

# **THE COMPLIANCE REGISTER PLATINUM AWARDS® 2016**

for Exemplary Service to Compliance and Regulation

List of Winners as at 1<sup>st</sup> December (Errors and Omissions Excepted)

## **PRESS RELEASE**

**FOR RELEASE ON 5<sup>TH</sup> DECEMBER 2016 at 3PM**

THE COMPLIANCE REGISTER is pleased to announce the winners of THE COMPLIANCE REGISTER PLATINUM AWARDS® 2016. This is the 13<sup>th</sup> annual awards recognising Exemplary Service to Compliance and Regulation. Celebrations were held at a star-studded gala evening and cabaret on 1<sup>st</sup> December at The Lancaster London. In attendance were celebrities Jane Asher and Jane Hill who generously lent their support to help raise funds for the charity Parkinson's UK. Also in attendance were compliance professionals from India, South Africa, USA, Mauritius and the Channel Islands.

One of the highlights of the evening was the fourth annual charity contest, Compliance Got Talent ("CGT"). Last year's winner, 12-year old Isaac Butler (he is the son of Paul Butler, Compliance Officer of Halcyon in London) made a triumphant comeback to win again, this time playing piano accompanied by his sister on trumpet. In second place were the Kaiser Compliance Chiefs whose drummer is 7-year old Sebastian Bendle. He is the son of Brian Bendle, PI specialist of Lonsdale Insurance Brokers. First place wins £1,000 and second place £600 to the respective selective charities. Isaac Butler was performing for St. Barnabas Hospices (Sussex) Limited and Kaiser Compliance Chiefs for Leonard Cheshire Disability.

Ben Goh, Chairman of The Compliance Register, entertained the audience with his "Trump hair-style" when he performed the classic "Imagine" live on stage – a message for peace in the world.

Speaking about the Awards, Ben Goh, said:-

"We have never been shy when it comes to innovation. Once again, The Compliance Register leads the way with a new Section in the Awards this year where the winners are determined by industry voting which can be done by text or online. With an international audience, 85% of the online voting came from overseas ranging from Australia, China, Denmark, France, Germany, Hong Kong, India, Indonesia, Italy, Japan, Luxembourg, Malaysia, New Zealand, Singapore, South Africa, South Korea, UAE, etc."

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## Grateful Thanks

Our grateful thanks to all the sponsors and donors who have donated to the various charities as well as the various auction items. Our grateful thanks also to the members of the Academy of Compliance Excellence (ACE) who voted to determine the winners of each of the relevant categories.

Finally, the date for the 2017 Awards has been provisionally fixed for Thursday 30<sup>th</sup> November at the Royal Lancaster Hotel in London.

## How the Awards are determined

Apart from the categories in Section A which are subject to industry voting, the winners were determined by the vote of the members of the Academy of Compliance Excellence (ACE). A full list of members is in the Appendix One.

## Strict Rules of Impartiality

ACE members act independently and on a pro-bono basis in their personal capacity. Their role is an honorary one. Where a member is conflicted in any category, he or she will abstain and a Reserve member will vote in their place.

## Abstentions

The following abstentions were recorded:-

- Miten Trivedi in categories C11, D4 and E8 (Alex Shapland voted in these categories)
- Alison Verlander in all categories due to work pressure (Jim Oakes voted in her place)

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**RESULTS**

**Special Awards**

Special Award by UnaVista, London Stock Exchange Group

1. Transaction Reporting Guru of the Year

Winner: Sarah Peaston, Citi

Special Award by Compliance Register Consulting

2. Special Commendation for Compliance Excellence

Winner: Rinku Sharman, SBI Card

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**Section A – Industry Voting**

The Awards in this Section are determined by industry voting, the winner being the one with the largest number of votes. There is only one winner per category, no runner-up is announced. A massive surge during the last day of voting (15 November) did tip the balance in several categories.

1. **Most Effective Recruitment Firm – Financial Services:** Hays plc
2. **Most Effective Recruitment Firm – London Insurance Market:** Black Swan Group
3. **Most Effective Recruitment Firm – Banking:** Hays plc
4. **Most Effective Recruitment Firm – Asset Management:** Compliance Professionals
5. **Most Effective Recruitment Firm – Financial Crime:** Black Swan Group
6. **Most Effective Law Firm:** Bond Dickinson
7. **Most Effective Compliance Consultancy:** Deloitte
8. **Most Effective Training Firm:** FSTP
9. **Most Effective Financial Crime Solutions Provider:** AML Partners
10. **Best Lloyds of London Broker:** Lonsdale Insurance Brokers
11. **Most Effective Promoter of Gender Diversity in Compliance:** ionStar
12. **Most Promising Start-up Business:** BWB Compliance
13. **Best Customer Service:** Enterprise Learning

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## Section B (For Regulated Firms)

(Category B1) Best Approach to Governance, Risk and Compliance (GRC) Requirements

Winner: Fusion Wealth

Second: Best Practice IFA Group

(Category B2) Best Approach to Financial Crime & Sanctions Compliance

Winner: SMBC Europe

Second: Fusion Wealth

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**Section C (For Service Providers)**

**(Category C2) Best Consultancy/Law Firm – Conduct Risk including CASS**

Winner: Dentons  
Second: Moore Stephens

**(Category C3) Best Consultancy/Law Firm – Regulatory Change Management**

Winner: Eversheds  
Second: FSTP

**(Category C4) Best Consultancy/Law Firm – Regulatory Advice**

Winner: FSCOM  
Second: Eversheds

**(Category C5) Best Consultancy/Law Firm – Financial Crime Compliance**

Winner: KPMG  
Second: Dentons

**(Category C6) Best Consultancy/Law Firm – FCA/PRA Authorisations**

Winner: KPMG  
Second: FSCOM

**(Category C7) Best Solutions Provider – EMIR and Regulatory Reporting**

Winner: UnaVista, London Stock Exchange Group  
Second: Not awarded

**(Category C8) Best Solutions Provider – Financial Crime & Sanctions**

Winner: AML Partners  
Second: LexisNexis Risk Solutions

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## **(Category C9) Best Financial Crime Research & Intelligence Data**

Winner: LexisNexis Risk Solutions

Second: Thompson Reuters

## **(Category C11) Best Recruitment Firm – Compliance & Senior Managers**

Winner: Black Swan Group

Second: GCS Recruitment

## **(Category C12) Best Solutions Provider – Senior Managers' Regime**

Winner: Redland Business Solutions

Second: HRComply

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**Section D (For Teams)**

**(Category D1) Best Compliance Team – Regulated Firms**

Winner: Yorkshire Building Society  
Second: HSBC Commercial Bank

**(Category D3) Best Compliance Consulting Team**

Winner: Best Practice IFA Group  
Second: Eversheds

**(Category D4) Best Recruitment Services Team**

Winner: Black Swan Group  
Second: Best Practice IFA Group

**(Category D5) Best Financial Crime Compliance Team**

Winner: SMBC Europe  
Second: Standard Bank Offshore



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**Section E Part One (For Individuals)**

**(Category E1) Best Head of Regulatory Compliance**

Winner: Tom Simpson, Yorkshire Building Society  
Second: Rinku Sharma, SBI Card

**(Category E2) Best Head of Financial Crime Compliance**

Winner: Simon Wilkin, SMBC Europe  
Second: Colin Ford, Renaissance Capital

**(Category E3) Best Compliance Manager**

Winner: David Hewitt, Standard Bank Jersey  
Second: Faye Comerford, Yorkshire Building Society

**(Category E4) Best Female Compliance Professional**

Winner: Nevashni Naidu, Standard Bank South Africa  
Second: Tanya Ziv, Lebara Money

**(Category E5) Best Compliance Consultant**

Winner: Simon Collins, Eversheds  
Second: Gillian Roche-Saunders, BWB Compliance

**(Category E6) Best Regulatory Lawyer**

Winner: David Saunders, Eversheds  
Second: Andrew Barber, Bond Dickinson

**(Category E7) Best Compliance Trainer**

Winner: Emma Radmore, Bond Dickinson  
Second: Peter Probert, Spearhead Advisory

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## **(Category E8) Best Recruiter**

Winner: Chris Roots, Black Swan Group

Second: Oliver Donovan, Black Swan Group

## **(Category E9) Best Compliance Professional (aged 35 and under)**

Winner: Michael Southgate, FSCOM

Second: Bobby Todorov, Exotix

## **(Category E10) Long and Distinguished Service to Compliance & Regulation**

Winner: Emma Radmore, Bond Dickinson

Second: Not awarded

## **Section E Part Two (For Individuals)**

### **(Category HF1) Hall of Fame Lifetime Achievement**

Winner: Dan Waters, Investment Company Institute Global.

## **APPENDIX**

### **Academy of Compliance Excellence (ACE)**

Please note that each member of ACE is serving in a personal capacity on a pro bono basis.

The members are:-

#### *Voting Members (alphabetical order)*

1. Neil Beard, Director, Clearly Compliance Limited
2. Brian Bendle, PI Specialist, Lonsdale Insurance Brokers
3. Robert Finney, Partner, Holman Fenwick Willan
4. Charles Hutchinson, Head of Compliance UK and MENA, Natixis Global Asset Management
5. David Skade, Head of Financial Crime Compliance, BNP Paribas
6. Sam Stewart, Director, Stewart Regulatory Consulting
7. Chris Terry, Governance & Risk Director, Capita plc
8. Miten Trivedi, EMEA Head of Compliance, TD Securities
9. Alison Verlander, Director of Regulatory and Operational Risk, TSB

#### *Reserves (alphabetical order)*

10. Alex Shapland, former PwC partner
11. Jim Oakes, Director, Financial Crime Risk Limited
12. Richard Sowerbutts, former Deloitte partner
13. Rosalind Wright, QC, former director of the SFO

#### **IMPORTANT NOTE**

Strict rules of impartiality apply. A member of ACE is not permitted to vote if he or she is conflicted in any category but will abstain instead. In such instances, a non-conflicted member of the Reserves will vote.

The purpose of this policy is to ensure due process so that the winners are determined in a manner that is transparent and independent.