

# THE COMPLIANCE REGISTER

PROUDLY PRESENTS

## THE COMPLIANCE REGISTER PLATINUM AWARDS® 2019

for Exemplary Service to Compliance and Regulation

FOR THE 16<sup>TH</sup> 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 28<sup>th</sup> NOVEMBER**

**AT THE**

**THE PARK PLAZA RIVERBANK**

18 Albert Embankment, London, SE1 7TJ.

Nearest stations: Waterloo or Vauxhall.

DRESS CODE: BLACK TIE

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| <p style="text-align: center;"><b>THE COMPLIANCE REGISTER</b><br/><b>PLATINUM AWARDS® 2019 for Exemplary Service</b><br/><b>to Compliance and Regulation:</b></p> |
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**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 Plaza Suite in the –4 floor. Tickets for your seats will be issued at the Registration Desk.

**6.40:** Champagne Reception with canapés in the Plaza Suite.

**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!

## **Menu for Dinner (“V”) = Vegetarian Option)**

Your package includes the following:-

### A. Champagne Reception with selection of canapes:

(1) Duck Parfait, Quince, Baked Brioche; (2) Sundried Tomato & Buffalo Mozzarella Crostini (V); (3) Thai Style Fishcakes, Cucumber Relish; (4) Vegetable Spring Rolls, Sweet Chilli Relish (V).

### B. Dinner

Starters: (1) “Foreman’s” Scottish Smoked Salmon; (2) Grilled Vegetable Terrine (V).

Main: (1) Corn Fed Chicken Supreme; (2) Goat Cheese and Sweet Pepper Ravioli (V)

Dessert: Bramley Apple Crumble

Wines: Choice of House Red or White – half bottle per person.

Water: Half bottle of mineral water per person.

Tea and coffee.

### Additional Beverages (not included in your package)

These can be ordered at your table during dinner or after dinner at the Cash Bar. These are not included in your package and payment will be required with your order.

## SPECIAL DIETARY REQUIREMENTS

No extra charge for those requiring special diets for medical (such as food allergies) or religious reasons. Please make sure that you let us know 18 November at the latest. Beyond this date the hotel will do its best to fulfil your request but this cannot be guaranteed.

There will be additional charges for those who require meals to be prepared in accordance with strict religious requirements e.g. strict kosher, the hotel will advise on a case-by-case basis if request is made by 18 November. Beyond this date the hotel will do its best to fulfil your request but this cannot be guaranteed.

## **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 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, etc. In the event of the tie on 1<sup>st</sup> place votes, the 2<sup>nd</sup> place votes will be used to break the tie and so on. In hotly contested categories, this can sometimes go as far as 4<sup>th</sup> 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](http://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)*

1. Neil Beard, Director, Clearly Compliance Limited
2. Brian Bendle, PI Specialist, Lonsdale Insurance Brokers
3. Charles Hutchinson, Head of Compliance, UK & MENA, Natixis Global Asset Management
4. Steve Lock, Director, SHLAML Limited
5. David Skade, Director, DS Financial Crime Risk Management
6. Sam Stewart, Director, AML Solutions Group Ireland
7. Peter Szeremeta, Executive Director, Quilter Cheviot
8. Nigel Tuppen, Senior Director (Associate), 3 Lines of Defence Consulting
9. Simon Wilkin, Director, Anti-Financial Crime, Deutsche Bank

### *Reserves (alphabetical order)*

10. Alan Brener, Senior Consultant, Financial Services Compliance Ltd.
11. Alex Shapland, former PwC partner
12. Richard Sowerbutts, retired Regulatory Partner, Deloitte
13. Rosalind Wright, QC, former director of the SFO

## **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.

## **ROOM RATES**

If you need a room for the night of 28 November, the guide price for a superior room (single occupancy) is £139.00 plus VAT per night including breakfast. The actual price will vary according to the type of booking, e.g. flexible or cancellable.

For the Park Plaza Riverbank, book online at:

<https://www.radissonhotels.com/en-us/hotels/park-plaza-london-riverbank>

On that page, click on Lowest Available Rate, then on the drop down menu, select Promotion Code, and enter the code CRPA19. Due to multiple booking sources, it is possible that a different source may be cheaper. Please do compare prices from different sources to make sure you are getting the best deal.

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 the room booking contract.

## **DATE OF THIS DOCUMENT**

The information in this document is as at 25 November 2019. Before placing reliance on this document, please check our website <https://ComplianceR.com> for the most up-to-date version.