THE COMPLIANCE REGISTER PLATINUM AWARDS® 2019

The 16th Annual Awards for Exemplary Service to Compliance and Regulation
28th November at the Park Plaza Riverbank, London
Information as at 24 October 2019

SUMMARY OF CATEGORIES

Before placing reliance on this document – please check our website ComplianceR.com on each occasion for the most up-to-date version.

This document sets out the details of the categories for this year's Awards.

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*Please read this before submitting nominations, it will ensure that your nomination is valid and meets the category description.

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SUMMARY OF CATEGORIES

Section A – Industry Recognition

The winners in these categories will be chosen by the votes of the industry. This section is for firms only. Such firms must be involved in or associated with financial services including regulated firms.

The category descriptions below are largely self-explanatory. However, you are welcome to contact us for any clarifications.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Recruitment Firm – Regulatory Compliance	A1
2. Best Recruitment Firm – Financial Crime & Fraud Prevention	A2
3. Best Headhunting Firm – Board Level appointments	A3
4. Best Recruitment Firm – Customer Service Innovation	A4
5. Best Consultancy Firm	A5
6. Best Law Firm	A6
7. Best FinTech/RegTech Firm	A7
8. Most Innovative FinTech/RegTech Firm	A8
9. Best Training Firm	A9
10. Outstanding Firm of the Year	A10

Section B – Regulated Firms

This section is for firms who are regulated by the FCA, PRA or other regulators including those from overseas. The winners will be chosen by the votes of the Academy of Compliance Excellence.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Most Effective Arrangements: Governance, Risk & Compliance	B1
2. Most Effective Arrangements: Financial Crime & Data Protection	B2
3. Most Effective Recruitment Controls & Procedures	B3

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Section C – Service Providers

This section is for firms who provide services to the financial services industry. The winners will be chosen by the votes of the Academy of Compliance Excellence.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Consultancy Firm – Governance, Risk and Compliance	C1
2. Best Consultancy Firm – Enforcement & Investigations	C2
3. Best Consultancy Firm – FinTech/RegTech	C3
4. Best Law Firm – Regulatory Advice	C4
5. Best Law Firm – Enforcement & Investigations	C5
6. Best Law Firm – FinTech/RegTech	C6
7. Best RegTech Firm – Financial Crime and Sanctions	C7
8. Best RegTech Firm – Regulatory Compliance	C8
9. Best RegTech Firm – Crime Intelligence Data	C9
10. Best Headhunting Firm – Board Level appointments	C10
11. Best Recruitment Firm – Compliance & Managerial	C11
12. Outstanding Service Provider of the Year	C12

Section D (For Teams)

This section is for teams who work within financial services firms and service provider firms. The winners will be chosen by the votes of the Academy of Compliance Excellence.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Customer Services Team – Recruitment Firms	D1
2. Best Customer Services Team – FinTech/RegTech Firms	D2
3. Best Customer Services Team – Consultancy & Law Firms	D3
4. Best Compliance Team – Regulated Firms	D4
5. Outstanding Team of the Year – All Firms	D5

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Section E - Part One (For Individuals)

This category is for outstanding individuals of the year. The winners will be chosen by the votes of the Academy of Compliance Excellence.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Head of Compliance	E1
2. Best Compliance Champion	E2
3. Best Head of Financial Crime Compliance	E3
4. Best Compliance Manager	E4
5. Best Compliance Assistant	E5
6. Best Female Compliance Professional	E6
7. Best Compliance Consultant	E7
8. Best Regulatory Lawyer	E8
9. Best Compliance Trainer	E9
10. Best Recruitment Professional	E10
11. Rising Star of the Year	E11
12. Outstanding Individual of the Year	E12

Section E - Part Two: Hall of Fame Lifetime Achievement Awards (Estimate 2 Categories)

This section will be decided upon by general consensus of an informal "Committee of Elders" based on advice and information submitted via the online nominations or direct to the Secretariat.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Hall of Fame Lifetime Achievement	HF1

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Description of the Categories

Section B – For Regulated Firms

B1. Best Arrangements: Governance, Risk and Compliance (GRC)
This award is for regulated firms who have approached GRC requirements in a thorough, thoughtful and effective manner to ensure proper governance and compliance throughout the firm.

B2. Best Arrangements: Financial Crime and Data Protection
This award is for regulated firms who have approached Financial Crime and Data Protection (including cyber security) in a thorough, thoughtful and effective manner to ensure financial crime risks are effectively and efficiently managed.

B3. Most Effective Recruitment Controls and Procedures
This award is for regulated firms who have approached staff recruitment in a thorough, thoughtful and effective manner to ensure the highest levels of staff competency and to minimise the risk of infiltration by criminals.

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Section C – For Service Providers

C1. Best Consultancy Firm – Governance, Risk and Compliance

This award is for consultancy firms who provide advice and support on regulatory compliance matters to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C2. Best Consultancy Firm – Enforcement & Investigations

This award is for consultancy firms who provide advice and support on enforcement and investigation matters to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C3. Best Consultancy Firm – FinTech/RegTech

This award is for consultancy firms who provide advice and support on FinTech and RegTech to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C4. Best Law Firm – Regulatory Advice

This award is for law firms who provide advice and support on compliance and regulatory requirements in the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C5. Best Law Firm – Enforcement & Investigations

This award is for law firms who provide advice and support on enforcement and investigation matters to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C6. Best Law Firm – FinTech/RegTech

This award is for law firms who provide advice and support on FinTech and RegTech to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

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C7. Best RegTech Firm – Financial Crime & Sanctions

This award is for RegTech firms that provide effective solutions for financial crime and sanctions compliance. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C8. Best RegTech Firm – Regulatory Compliance

This award is for RegTech firms that provide effective solutions for regulatory compliance including transaction reporting. The attributes of such a firm are efficiency, effectiveness and high quality recruitment which meet regulatory expectations, reasonable costs and good industry reputation.

C9. Best RegTech Firm – Crime Intelligence Data

This award is for RegTech firms who provide top quality financial crime intelligence and research data without which screening products will not work effectively. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C10. Best Headhunting Firm – Board Level Appointments

This award is for search and selection firms who provide professional recruitment services for Board level appointments to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C11. Best Recruitment Firm – Compliance & Managerial

This award is for search and selection firms who provide professional recruitment services for compliance and senior manager positions to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

C12. Outstanding Service Provider of the Year

This award is for service providers who have provided outstanding service to the financial services industry. The attributes of such a firm are efficiency, effectiveness and high quality of services which meet regulatory expectations, reasonable costs and good industry reputation.

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Section D (For Teams)

D1. Best Customer Services Team – Recruitment Firms

This award is for the customer services teams of recruitment firms that have been most effective in delivering high levels of customer satisfaction thereby helping clients to achieve high standards of compliance.

D2. Best Customer Services Team – FinTech/RegTech Firms

This award is for the customer services teams of FinTech/RegTech firms that have been most effective in delivering high levels of customer satisfaction thereby helping clients to achieve high standards of compliance.

D3. Best Customer Services Team – Consultancy & Law Firms

This award is for the customer services teams of consultancy and law firms that have been most effective in delivering high levels of customer satisfaction thereby helping clients to achieve high standards of compliance.

D4. Best Compliance Team – Regulated Firms

This award is for the compliance team that has been most effective in delivering high regulatory standards within a regulated firm either in the UK or overseas or both.

D5. Outstanding Team of the Year – All Firms

This award is for the team from any firm in the financial services industry that has played a pivotal role in delivering high standards of compliance.

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Section E – Part One (For Individuals)

E1. Best Head of Compliance
This award is for directors or heads of compliance (of regulated firms) who have consistently delivered high standards of compliance either in the UK or overseas or both. The quality of advice, skills, knowledge and industry reputation will be considered.

E2. Best Compliance Champion
This award is for directors and senior managers of regulated firms who have consistently championed high standards of compliance either in the UK or overseas or both. The quality of advice, skills, knowledge and industry reputation will be considered.

E3. Best Head of Financial Crime Compliance
This award is for directors or heads of financial crime risk of regulated firms who have consistently delivered high standards of compliance either in the UK or overseas or both. The quality of advice, skills, knowledge and industry reputation will be considered.

E4. Best Compliance Manager
This award is for managers of compliance and financial crime risks within regulated firms who have consistently delivered high standards of compliance either in the UK or overseas or both. The quality of advice, skills, knowledge and industry reputation will be considered.

E5. Best Compliance Assistant
This award is for compliance assistants of regulated firms who have consistently delivered high standards of compliance either in the UK or overseas or both. The quality of advice, skills, knowledge and industry reputation will be considered.

E6. Best Female Compliance Professional
This award is for individual female professionals who have made an outstanding contribution to the standards of regulatory compliance and/or financial crime compliance. The quality of skills, knowledge and relevant standards achieved will be considered.

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E7. Best Compliance Consultant of the Year

This award is for external compliance consultants who have excelled in delivering effective and efficient regulatory strategies and solutions for regulated firms. The quality of advice, skills, knowledge and industry reputation will be considered.

E8. Best Regulatory Lawyer

This award is for external legal advisors who have excelled in advising firms on regulatory and compliance requirements. The quality of skills, knowledge and compliance standards achieved will be considered.

E9. Best Compliance Trainer

This award is for individuals who have developed efficient and effective ways of training for financial services and products including compliance. The quality of skills, knowledge and compliance standards achieved will be considered.

E10. Best Recruitment Professional

This award is for individual professional recruiters who have excelled in recruiting senior executives including compliance personnel within financial services. The quality of advice, skills, knowledge and industry reputation will be considered.

E11. Rising Star of Compliance

This award is for young compliance professionals (aged 35 or under) who have made a positive contribution to the standards of regulatory compliance and/or financial crime compliance. The quality of skills, knowledge and relevant standards achieved will be considered.

E12. Outstanding Individual of the Year

This award is for individuals who have made outstanding contributions to the standards of regulatory compliance and/or financial crime compliance. The quality of skills, knowledge and relevant standards achieved will be considered.

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Section E – Part Two (For Individuals)

HF1. Hall of Fame Lifetime Achievement Award

This award is for individuals in financial services who have contributed in a positive way to industry development through their diligence and personality. Their achievements can be in any area of financial services ranging from innovation, leadership, compliance practice, etc. These individuals will be recently retired or due to retire.

IMPORTANT NOTE

We congratulate those who have been nominated or entered and look forward to welcoming you and your colleagues to the Awards evening.

If you are serious about winning the awards, we expect you to purchase at least one seat so that there is someone present to accept the award if you win. This requirement is to prevent having many winners who are not even bothered to turn up.

Accordingly, if we do not hear from you 10 days before the Awards, we will assume that you do not wish to accept the nomination. As the saying goes, "You can take the horse to water but you cannot make it drink the water."

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HOW TO SUBMIT EFFECTIVE NOMINATIONS

Closing date for ALL entries is 23.59 hours on 8th November 2019.

On each respective nomination form, there will be a question as set out below:-

State below or attach a separate description why the <u>firm (or team or individual)</u> deserves your nomination:-

It is important that you answer the above as comprehensively and eloquently as possible. For example, you wish to nominate XYZ Limited for Category B1 – Most Effective Arrangements: Governance, Risk and Compliance. First you should to read the description of this Award and make sure your nomination fits the description.

An example of a bad nomination will be: "I love XYZ Limited. They are brilliant and deserves an Award." This nomination is too vague, for example, in what way is XYZ Limited brilliant?

A better nomination will be: "I nominate XYZ Limited for this Award because they have always operated to high professional standards and take compliance seriously. Senior management have always been diligent and plan comprehensively to ensure staff are properly trained and are aware of their compliance responsibilities. In addition, the firm has never been the subject of regulatory action by the FSA or FCA and has an excellent compliance track record." This nomination is much more relevant and gives specific information.

Obviously, the bad nomination is unlikely to win the votes of the majority of ACE members.

So, our advice is THINK before you submit your nomination. Put yourself in the shoes of the ACE members. If you are one of them, would you vote for the bad nomination or the good nomination? Take your time to make sure you have set out a comprehensive case as to why the firm, team or individual you are nominating is <u>deserving of</u> (*this is what your nomination should make clear*) the Award.

About self-nomination: Remember these Awards are awarded based on merit and integrity. Although self-nomination is permitted (and for some categories unavoidable), on its own it will not carry much weight. There needs to be additional nominations from your peers and/or independent parties (e.g. clients who use your services or other third-party professionals who have knowledge of your professional standards) for your nomination to have a good chance of success.

Thank you and good luck with your nominations.