



SPG Technical Review

2019

One day course
CPD accreditation: 7 hours
09:30 – 16:20 Registration starts at 09:00

Leeds
30 April
Hilton Leeds City Centre

Exeter
9 May
Sandy Park

Course directors

Gareth Limb Compliance On Call



Caroline Sumner R3 Technical and Education Director



Course overview

Factors beyond insolvency legislation continue to put pressure on the insolvency profession. With the help of regulators, technical experts and experienced IPs, these courses provide essential updates on a wide range of practical and regulatory issues, ensuring you and your staff remain compliant in an ever changing world.

These well established, popular and uniquely designed courses provide the ideal mix of practical and relevant guidance to assist the SPG community to navigate through the maze of regulatory change.

The courses also facilitate valuable networking opportunities, bringing together the SPG community. Delegates will benefit from a networking breakfast, lunch, breaks and receive a copy of speaker presentations in the delegate pack.

Who should attend?

Professionals working within smaller insolvency or restructuring firms or professionals who work extensively with smaller firms.

“One of the best”

“Excellent course – good range of ‘current topics”

“Very interesting, informative and practical”

“Always extremely valuable to learn what is currently on monitors’ radar”

“Good topics – current and relevant”

Programme

09:00

Registration and refreshments

09:30

Chair Introduction

Gareth Limb *Compliance On Call*

09:35

MVLs – Making Sense of the Confusion

With HMRC continuing to pursue payment of statutory interest backdated to the date of winding-up on post appointment returns, what do you do if you have distributed to shareholders and you have run out of cash to pay the interest? Should you - can you - convert to a CVL? What you need to be aware of as an office holder as well as changes to the Rules on conversion.

Charles Turner *CVR Global*

10:05

Investigations: An IP's Obligations Under SIP 2 – A reminder

Investigations by IPs is back in the regulatory spotlight as a result of the findings from monitoring visits where representatives of the Insolvency Service accompanied the regulators. This session will provide a reminder of an IP's obligations under SIP 2, particularly in respect of the recovery of the company's accounting records, the impact of GDPR and consideration of the practical issues arising in connection with an IP's general duties to creditors, the court and third parties in connection with investigations.

Graham McPhie *Moon Beever (London, Birmingham & Leeds)*

Giles Frampton *Richard J Smith & Co (Exeter)*

10:30

Mitigating Pension Risks for Office Holders

During this session, Darren Toms and Ian Line will share their expert pension scheme knowledge on the growing number of issues that an office holder faces during both a trading insolvency appointment and a non-trading scenario. They will cover the office holder's statutory obligations and the impact that Auto Enrolment has had on all insolvency appointment types.

Darren Toms *Clumber Consultancy (London, Leeds & Exeter)*

Ian Line *Grant Thornton (Birmingham)*

11:00

Coffee Break

11:20

Avoiding the Hindsight Risk

If we do not heed the regulators' incessant cry for us to document our strategies, we risk facing a challenge brought with the benefit of hindsight. One area of risk is when making relatively quick and easy sales to connected parties. In this session, with particular focus on SIP 1 and SIP 13, Michelle will explore our statutory and SIP obligations to document our decisions and actions as well as reflecting on some other reasons why it makes sense for us to do so.

Michelle Butler *The Compliance Alliance*

11:50

Subject Access Requests – A burden or a blessing?

Following the introduction of the General Data Protection Regulations many IPs are experiencing an increase in the number of Subject Access Requests (SARs) being received from disgruntled creditors, directors and bankrupts. This session will explore the realities of the requirements to provide individuals with information, including when you have to comply, what information must be provided and more importantly, when you can refuse to respond to an SAR.

Caroline Sumner *R3 Technical and Education Director*

12:10

Money Laundering: Whole Practice and Insolvency Specific Issues

Practices are now used to undertaking risk assessments in respect of each case and large one-off transactions, this session will look at some broader issues under the Money Laundering Regulations. Practices also have to undertake practice wide risk assessments, and the session will consider what that entails. It will also look at an IP's continuing obligations under the Regulations, such as monitoring compliance with them, considering the effectiveness of practice systems and procedures, and training for staff.

Rachel Lai *Menzies LLP (London & Birmingham)*

John Cullen *Menzies LLP (Leeds & Exeter)*

Programme *continued...*

12:40
Networking Lunch

13:30
An Update from the Insolvency Service Disqualification Unit

The session will focus on the importance of accurate record keeping in the period prior to an office-holder's appointment, and immediately thereafter. It will consider how those early discussions between a practitioner and directors, together with the actions taken straight after an appointment, can have a significant impact on the prospect of successful disqualification proceedings many months later...and potentially give rise to an uncomfortable few hours of cross examination in the witness box.

Sue Macleod *The Insolvency Service (Birmingham)*

Rob Clarke *The Insolvency Service (Leeds)*

James Pales *The Insolvency Service (Exeter)*

13:55
RPB Update: Issues & Trends

In this ever popular session, the IPA and ICAEW will provide a regulator's update on current insolvency issues and hot topics:

- What Regulation is carried out – monitoring, AML and complaints issues that have arisen from monitoring visits
- Trends from complaints that have been received
- What would help IP's and their staff to avoid queries on visits and complaints
- SIP tips and reminders

Alison Morgan *ICAEW (London & Birmingham)*

Stuart Jary *IPA (Leeds & Exeter)*

14:35
Legal Update: Corporate and Personal Insolvency

The essential legal update will provide a roundup of recent key cases affecting insolvency professionals.

Stefan Ramel *Guildhall Chambers (London & Exeter)*

Marc Brown *St Phillips Chambers (Birmingham)*

Chelsea Carter *Kings Chambers (Leeds)*

15:05
Coffee Break

15:25
The Insolvency (Scotland) Rules 2018

The new Scottish corporate insolvency rules will commence on 6 April 2019. They will introduce decision making procedures and deemed consent into Scottish corporate procedures and widen the use of websites and e-comms. The Scottish Rules will align to an extent with England & Wales, but key differences will remain. This session will examine the practical ramifications of the changes on liquidation and the remuneration approval process in particular.

Eileen Maclean *Insolvency Support Services (Birmingham & Leeds)*

Alison Curry *Insolvency Support Services (London & Exeter)*

15:55
How to Get Paid When Creditors Won't Engage

IPs are having to undertake more work, and also explain and justify the work they undertake in more detail, but they are finding it increasingly difficult to get creditors to engage and actually approve their fees. This session will look at the steps that you can take to ensure that you get paid for acting as office holder if creditors won't engage and vote on your fees at a decision procedure. The session will be considering the position from both a technical perspective as well as provide some practical tips and ideas that you can use. It will also touch on the steps being taken by R3 encourage HMRC to engage in the process.

Sacha Pickering *Michelmores LLP (London)*

Mark Davies *Aaron & Partners (Birmingham)*

Chris Ferguson *RMT Accountants & Business Advisors Ltd (Leeds)*

Sacha Pickering *Michelmores LLP (Exeter)*

16:15
Chair Close
Gareth Limb *Compliance On Call*



Speakers

Gareth Limb – Compliance On Call

Gareth worked for the Insolvency Service until 2002, latterly as head of the Insolvency Practitioner Compliance Unit where he was responsible for monitoring IPs licensed by the Secretary of State and the Recognised Professional Bodies. He then headed up ACCA's insolvency monitoring unit undertaking regulatory monitoring visits to IPs before leaving to join Bill Burch as a director of Compliance On Call in 2006, where he provides compliance support services to IPs. He is nearing the end of his third term on R3 Council, but will continue to sit on the Smaller Practices Committee.

Caroline Sumner – R3 Technical and Education Director

Caroline is Technical and Education Director at R3 and secretary to the General Technical Committee (GTC). GTC deals with issues of general importance and significance to the profession, keeping under review all UK and EU legislation, prospective and other matters relating to insolvency law and practice. GTC issues technical releases and bulletins, and produces technical updates and guidance for members, subscribers and students.

Michelle Butler – The Compliance Alliance

Michelle spent 15 years working in insolvency practices and then seven years in the Insolvency Practitioners Association, first as Regulation Manager and then as Head of Regulatory Standards and Monitoring. Her blog, Insolvency Oracle, has become renowned for its practical and critical analyses of regulatory developments affecting IPs.

Alison Curry LLB Hons MIPA – Insolvency Support Services

A specialist in insolvency law and regulation in England and Wales, Alison has a proven track record of regulatory drafting, innovation, project management and implementation of organisational change. She is an accomplished trainer and public speaker, confident in effective information-sharing to improve the understanding of others.

John Cullen – Menzies LLP

John is a partner and an insolvency practitioner at Menzies LLP with over 25 years' experience in accountancy and insolvency. He is working at the cutting edge of the profession with positions in the Association of Chartered Certified Accountants and the Consultative Committee of Accountancy Bodies.

Mark Davies – Aaron & Partners

Mark advises Insolvency Practitioners on a national level in relation to insolvency cases. He also advises unsecured creditors in relation to their claims in insolvent estates. Mark has been specialising in insolvency cases for 26 years and is a full member of R3.

Sacha Pickering

Sacha has nearly 15 years' experience as a specialist banking, insolvency and restructuring Solicitor. Sacha deals with all types of restructuring and insolvency issues, including business and asset sales by office holders, antecedent transaction advice and recovery, and all aspects of appointment holders' duties, powers and responsibilities.

Chris Ferguson – RMT Accountants & Business Advisors Ltd

Chris is Joint Head of Recovery & Insolvency at RMT Accountants & Business Advisors based in Newcastle, with 20 years' experience specialising in all aspects of restructuring and insolvency work. He is a Fellow of the Association of Chartered Certified Accountants and a Licensed Insolvency Practitioner. He is also a member of R3's North East Regional Committee.

Giles Frampton – Richard J Smith & Co

Giles is a Chartered Accountant, Licensed Insolvency Practitioner and partner at Richard J Smith & Co, a specialist insolvency practice based in the South West. He is a member of R3's Policy and General Technical Committees, an editor of 'Individual Voluntary Arrangements', a past President of R3, a former member of the Insolvency Rules Committee and a former JIEB examiner.

Speakers *continued...*

Stuart Jary – IPA

Prior to joining the IPA as a Regulation Officer in December 2015, Stuart started his working life as a VAT debt enforcement officer at Customs & Excise before joining the world of insolvency 21 years ago at PwC before moving to help open the FRP Advisory LLP South West office.

Rachel Lai – Menzies LLP

Rachel Lai is a Director at Menzies LLP. She has undertaken a wide variety of corporate and personal insolvency assignments over the past 10 years and now deals with many of the more complex cases, both solvent and insolvent.

Ian Line – Grant Thornton

Ian heads up the Specialist Pensions Unit and provides advice on the pensions, life assurance and other employee benefit arrangements of companies to companies, trustees and both Insolvency Practitioners and Corporate Finance teams.

Eileen Maclean – Insolvency Support Services

Eileen is a licensed insolvency practitioner with over 25 years' experience of all aspects of personal and corporate insolvency. Since 1999 Eileen has been providing bespoke support services to the insolvency and business community, including back office and technical support, compliance reviews and extensive training programmes. She is recognised for her thought leadership in the profession.

Graham McPhie – Moon Beaver

Graham has been a solicitor specialising in insolvency for 29 years. He acts in both corporate and personal insolvency matters with a particular emphasis on contentious matters. A regular speaker at R3 courses for a number of years, his sessions aim to be engaging and practical for the audience with tips on dealing with real world situations.

Alison Morgan – ICAEW

Alison has been working in ICAEW's Quality Assurance Department since October 2011 and spends much of her time on regulatory monitoring visits. She studied English and French Law at Leicester and Strasbourg Universities and subsequently started her insolvency career in 1997 in the Leicester office of KPMG LLP becoming an ICAEW Chartered Accountant in

2000 and passing JIEB in 2001.

Sacha Pickering – Michelmores LLP

Sacha has nearly 20 years' experience as a specialist banking, insolvency and restructuring Solicitor. Sacha deals with all types of restructuring and insolvency issues, including business and asset sales by office holders, antecedent transaction advice and recovery, and all aspects of appointment holders' duties, powers and responsibilities.

Stefan Ramel – Guildhall Chambers

Stefan is a commercial and insolvency barrister at Guildhall Chambers. He is top-rated for his insolvency work by Chambers and Partners and Legal 500. He is described by clients as having an "outstanding intellect". He is also described as a "go to Counsel" on cross-jurisdictional insolvency issues.

Darren Toms – Clumber Consultancy

Darren started his career in pensions in 1996 and has been helping UK Insolvency Practitioners and businesses with complex pension and insurance related matters ever since. He is passionate, empathetic and positive about his work, particularly when creating cost effective compliant solutions that can offer minimal involvement and risk exposure for his clients.

Charles Turner – CVR Global

Charles has 30+ years of restructuring and insolvency experience. As well as conducting a range of mid-market insolvency assignments he is well known for his specialist advisory expertise, working with financially stressed organisations in the charity and not for profit sector and also professional practices.

Course Prices

SPG Technical Review

One day course

London

14 February 2019

Crowne Plaza Kings Cross

Fellow – £340^{+VAT}

Member – £355^{+VAT}

Associate – £405^{+VAT}

Non-Member* – £455^{+VAT}

New Professionals – £355^{+VAT}

Birmingham

26 February 2019

Clayton Hotel

Fellow – £290^{+VAT}

Member – £305^{+VAT}

Associate – £355^{+VAT}

Non-Member* – £405^{+VAT}

New Professionals – £305^{+VAT}

Leeds

30 April 2019

Hilton Leeds

Fellow – £290^{+VAT}

Member – £305^{+VAT}

Associate – £355^{+VAT}

Non-Member* – £405^{+VAT}

New Professionals – £305^{+VAT}

Exeter

9 May 2019

Sandy Park

Fellow – £290^{+VAT}

Member – £305^{+VAT}

Associate – £355^{+VAT}

Non-Member* – £405^{+VAT}

New Professionals – £305^{+VAT}

*Non-members are required to pay in full before attendance at the event



The UK's leading provider in insolvency, restructuring and turnaround training

R3 trains, develops and supports insolvency and restructuring professionals across the UK and beyond, drawing on the skills and knowledge of our network of expert speakers.

Keep up to date on the latest technical, legal and practical requirements with our 2019 programme of events.

Visit r3.org.uk/programme-of-events for more information.





Not an R3 member?

R3's work includes protecting and promoting the profession by ensuring its members have a direct influence on insolvency and restructuring legislation and regulation; and providing effective and practical technical guidance and support to members, government and other stakeholders.

We meet frequently with regulators, Government, HMRC and other key stakeholders, ensuring that we can bring you the latest insights and practical guidance on essential topics, and allowing you and your staff to remain up-to-date, compliant and ahead of the competition.

How do I join?

To take advantage of our member benefits, join today and receive discounts on R3 courses, including this one. Visit www.r3.org.uk

R3

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 @R3_Events

 R3 Courses and Conferences

www.r3.org.uk



CPD accreditation

The course constitutes structured CPD to meet the requirements of the Association of Certified Chartered Accountants (ACCA), the Institute of Chartered Accountants in England and Wales (ICAEW), the Insolvency Practitioners Association (IPA), the Institute for Turnaround (IFT), Solicitors Regulation Authority (SRA) and the Bar Standards Board.

7 hours

Key sponsorship partners

