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Program - Key AML Sessions

60 mins **Source of Funds & Source of Wealth: Questions your clients might not like, but you must ask**

Source of Funds and Source of Wealth is central to meeting Tranche 2 customer due diligence obligations, but it's also one of the areas practitioners find most uncomfortable. This session demystifies what AUSTRAC expects of legal practitioners and highlights:

- what constitutes reasonable, proportionate inquiry and documentation
- how to scale your inquiries to client and matter risk, and
- what evidence is sufficient in low, medium and high risk situations.

Learn how to ask the necessary questions, record the answers effectively, and strike the right balance between regulatory obligations and client relationships.

Presenter: **Katie Miller**, Deputy CEO, Regulation, AUSTRAC

Chair: **Lynette Barlow**, General Manager, Sales, InfoTrack

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60 mins **A Guide to the AUSTRAC Starter Kit: Practical Steps for Legal Practices**

The AUSTRAC industry-specific AML/CTF Program Starter Kits are designed to help small, low-complexity legal practices prepare for their obligations under Tranche 2. These kits will provide templates for an AML/CTF Program and a Money Laundering/Terrorism Financing (ML/TF) Risk Assessment as well as accompanying AML/CTF policies for typical small legal practices. But templates are just the beginning—not the finish line. In this practical session, Grant Thornton Partner Neil Jeans will guide practitioners through the Starter Kit's key components, demonstrating how to adapt and implement the template for your specific practice.

- What's actually in the Starter Kit and what it doesn't cover
- How to customise the templates for your practice area and client base
- How to integrate the Starter Kit into your existing workflows and systems without over-engineering

Presenter: **Jessica Smith**, Director, Risk Consulting, Grant Thornton

Facilitator: **Amy Hayes**, Director, Licensing, Operations & Policy, Queensland Law Society

Chair: **Dylan Maclou**, Special Projects - AML/CTF, Leap Legal Software

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Presenters



Lynette Barlow

Lynette Barlow is a respected industry voice in legal technology, currently serving as the General Manager of Sales at InfoTrack. With over 12 years of experience in the industry, she has played a pivotal role in driving business growth, digital transformation, and the adoption of AI-powered solutions within the legal sector. With a unique ability to translate complex technological advancements into real-world value for legal practices across Australia, she continues to shape the future of legal technology, inspiring professionals to embrace innovation in an evolving digital landscape.



Amy Hayes

Amy Hayes is the Director of Licensing, Operations and Policy at the Queensland Law Society.

Since beginning her legal career in Brisbane, Amy has developed expertise in legal services regulation (including AML/CTF frameworks), compliance and risk management across the United Kingdom and Australia. She has a strong, practical understanding of how AML/CTF obligations intersect with legal practice, particularly conveyancing, and has enjoyed assisting practitioners understand and mitigate the risks of facilitating financial crime.

Amy's current work focuses on ensuring the suitability of legal practitioners in Queensland and supporting the Society's AML/CTF policy work. Looking to the future, Amy is eager to witness the maturation of the AML/CTF regime in Australia, in line with leading foreign jurisdictions.

Amy holds a Bachelor of Laws (QUT), a Graduate Diploma of Legal Practice, and an International Diploma in Governance, Risk and Compliance (ICA).



Peter Jolly

Peter Jolly is a Partner at the Brisbane firm of Thynne + Macartney and heads the firm's Commercial Law Group. He is a Queensland Law Society Business Accredited Law Specialist and chairs the Queensland Law Society Business Law Specialist Accreditation Committee. He was elected to the Council of the Queensland Law Society in 2022 and is currently the Vice President of the Society.



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Dylan Maclou

Dylan Maclou is a Special Projects lead at LEAP Legal Software. Dylan is currently focused on coordinating LEAP's response to the AML/CTF Tranche 2 reforms, including scoping changes to LEAP's core product, overseeing product development, and supporting product rollout and enablement. He also delivers internal training to ensure LEAP teams are prepared to support firms through their Tranche 2 obligations. Dylan has a legal background, with over six years' experience working in law firms in both private practice and in-house roles. He is passionate about helping firms adopt practical technology solutions that reduce inefficiency and improve workflow.



Katie Miller

Katie Miller is the DCEO, Regulation, AUSTRAC. Katie is responsible for AUSTRAC's regulatory, legal and policy functions. AUSTRAC's regulatory function employs a range of tools, including non-coercive tools such as communication, relationships with reporting entities, guidance, education and feedback following compliance assessments, as well as coercive tools, such as powers to appoint external auditors, issue infringement notices and remedial directions, accept enforceable undertakings and apply to the court for civil penalties. Katie is a lawyer by background and training.



Sophie Robertson

Sophie is a media lawyer and litigator with extensive experience in media and defamation matters.

She provides legal advice to some of Australia's largest media organisations. Sophie also acts for publishers, authors, insurers and private individuals. She was a Board Member of Women in Media Australia from 2019 to 2023. Sophie has been recognised in Best Lawyers in Australia since 2023 in Defamation and Media Law.

Sophie specialises in defamation matters (both plaintiff and defendant), contempt proceedings, non-publication orders, court access applications, urgent injunctions, privacy matters, freedom of information / right to information requests and protecting sources.



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Jessica Smith

Jessica is a senior risk and compliance professional with over 15 years of AML/CTF experience spanning a variety of institutions including banks, investment funds, international payments companies, money remitters, corporate bookmakers and cryptocurrency exchanges.

Jessica is an innovative and trusted risk professional who is passionate about helping businesses navigate complex regulatory changes. She possesses deep knowledge and experience in risk, legal, governance and compliance across the full spectrum of financial services.

As a qualified lawyer and compliance professional, Jessica combines her personable nature with her extensive financial services background to provide innovative, strategic, commercial and pragmatic solutions for clients.

Jessica regularly contributes to regulatory reform. Most recently, she drafted submissions, attended roundtables with Treasury and regulators as well as engaged with industry bodies on changes to the Australian AML/CTF regime and payments reforms.