

THE COMPLIANCE REGISTER

PROUDLY PRESENTS

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2019

for Exemplary Service to Compliance and Regulation

FOR THE 16TH YEAR RUNNING

Featuring

- Industry voting section
- Champagne Reception
- 3-Course Dinner with Wine
- Charity auction in aid of Epilepsy Research UK and other charities
 - Unrivalled Networking
 - High Octane Awards Ceremony
 - Top Class after- dinner entertainment

THURSDAY 28th NOVEMBER

AT THE

THE PARK PLAZA RIVERBANK

18 Albert Embankment, London, SW1 7TJ.

Nearest stations: Waterloo or Vauxhall.

DRESS CODE: BLACK TIE

<p style="text-align: center;">THE COMPLIANCE REGISTER PLATINUM AWARDS® 2019 for Exemplary Service to Compliance and Regulation:</p>

**A SERIOUS EVENING GIVING RECOGNITION FOR
EXCELLENCE, RAISING FUNDS FOR CHARITIES**

Probably the “Spiciest” black-tie event

PROGRAMME*

PM

6.20: Arrival and Registrations

On arrival, please proceed to the Ballroom Suite in the basement. Tickets for your seats will be issued at the Registration Desk.

6.40: Champagne Reception with canapés in the main ballroom.

7.15: WELCOME & OPENING CEREMONY.

7.25: Dinner: 3 courses with half bottle of wine per person. (Additional drinks can be purchased during dinner from your waiters. Post dinner, drinks can be purchased at the Cash Bar which will be open till late.) Meals that need to comply with specific religious requirements may be subject to extra charge if not ordered in advance by 12 noon on 21 November.

8.30: Charity Auction – see catalogue on your table crammed full of fantastic items. For your protection, payment can only be accepted by credit card.

8.45: Charity Video Contest finals with audience voting. These videos have been chosen by our industry to raise funds for selected charities.

9.20: The Compliance Register Platinum Awards® Ceremony.

10.30: Put on your dancing shoes for our resident band – the sensational funk-soul-reggae band Emil and The Soul City Renegades. The band is led by professional musician Elvis Chambers who was part of M-People and has supported groups such as Simply Red, etc. Watch out for surprises!

12.30: Conclusion and carriages.

*As this is a live event, the scheduled programme and timings are subject to change without notice. There is also a cash bar just outside the Ballroom which will be open so long as there are patrons – most years it shuts at 5am!

Introduction to The Compliance Register Platinum Awards®

This is a general guide for those who are not familiar with this event.

These annual Awards were first held in 2004.

The Awards are for exemplary service to compliance and regulation in the financial services industry. There are 5 sections namely A, B, C, D and E. The results for Section A are determined by industry voting. For all other sections, the results are determined by the votes of The Academy of Compliance Excellence (ACE).

ACE is an independent body appointed by The Compliance Register and comprises eminent practitioners. Each member of ACE votes independently of each other and of The Compliance Register. Their service is pro bono for the good of financial service industry. Where a member is conflicted, he or she is required to abstain. A non-conflicted member will vote in his/her place. This is to preserve the integrity of the Awards.

Sections

The Sections are intended to reflect the diversity of the financial services industry. The exact number of categories in each section will vary from year to year.

Section A has approximately 10 categories and reserved for firms.

Section B is reserved for firms who are regulated in the UK or overseas and has approximately 3 to 4 categories.

Section C is reserved for firms who provide services and/or solutions to the financial services industry. It has approximately 10 to 12 categories. These will range from consultancy firms, law firms, recruitment firms, fin tech firms, reg tech firms, etc.

Section D is reserved for teams from firms in Sections A to C. It has approximately 3 to 4 categories.

Section E is reserved for individuals from firms in Sections A to C. It has approximately 12 categories.

How to enter for the Awards

Entry is free of charge and relies on nominations from our industry. Entry can be either via our website when nominations are open. Entries must be received by the closing date to be valid.

For Section A categories, each validated entry form is a straight forward vote. The candidate with the most votes is the winner in each category.

For all the other categories, the nominator will be asked to state “Why should this candidate win this Award”. In answering this question, the nominator should make a succinct case. It is not sufficient to say, for example, “I nominate XYZ because they are brilliant at what they do” but to explain briefly in what way has XYZ been brilliant. For example, “XYZ has provided excellent advice and service in helping us overcome some compliance deficiencies.” When nominations close, an executive summary regarding each candidate will be sent to ACE members. The executive summary does not mention the names of the nominators as this is not essential. ACE members will then vote to determine the winners in each category. Each ACE member will vote ranking each candidate (in the respective category) as 1st, 2nd, 3rd, etc. In the event of the tie on 1st place votes, the 2nd place votes will be used to break the tie and so on. In hotly contested categories, this can sometimes go as far as 4th place votes.

Raising Funds for Charities

Annually, these Awards also raises funds for selected charities. We aim to help different charities each year. By supporting these Awards, you will be helping us in this noble venture.

A Fun Event with Excellent Networking Opportunities

These annual Awards are well known for being full of fun and surprises – it is not your traditional black-tie event although black-tie is the dress code. The friendly atmosphere helps the audience to “let their hair down” and make new contacts as well as catching up with old ones.

The evening starts with a champagne reception, 3-course dinner and after dinner entertainment. After the Awards ceremony, there is a live band for dancing and a Cash Bar for networking.

Further Information

Please visit our website ComplianceR.com or contact Ben Goh on 07506 811136.

HOW THE AWARDS WILL BE DECIDED

“It’s not what we eat but we digest that makes us strong; not what we gain but what we save that makes us rich; not what we read but what we remember that makes us learned; and not what we profess but what we practise that gives us integrity.” – Francis Bacon, Sr. (English lawyer and philosopher, 1561-1626).

We have, since the inaugural Awards in 2004, carefully crafted and built integrity into the decision process. Without integrity, any Award will be without merit and not worth the paper it is written on. Indeed the lack of integrity leads to many problems which we all know only too well.

We rely on nominations from independent third parties such as clients, members of the public and fellow professionals. Where appropriate, nominations from your firm or colleagues will carry weight but for such nominations, external additional nominations will increase your chances of winning. To be nominated is therefore an honour and to win will be icing on the cake. That is the spirit in which these Awards are conducted. The specific Awards for Sections B, C, D and E Part 1 will be decided by the votes of the members of The Academy of Compliance Excellence (“ACE”). ACE has 16 members comprising 9 Voting Members and 7 Reserves. Strict rules of impartiality apply and where there is a conflict of interest, the Voting Member concerned will abstain and a non-conflicted Reserve member will vote instead. In the event of a tie, a Reserve member will have a casting vote.

ACE MEMBERS

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 are:-

Voting Members (alphabetical order)

(To be announced)

Reserves (alphabetical order)

(To be announced_

HOW TO SUBMIT EFFECTIVE NOMINATIONS

You will find a useful guide on how to submit effective nominations in the Platinum Awards 2019 Categories on our website. Please read this carefully before submitting nominations.

SPECIAL ROOM RATES

We have negotiated special room rates for those who are staying overnight at The Park Plaza Riverbank. These rates apply for bookings by 14 October 2019. For bookings after this date, please contact the hotel directly for the latest rates.

The cost for a superior room (single occupancy) is £169.00 plus VAT per night. Breakfast is included. Double occupancy supplement is £10 plus VAT per person per night.

To book, call 0333 4006120 and use the code CCRC281119. For online bookings, use the code CRPA19 when you go to:

<https://www.parkplaza.com/london-hotel-gb-se1-7tj/gbriver>

Please note each guest will be responsible for settling any monies due for these room bookings. For each room booking, the contract will be between the guest and the Hotel. The Compliance Register will not be a party to this contract.

DATE OF THIS DOCUMENT

The information in this document is as at 21 August 2019. Before placing reliance on this document, please check our website www.ComplianceR.com for the most up-to-date version.