

CONFLICTS OF INTEREST SELF AUDIT

AUDIT INQUIRY	RESPONSE				IMPROVEMENT STRATEGY	TARGETED COMPLETION DATE
	YES	NO	SOME- TIMES	EXPLANATORY REMARKS		
1. Did you know that conflicts based malpractice claims and ethical grievances are among the most rapidly increasing problem areas for attorneys and their clients?						
2. Do you have a comprehensive conflicts of interest system for discovering potential conflicts?						
3. Do you check for any potential conflicts <u>prior to</u> receiving confidential disclosures from new clients?						
4. Have you offered training sessions and materials to your staff which assist them in understanding, spotting and helping the firm avoid conflicts of interest situations?						
5. Do you request information regarding other names (i.e., maiden, marital, etc.) that potential clients and adverse parties may have used in the past?						
6. Do you share new client information with other firm attorneys on <u>at least</u> a weekly basis?						
7. Do you share new client information with all staff members on <u>at least</u> a weekly basis?						

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8. Do you engage in any of the following practices, all of which are potential conflicts traps:						
a. act as both legal counsel and an officer						
c. have a financial interest in a client matter?						
c. represent adverse parties?						
d. represent parties attempting to receive monies from one collective financial						
e. engage in business with a client?						
f. accept stock in lieu of fees?						
g. represent multiple clients in the same transaction with potentially divergent interests?						
9. Do you check for any potential conflicts that your staff (permanent and temporary employees) may have because of their prior work at other firms or because of their personal or business interests?						
10. Do you check for any potential conflicts that attorneys (permanent, temporary, and contract) may have because of their work at other firms or because of their personal or business interests?						
11. Do you provide conflict information to departing attorneys?						