

Standard Operating Procedure (SOP)

Client Intake and Conflict Check Procedures

This SOP details the **client intake and conflict check procedures**, encompassing the initial client information gathering, verifying client identity, conducting thorough conflict of interest checks, documenting all findings accurately, and ensuring compliance with legal and ethical standards. The goal is to establish a clear and efficient process to manage new client engagements while preventing any potential conflicts that could compromise professional integrity.

1. Purpose

To establish a systematic process for onboarding new clients, verifying their identities, conducting comprehensive conflict checks, and documenting all relevant findings in accordance with legal and ethical obligations.

2. Scope

This SOP applies to all personnel involved in new client engagement, including partners, associates, paralegals, and administrative staff.

3. Responsibilities

Role	Responsibilities
Intake Staff	Collect initial client information; initiate conflict check process; ensure documents are complete.
Attorneys/Partners	Review results of conflict check; make final decision on engagement; ensure compliance with professional standards.
Compliance Officer	Monitor adherence to SOP; provide training; address escalated conflict issues.

4. Procedures

- 1. Client Intake**
 - Gather preliminary client information (name, contact details, entity type, matter details, referring source).
 - Explain confidentiality and data usage to the client.
 - Provide and collect completed intake forms (paper or digital).
- 2. Client Identity Verification**
 - Request government-issued identification and/or relevant business documentation.
 - Confirm identity through in-person check or secure electronic verification.
- 3. Conflict Check Process**
 - Enter client, related parties, and matter details into the conflict database/system.
 - Conduct search against firm's existing and previous clients, adverse parties, and potential interests.
 - If a potential conflict is identified, escalate to supervising attorney.
- 4. Conflicts Resolution**
 - Review potential conflicts with all relevant parties; determine whether conflict waivers or declines are required.
 - Obtain written consent or waiver from affected parties when applicable.
 - If the conflict cannot be resolved, decline representation in writing.
- 5. Documentation & Filing**
 - Document all findings, actions taken, and any communication regarding conflicts.
 - Securely store completed intake forms, identification, and conflict check records in client files (physical or electronic).
- 6. Compliance Review**
 - Regularly review and update intake and conflict check processes to ensure compliance with latest regulations and standards.
 - Provide ongoing training for involved personnel.

5. Documentation & Record Retention

- Maintain all intake and conflict check records for a minimum period as required by law or internal policy.
- Ensure access to sensitive client data is restricted to authorized personnel only.

6. Review and Updates

This SOP shall be reviewed annually or upon significant change in regulations, procedures, or firm policy.

