

# **THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**

for Exemplary Service to Compliance and Regulation  
List of Winners as at 30<sup>th</sup> November (Errors and Omissions Excepted)

## **PRESS RELEASE**

FOR RELEASE ON 4<sup>th</sup> DECEMBER 2017 at 09.00 HOURS

The 14<sup>th</sup> Annual Awards recognising exemplary service to compliance and regulation were held on 30<sup>th</sup> November at The Royal Lancaster Hotel in London. The event was very well attended and packed to the rafters with attendees coming from as far away as India, USA, Germany and Isle of Man.

Ben Goh, Chairman of The Compliance Register, kicked off the night's proceedings with his rendition of the F R David hit "Words" singing outside the range of his normal voice. The end of the song was greeted with rapturous applause.

Following this, the band for the evening, Emil & the Soul City Renegades, sang "Don't Worry, Be Happy" as a message about not worrying about Brexit and other problems. Every life has its problems but when you worry you make it double! – wise words indeed.

There were a total of 35 awards across 5 sections covering Industry Voting, Regulated Firms, Service Providers, Teams and Individuals.

The charity auction featured some sensational items and proved highly popular. Also highly popular was the Charity Video Contest which featured three finalists chosen from some 200 videos suggested by our industry. The audience voted and the results were:

- 1<sup>st</sup>. Place: No Woman No Drive dedicated to Bloodwise.
- 2<sup>nd</sup>. Place: If I Were A Boy dedicated to Parkinson's UK.
- 3<sup>rd</sup>. Place: Magician Extraordinary Card Trick dedicated to Macmillan Cancer Care.

A big thank you to everyone for their support and especially to members of the Academy of Compliance Excellence (ACE) for admirably carrying out their pro bono roles for the good of the industry. The independent votes of the ACE members determines the results for all Sections apart from Section A.

**IMPORTANT:** Please note that ACE member David Skade abstained in categories B2, D3 and E9 due to a conflict of interest. For these categories, another ACE member, Brian Bendle voted.

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

**RESULTS**

SECTION A – INDUSTRY CHOICE – Winners determined by industry voting

A01: Most Effective Recruitment Firm – Regulatory Compliance

Winner: Black Swan Group  
Second: Carlyle Kingswood Global

A02: Most Effective Recruitment Firm – Financial Crime Compliance

Winner: Goodman Massons  
Second: Carlyle Kingswood Global

A03: Most Effective Recruitment Firm – Board Level Appointments

Winner: Carlyle Kingswood Global  
Second: Holmes Search

A04: Most Effective Recruitment Firm – FinTech/RegTech

Winner: Carlyle Kingswood Global  
Second: Hays Plc

A05: Most Effective Promoter of Gender Equality

Winner: Deloitte  
Second: Dentons

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

A06: Most Promising FinTech/RegTech Firm

Winner: Kaizen Reporting  
Second: Welendus

A07: Most Effective Consultancy/Law Firm – Data Protection

Winner: Dentons  
Second: Womble Bond Dickinson

A08: Most Effective Consultancy/Law Firm – Regulatory Work

Winner: TCC  
Second: Compliancy Services

A09: Most Effective FinTech/RegTech Firm

Winner: C6 Intelligence  
Second: Infrasoftware Technologies

A10: Most Effective Training Firm

Winner: Enterprise Learning  
Second: BWB Compliance

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

SECTION B – REGULATED FIRMS

B1: Best Arrangements – Governance, Risk and Compliance

Winner: Standard Bank Offshore  
Second: SBI Card

B2: Best Arrangements – Financial Crime and Sanctions Compliance

Winner: Best Practice IFA Group  
Second: Deutsche Bank London

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

SECTION C – SERVICE PROVIDERS

C1: Best Consultancy/Law Firm – Regulatory Compliance

Winner: Dentons  
Second: Womble Bond Dickinson

C4: Best Consultancy/Law Firm – MiFID II Work

Winner: KPMG  
Second: FSTP

C5: Best Consultancy/Law Firm – Financial Crime and Sanctions

Winner: KPMG  
Second: Womble Bond Dickinson

C6: Best Consultancy/Law Firm – FCA/PRA Authorisations

Winner: Compliancy Services  
Second: Bovill

C7: Best Consultancy/Law Firm – P2P Lending/Crowdfunding

Winner: BWB Compliance  
Second: Bovill

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

C8: Best RegTech Solution – SM&CR

Winner: Redland Business Solutions  
Second: HRComply

C9: Best RegTech Solution – EMIR and Regulatory Reporting

Winner: London Stock Exchange Una Vista

C10: Best RegTech Solution – Financial Crime and Sanctions

Winner: LexisNexis Risk Solutions  
Second: C6 Intelligence

C11: Best Headhunting Firm – Board Level Appointments

Winner: Black Swan Group  
Second: Carlyle Kingswood Global

C12: Best Financial Crime Intelligence & Research Data

Winner: LexisNexis Risk Solutions

C13: Best Recruitment Firm – Compliance & Managerial

Winner: Black Swan Group  
Second: Carlyle Kingswood Global

C14: Best Regulatory Reporting Quality Assurance Provider

Winner: Kaizen Reporting

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

SECTION D – TEAMS

D1: Best Compliance Team – FinTech Firms

Winner: Infracsoft Technologies  
Second: ComplyAdvantage

D3: Best Compliance Team – Regulated Firms

Winner: Deutsche Bank London  
Second: Aberdeen Standard Investment Limited

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

SECTION E Part One – INDIVIDUALS

E1-E8: Best Compliance Officer

Winner: Rinku Sharma, SBI Card  
Second: Stephen Mckeller, Ebanx

E9: Best Head of Financial Crime Compliance

Winner: Dr. Stephen Strickland, Deutsche Bank  
Second: Paul Holland, Hyperion Insurance Group

E10: Most Outstanding Female Compliance Professional

Winner: Alison Verlander, Nationwide  
Second: Sharon Gaughan, Bank Sepah International

E11: Most Outstanding Compliance Consultant

Winner: Michael Booth, Eversheds Sutherland  
Second: Ben Mason, Compliancy Services

E12: Most Outstanding Regulatory Lawyer

Winner: David Saunders, Eversheds  
Second: Daren Allen, Dentons

E13: Most Outstanding Compliance Trainer

Winner: Emma Radmore, Womble Bond Dickinson

E14: Most Outstanding Recruiter

Winner: Alex Hardy, Black Swan Group  
Second: Paul Geist, Carlyle Kingswood Global



**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

E15: Young Compliance Professional of the Year (aged 35 and under)

Winner: Lawrence Wiseman, Global Banking & Markets, HSBC

Joint Second: Amer Bhatti of Welendus; Osita Egbubine of Compliancy Services;  
Louise Skilton of ThinkMarkets; and James Nurse of WorldFirst

SECTION E Part 2: HALL OF FAME LIFETIME ACHIEVEMENT

Winner: Graham Hooper, Director of Financial Crime Risk, Lloyds Banking Group.

**THE COMPLIANCE REGISTER PLATINUM AWARDS® 2017**  
for Exemplary Service to Compliance and Regulation

**APPENDIX ONE: ACE MEMBERS**

ACE (The Academy of Compliance Excellence) is the independent Panel that votes to determine the winners in Sections B, C, D and E of these Awards.

Please note that each member of ACE is serving in a personal capacity on a pro bono basis for the good of our industry. Each member is bound by the two key rules of impartiality and confidentiality.

Each member votes independently of each other and The Compliance Register. Where a member is conflicted in any category, he or she will be required to abstain and a non-conflicted Reserve member will vote instead.

The 2017 members are:-

*Voting Members (alphabetical order)*

1. Neil Beard, Director, Clearly Compliance Limited
3. Robert Finney, Partner, Holman Fenwick Willan
3. Charles Hutchinson, Head of Compliance, UK & MENA, Natixis Global Asset Management
4. David Skade, Head of anti-Financial Crime, Deutsche Bank
5. Sam Stewart, Director, Director, AML Solutions Group Ireland
6. Peter Szeremeta, Executive Director, Quilter Cheviot
7. Patrick Thompson, Founder, Eukleia Training
8. Miten Trivedi, EMEA Head of FICC Compliance, Bank of America Merrill Lynch
9. Simon Wilkin, Head of Financial Crime Group, SMBC Europe

*Reserves (alphabetical order)*

10. Brian Bendle, PI Specialist, Lonsdale Insurance Brokers
11. Jim Oakes, Director, Financial Crime Risk Limited
12. Alex Shapland, former PwC partner
13. Richard Sowerbutts, retired Regulatory Partner, Deloitte
14. Chris Terry, Governance & Risk Director, Capita Plc
15. Rosalind Wright, QC, former director of the SFO
16. Alison Verlander, Director of First Line Risk, Nationwide Building Society

ENDS