

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2018

for Exemplary Service to Compliance and Regulation
List of Winners as at 29th November (Errors and Omissions Excepted)

PRESS RELEASE

FOR RELEASE ON 3rd DECEMBER 2018 at 09.00 HOURS

The 15th Annual Awards recognising exemplary service to compliance and regulation were held on 29th November at The Radisson Blu Portman Hotel in London. The event was very well attended with attendees coming from as far away as India, Hong Kong, Singapore, USA, France, Italy, etc.

Ben Goh, Chairman of The Compliance Register, kicked off the night's proceedings with his rendition of the Neil Sedaka hit "One Way Ticket" – a reference perhaps to Brexit which will be a one way ticket for both the UK and the EU. The end of the song was greeted with rapturous applause.

There were a total of 37 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:

- 1st. Place: Sex Bomb dedicated to Macmillan Cancer Care.
- 2nd. Place: Car Splits in Two dedicated to Bone Cancer Research Trust.
- 3rd. Place: Car Parked Sideways in Garage dedicated to Prostate Cancer UK.

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 members Nigel Tuppen abstained in category C01 while Simon Wilkin abstained in categories D2 and E05 due to conflicts of interest. For these categories, another ACE member, Brian Bendle voted.

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RESULTS

SECTION A – INDUSTRY CHOICE – Winners determined by industry voting

A01: Most Effective Recruitment Firm – Managerial Positions

Winner: Holmes Search

Second: Altus Search

A02: Most Effective Recruitment Firm – Board Level Positions

Winner: Black Swan Group

Second: Goodman Massons

A03: Most Effective Cyber Security Firm

Winner: Tempest Security Intelligence

Second: Templar Executives

A04: Most Effective Promoter of Compliance Standards

Winner: 3 Lines of Defence Consulting

Second: Best Practice IFA Group

A05: FinTech/RegTech Rising Star

Winner: Acuris Risk Intelligence

Second: ForteBank JSC

A06: Most Promising Start-up Firm

No entries

A07: Most Effective Consultancy/Law Firm – Data Protection

Winner: Moore Stephens

Second: 3 Lines of Defence Consulting

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A08: Most Effective Consultancy/Law Firm – Regulatory Work

This category was hotly contested with nine candidates.

Winner: Deloitte

Joint Second: Moore Stephens and Womble Bond Dickinson

A09: Most Effective FinTech/RegTech Firm

This category was hotly contested with six candidates.

Winner: Compliancy Services

Second: Acuris Risk Intelligence

A10: Most Effective Training Firm

Winner: FSTP

Second: Enterprise Learning

SECTION B – REGULATED FIRMS

B1: Best Arrangements: Governance, Risk & Compliance

Winner: SBI Card

Second: Best Practice IFA Group

B2: Best Arrangements: Financial Crime & Sanctions Compliance

Winner: Best Practice IFA Group

Second: SBI Card

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SECTION C – SERVICE PROVIDERS

C01: Best Consultancy/Law Firm – Regulatory Compliance

Winner: Womble Bond Dickinson

Second: Moore Stephens

C02: Best Consultancy/Law Firm – Payment Services

Winner: Compliancy Services

Second: Moore Stephens

C03: Best Consultancy/Law Firm – Financial Crime & Sanctions

Winner: Dentons

Second: Tempest Security Intelligence

C04: Best Consultancy/Law Firm – Emerging Business Sectors

Winner: Eversheds Sutherland

Second: Compliancy Services

C05: Best RegTech Solution – SM&CR

Winner: Redland Business Solutions

Second: AxiomHQ

C06: Best RegTech Solution – EMIR & Regulatory Reporting

Winner: Kaizen Reporting

Second: Control Now

C07: Best RegTech Solution – Financial Crime & Sanctions

Winner: Lexis Nexis Risk Solutions

Second: Acuris Risk Intelligence

C08: Best Recruitment Controls & Procedures

Winner: Best Practice IFA Group

Second: Eversheds Sutherland

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C09: Best Headhunting Firm – Board Level Appointments

Winner: Black Swan Group

Second: Holmes Search

C10: Best Financial Crime Intelligence Data

Winner: Acuris Risk Intelligence

Second: Lexis Nexis Risk Solutions

C11: Best Recruitment Firm – Compliance & Managerial

Winner: Altus Search

Second: Goodman Masson

C12: Best Regulatory Reporting Quality Assurance Provider

Winner: Kaizen Reporting

Second: Control Now

SECTION D – TEAMS

D1: Best Customer Services Team – All Firms

(No entries.)

D2: Best Compliance Team – Regulated Firms

This category was hotly contested with six candidates.

Winner: Societe Generale

Second: Deutsche Bank

D3: Best Complaints Handling Team – All Firms

(No entries.)

D4: Best Headhunting Team – Recruitment Firms

Winner: Goodman Masson

Second: Black Swan Group

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SECTION E – Individuals (Part 1)

E01: Best Director/Head of Compliance

Winner: James Lasenby, Best Practice IFA Group

Second: Rinku Sharma, SBI Card

E02: Most Effective Compliance Champion

Winner: Michael Hodnett, ED&F Capital Markets

Second: Jocelyn Tasker, Monzo Bank

E03: Best Director/Head of Financial Crime Risk

Winner: Paul Holland, Hyperion Insurance Group

Michael Riley, EFG Private Bank

E04: Best Director/Head of Data Security

(No entries.)

E05: Best Manager – Compliance & Financial Crime Risks

Winner: Kevin Kirton, Deutsche Bank

Second: Shereen George, BNP Paribas

E06: Best Compliance Executive – Regulatory & Financial Crime

Winner: Sharon Gaughan, Riyad Bank

Second: Rinku Sharma, SBI Card

E07: Most Outstanding Female Compliance Professional

Winner: Emma Radmore, Womble Bond Dickinson

Second: Rinku Sharma, SBI Card

E08: Most Outstanding Compliance Consultant

Winner: Michael Booth, Eversheds Sutherland

Second: Caroline Allen, KPMG

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E09: Most Outstanding Regulatory Lawyer

Winner: Jonathan Herbst, Norton Rose Fulbright

Second: Emma Brown (nee Hunter), KPMG

E10: Most Outstanding Compliance Trainer

Winner: Sophie Espinasse, Enterprise Learning

Second: Emma Radmore, Womble Bond Dickinson

E11: Most Outstanding Recruiter

Winner: Joseph Guilfoyle, Black Swan Group

Second: Matthew Pollard, Goodman Masson

E12: Compliance Professional Rising Star (aged 35 or under)

Winner: Richard Wall, Bank Leumi UK

Second: David Rodriguez, Compliancy Services

SECTION E – Individuals (Part 2)

HF1: Hall of Fame Lifetime Achievement

Winner: Mark Tantam, Deloitte



Mark who is Forensic Partner in London heads up the UK Deloitte Forensic Team and is also Global Head of Investigations. He has led or been involved in many of the largest investigations globally in the areas of corruption, money laundering and breach of financial sanctions. He has also led or been involved with investigations into breaches of the Foreign Corrupt Practices Act, US sanctions legislation, money laundering and market manipulation. Prior to Deloitte, he was a public prosecutor specialising in major fraud cases.

This award is in recognition of Mark's dedication and professionalism over many years. The award was accepted, on his behalf, by his colleague Mike Williams.

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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. ACE comprises eminent and/or senior practitioners in the financial services industry.

The members for the 2018 Awards are:-

Voting Members (alphabetical order)

1. Neil Beard, Director, Clearly Compliance Limited
2. Charles Hutchinson, Head of Compliance, UK & MENA, Natixis Global Asset Management
3. David Skade, Director, DS Financial Crime Risk Management
4. Sam Stewart, Director, AML Solutions Group Ireland
5. Peter Szeremeta, Executive Director, Quilter Cheviot
6. Patrick Thompson, Founder, Eukleia Training
7. Miten Trivedi, EMEA Head of FICC Compliance, Bank of America Merrill Lynch
8. Nigel Tuppen, Senior Director (Associate), 3 Lines of Defence Consulting
9. Simon Wilkin, Director, Anti-Financial Crime, Deutsche Bank

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, Group Risk & Compliance Director, JLT Group
15. Rosalind Wright, QC, former director of the SFO
16. Alison Verlander, Director of Risk & Compliance, Nationwide Building Society

ENDS