellation fee will be charged.
   - For cancellations received less than 30 days prior to the event, the full delegate rate must be paid and no refunds will be available.

5. All cancellations must be received in writing.

6. Ark Group will not be held liable for circumstances beyond their control which lead to the cancellation or variation of the programme.

7. All bookings are subject to these booking conditions.

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Please note

Ark Group cannot be responsible for assisting potential attendees in obtaining visas to the country in which this event is being held. Attendees are responsible for their own travel and visa requirements.

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