

# Policy

## Anti-Bribery and Corruption Policy

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### 1 Policy statement

- 1.1 It is our policy to conduct all of our business in accordance with the highest professional and ethical standards. We take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in all our business dealings and relationships wherever we operate and implementing and enforcing effective systems to counter bribery.
- 1.2 We will uphold all laws relevant to countering bribery and corruption. We remain bound by the laws of the UK, including the Bribery Act 2010, in respect of our conduct both at home and abroad.
- 1.3 The purpose of this policy is to:
- 1.3.1 set out our responsibilities, and of those working for us, in observing and upholding our position on bribery and corruption; and
- 1.3.2 provide information and guidance to those working for us on how to recognise and deal with bribery and corruption issues.
- 1.4 Bribery and corruption are punishable for individuals by up to ten years' imprisonment and if we are found to have taken part in corruption we could face an unlimited fine, be excluded from tendering for public contracts and face damage to our reputation. We therefore take our legal responsibilities very seriously.

1.5 In this policy, “**third party**” means any individual or organisation you come into contact with during the course of your work for us, and includes actual and potential clients, customers, suppliers, distributors, business contacts, agents, advisers, and government and public bodies, including their advisors, representatives and officials, politicians and political parties.

2 Who is covered by the policy?

2.1 This policy applies to all individuals working at all levels and grades, including partners and employees (whether permanent, fixed-term or temporary), consultants, contractors, trainees, seconded staff, homeworkers, casual workers and agency staff, volunteers, interns, agents, sponsors, or any other person associated with us, or with any Mills & Reeve company or their employees, wherever located (collectively referred to as “**workers**” in this policy).

3 What is bribery?

3.1 A bribe is an inducement or reward offered, promised or provided in order to gain any commercial, contractual, regulatory or personal advantage.

**Examples:**

**Offering a bribe**

You offer a potential client tickets to a major sporting event, but only if they agree to do business with us.

This would be an offence as you are making the offer to gain a commercial and contractual advantage. We may also be found to have committed an offence because the offer has been made to obtain business for us. It may also be an offence for the potential client to accept your offer.

**Receiving a bribe**

A supplier gives your nephew a job, but makes it clear that in return they expect you to use your influence in our organisation to ensure we continue to do business with them.

It is an offence for a supplier to make such an offer. It would be an offence for you to accept the offer as you would be doing so to gain a personal advantage.

**Bribing a foreign official**

You arrange for the business to pay an additional payment to a foreign official to speed up an administrative process, such as obtaining a tax certificate or official register entry.

The offence of bribing a foreign public official has been committed as soon as the offer is made. This is because it is made to gain a business advantage for us. We may also be found to have committed an offence.

3.2 This policy extends equally to active and passive bribery. Active bribery involves any worker offering a bribe. Passive bribery involves any worker being offered a bribe.

4 Gifts and hospitality

4.1 This policy does not prohibit normal and appropriate hospitality (given and received) to or from third parties so long as it complies with both the terms of this policy and with any [Corporate Hospitality Policy](#) current from time to time at Mills & Reeve.

4.2 The giving or receipt of gifts is not prohibited, if all the following requirements are met:

- 4.2.1 it is not made with the intention of influencing a third party to obtain or retain business or a business advantage, or to reward the provision or retention of business or a business advantage, or in explicit or implicit exchange for favours or benefits;
  - 4.2.2 it complies with local law and the Solicitors Regulation Authority Codes of Conduct (remember in particular that, whether or not any improper inducement, reward or advantage is intended no one subject to the Codes of Conduct may continue to act for a client who proposes to make a gift of significant value to the regulated individual or anyone else at Mills & Reeve or to a member of their family unless the client takes independent advice);
  - 4.2.3 it is given in our name, not in your name;
  - 4.2.4 it is appropriate in the circumstances – or example, in the UK it is customary for small gifts to be given at Christmas time;
  - 4.2.5 taking into account the reason for the gift, it is of an appropriate type and value and given at an appropriate time;
  - 4.2.6 it is given openly, not secretly; and
  - 4.2.7 gifts should not be offered to, or accepted from, government officials or representatives, or politicians or political parties, or from anyone working in the public sector (including, for example, educational institutions and their subsidiary companies), without the prior approval of the Managing Partner or the Senior Partner.
- 4.3 The receipt of cash or a cash equivalent (such as gift certificates or vouchers) is higher risk and you should seek advice from Risk & Compliance before proceeding.
- 4.4 We appreciate that the practice of giving business gifts varies between countries and regions and what may be normal and acceptable in one region may not be in another. The test to be applied is whether in all the circumstances the gift or hospitality is reasonable and justifiable. The intention behind the gift should always be considered.

## 5 What is not acceptable?

- 5.1 It is not acceptable for you (or someone on your behalf) to:
- 5.1.1 give, promise to give, or offer, a payment, gift or hospitality with the expectation or hope that a business advantage will be received, or to reward a business advantage already given;
  - 5.1.2 give, promise to give, or offer, a payment, gift or hospitality to a government official, agent or representative to “facilitate” or expedite a routine procedure;
  - 5.1.3 accept payment from a third party that you know or suspect is offered with the expectation that it will obtain a business advantage for them;
  - 5.1.4 accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by us in return;
  - 5.1.5 threaten or retaliate against another worker who has refused to commit a bribery offence or who has raised concerns under this policy;

5.1.6 breach the terms of any [Corporate Hospitality](#) or other policy in force at Mills & Reeve from time to time, the purpose of any part of which is to help us maintain our professional and ethical standards; or

5.1.7 engage in any activity that might lead to a breach of this policy.

## 6 Facilitation payments and kickbacks

6.1 We do not make, and will not accept, facilitation payments or 'kickbacks' of any kind. Facilitation payments are typically small, unofficial payments made to secure or expedite a routine government action by a government official. They are not commonly paid in the UK, but are common in some other jurisdictions in which we do business.

6.2 If you are asked to make a payment on our behalf, you should always be mindful of what the payment is for and whether the amount requested is proportionate to the goods or services provided. You should always ask for a receipt which details the reason for the payment. If you have any suspicions, concerns or queries regarding a payment, you should raise these with the Director of Risk Management.

6.3 Kickbacks are typically payments made in return for a business favour or advantage. All workers must avoid any activity that might lead to, or suggest, that a facilitation payment or kickback will be made or accepted by us.

## 7 Donations

7.1 We do not make contributions to political parties without Board approval and contributions are never made in an attempt to influence any decision or gain a business advantage and are always disclosed. We only make charitable donations that are legal and ethical under local laws and practices. All donations funded by the firm will be made by the Mills & Reeve Charitable Trust, which is an independent charity.

## 8 Due Diligence

8.1 Consistent with our zero-tolerance approach to bribery and corruption we will not work with those who tolerate corruption in their business. Before entering into a new business relationship with any client, supplier or other third party you should undertake appropriate risk based due diligence into that person's ethical reputation. By risk based we mean due diligence proportionate to the relevant person's risk profile judged by reference to relevant circumstances including the business sector and country or countries in which the person operates. Where that person is a client the due diligence obligation is complementary to your due diligence obligations in respect of anti- money laundering – see [Customer Due Diligence Manual](#). As with the anti-money laundering obligation the anti- bribery and corruption due diligence obligation applies not just at the beginning of the business relationship. The due diligence should be refreshed during the relationship on a risk sensitive and appropriate basis.

## 9 Your responsibilities

9.1 You must ensure that you read, understand and comply with this policy.

9.2 The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for us or under our control. All workers are required to avoid any activity that might lead to, or suggest, a breach of this policy.

9.3 You must notify your line manager **OR** the Director of Risk Management as soon as possible if you believe or suspect that a conflict with this policy has occurred, or may occur in the future. For example, if a client or potential client offers you something to gain a business advantage with us, or indicates to you that a gift or

payment is required to secure their business. Further 'red flags' that may indicate bribery or corruption are set out in the Schedule on page 8.

- 9.4 Any employee who breaches this policy will face disciplinary action, which could result in dismissal for gross misconduct. We reserve our right to terminate our contractual relationship with other workers if they breach this policy.

## 10 Recordkeeping

- 10.1 We must keep financial records and have appropriate internal controls in place which will evidence the business reason for making payments to third parties.
- 10.2 You must declare and keep a written record of all hospitality or gifts accepted or offered, which will be subject to managerial review.
- 10.3 You must ensure all expenses claims relating to hospitality, gifts or expenses incurred to third parties are submitted in accordance with our [Travel and expenses policy](#) and specifically record the reason for the expenditure.
- 10.4 All accounts, invoices, memoranda and other documents and records relating to dealings with third parties, such as clients, suppliers and business contacts, should be prepared and maintained with strict accuracy and completeness. No accounts must be kept "off-book" to facilitate or conceal improper payments.

## 11 How to raise a concern

- 11.1 You are encouraged to raise concerns about any issue or suspicion of malpractice at the earliest possible stage. If you are unsure whether a particular act constitutes bribery or corruption, or if you have any other queries, these should be raised with your line manager **OR** the Director of Risk Management. Concerns may be reported by following the procedure set out in our [Whistleblowing Policy](#).

## 12 What to do if you are a victim of bribery or corruption

- 12.1 It is important that you tell the Director of Risk Management or follow the [Whistleblowing Policy](#) as soon as possible if you are offered a bribe by a third party, are asked to make one, suspect that this may happen in the future, or believe that you are a victim of another form of unlawful activity.

## 13 Protection

- 13.1 Workers who refuse to accept or offer a bribe, or those who raise concerns or report another's wrongdoing, are sometimes worried about possible repercussions. We aim to encourage openness and will support anyone who raises genuine concerns in good faith under this policy, even if they turn out to be mistaken.
- 13.2 We are committed to ensuring no one suffers any detrimental treatment as a result of refusing to take part in bribery or corruption, or because of reporting in good faith their suspicion that an actual or potential bribery or other corruption offence has taken place, or may take place in the future. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavourable treatment connected with raising a concern. If you believe that you have suffered any such treatment, you should inform the Managing Partner or Director of Risk Management immediately. If the matter is not remedied, and you are an employee, you should raise it formally using our [Grievance Policy](#).

## 14 Training and communication

- 14.1 Training on this policy forms part of the induction process for all new workers (other than some non-fee earning workers). All existing workers (other than some non fee earning workers) will receive, relevant training on how to implement and adhere to this policy.
- 14.2 Our zero-tolerance approach to bribery and corruption must be communicated to all suppliers, contractors and business partners at the outset of our business relationship with them and as appropriate thereafter.

## 15 Who is responsible for the policy?

- 15.1 The Board has overall responsibility for ensuring this policy complies with our legal and ethical obligations, and that all those under our control comply with it.
- 15.2 The Director of Risk Management has primary and day-to-day responsibility for implementing this policy, and for monitoring its use and effectiveness and dealing with any queries on its interpretation. Management at all levels are responsible for ensuring those reporting to them are made aware of and understand this policy and are given adequate and regular training on it.

## 16 Monitoring and review

- 16.1 The Director of Risk Management will monitor the effectiveness and review the implementation of this policy, regularly considering its suitability, adequacy and effectiveness. Any improvements identified will be made as soon as possible. Internal control systems and procedures will be subject to regular checks to provide assurance that they are effective in countering bribery and corruption.
- 16.2 All workers are responsible for the success of this policy and should ensure they use it to disclose any suspected danger or wrongdoing.
- 16.3 Workers are invited to comment on this policy and suggest ways in which it might be improved. Comments, suggestions and queries should be addressed to the Director of Risk Management.
- 16.4 This policy does not form part of any employee's contract of employment and it may be amended at any time.

## Compulsory Knowledge

Content in this document has been designated as Compulsory Knowledge for some roles.

If you have received notification that this document is Compulsory Knowledge for you, once you have read it **you must click on this link to return to the Learning Hub** and there you must complete the Signature Sheet to confirm you have read and understood the document.

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**Robert Farrant**  
Director of Risk Management  
for Mills & Reeve LLP  
+(44)(0)1223 222413  
robert.farrant@mills-reeve.com

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Tim Winn	Y	Amended paragraph 4.3 to note that receiving cash and cash equivalent gifts is higher risk and that advice from R&C should be sought before accepting.  Also, an amended to paragraph 9.4 to update the cross-referencing typo. Oct 2022	
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## Schedule

### Potential risk scenarios: 'red flags'

The following is a list of possible red flags that may arise during the course of you working for us and which may raise concerns under various anti-bribery and anti-corruption laws and applicable regulations. The list is not intended to be exhaustive and is for illustrative purposes only.

If you encounter any of these red flags while working for us, you must report them promptly to your line manager **OR** to the Director of Risk Management **OR** use the procedure set out in the [Whistleblowing Policy](#).

- 1 you become aware that a third party engages in, or has been accused of engaging in, improper business practices;
- 2 you learn that a third party has a reputation for paying bribes, or requiring that bribes are paid to them, or has a reputation for having a "special relationship" with foreign government officials;
- 3 a third party insists on receiving a commission or fee payment before committing to sign up to a contract or relationship with us, or carrying out a government function or process for us;
- 4 a third party requests payment in cash and/or refuses to sign a formal commission or fee agreement, or to provide an invoice or receipt for a payment made;
- 5 a third party requests that payment is made to a country or geographic location different from where the third party resides or conducts business;
- 6 a third party requests an unexpected additional fee or commission to "facilitate" a service;
- 7 a third party demands lavish entertainment or gifts before commencing or continuing contractual negotiations or provision of services;
- 8 a third party requests that a payment is made to "overlook" potential legal violations;
- 9 a third party requests that you provide employment or some other advantage to a friend or relative;
- 10 you receive an invoice from a third party that appears to be non-standard or customised;
- 11 a third party insists on the use of side letters or refuses to put terms agreed in writing;
- 12 you notice that we have been invoiced for a commission or fee payment that appears large given the service stated to have been provided;
- 13 a third party requests or requires the use of an agent, intermediary, consultant, distributor or supplier that is not typically used by or known to us;
- 14 you are offered an unusually generous gift or offered lavish hospitality by a third party;
- 15 a third party requests a service or other advantage likely to benefit them rather than their employer (or other person to whom they owe a duty of good faith) – for example, you suspect that a request for Mills & Reeve to second a lawyer to a third party for no fee is motivated by a desire to manipulate the profitability of the team managed by the third party, and so to influence the discretionary element of the third party's pay, rather than to confer genuine benefit on the employer;



- 16 you or Mills & Reeve receive a financial benefit (other than payment of the firm's proper costs) as a result of acting for a client and, however proper and justifiable the conferring of that benefit may be, anyone tries to prevent you from either paying it to the client or offsetting it against the firm's fees, or from obtaining the client's informed and justified consent to you or the firm keeping it;
- 17 you refer or become aware that a colleague at Mills & Reeve has referred a client to a third party (for example, another lawyer or a financial services provider) and any of the following apply:
- (a) the client's best interests have not been treated as paramount;
  - (b) the referral compromises the independence of the firm or of anyone else subject to this policy;
  - (c) full disclosure is not made to the client of any financial interest which you, the colleague or firm has in making the referral;
  - (d) where the client is likely to need advice on investments, the referral is other than to an independent intermediary;
- 18 you learn of a breach by a member of the firm of any referrals acceptance procedures within the [Referral Policy](#), including in particular those restricting or prohibiting the payment of referral fees.