

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2019

for Exemplary Service to Compliance and Regulation
Shortlist of Candidates as at 23.59 hours on 8 November 2019
(Errors and Omissions Excepted)

IMPORTANT NOTE: Winners for Section A categories are determined by the total number of votes received by the closing date. For all other Sections, winners are determined by the votes of ACE (Academy of Compliance Excellence) members. The closing date for ALL entries was 8 November at 23.59 hours GMT. This is the finalised list.

SECTION A – INDUSTRY’S CHOICE

A1: Best Recruitment Firm – Regulatory Compliance

Black Swan Group
Oliver James Associates
Altus Search

A2: Best Recruitment Firm – Financial Crime and Fraud Prevention

Goodman Masson
Oliver James Associates

A3: Best Headhunting Firm – Board Level Appointments

Altus Search
Oliver James Associates

A4: Best Recruitment Firm – Customer Service Innovation

Black Swan Group
Oliver James Associates

A5: Best Consultancy Firm

FSCom
Compliance Services
3 Lines of Defence Consulting

A6: Best Law Firm

Michelmores
Womble Bond Dickinson

A7: Best FinTech/RegTech Firm

Lexis Nexis Risk Solutions
Acuris Risk Intelligence
Redland Business Solutions
Worksmart

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A8: Most Innovative FinTech/RegTech Firm

Acuris Risk Intelligence
Compliancy Services
Redland Business Solutions

A9: Best Training Firm

Enterprise Learning
FSTP
Skillcast
FSCom

A10: Outstanding Firm of the Year

Acuris Risk Intelligence
FSCom
Skillcast

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SECTION B – REGULATED FIRMS

B1: Most Effective Arrangements: Governance, Risk & Compliance

Best Practice IFA Group

SBI Card

Paysafe Group

B2: Most Effective Arrangements: Financial Crime & Sanctions Compliance

Paysafe Group

SBI Card

B3: Most Effective Recruitment Controls and Procedures

Best Practice IFA Group

Quilter Cheviot

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SECTION C – SERVICE PROVIDERS

C1: Best Consultancy Firm – Governance, Risk & Compliance

FSCOM

FSTP

Compliance Services

3 Lines of Defence Consulting

C2: Best Consultancy Firm – Enforcement & Investigations

(No entries)

C3: Best Consultancy Firm – FinTech/RegTech

(No entries)

C4: Best Law Firm – Regulatory Advice

Michelmores

Womble Bond Dickinson

DWF Law

C5: Best Law Firm – Enforcement & Investigations

(No entries)

C6: Best Law Firm – FinTech/RegTech

(No entries)

C7: Best RegTech Firm – Financial Crime & Sanctions

Lexis Nexis Risk Solutions

Acuris Risk Intelligence

C8: Best RegTech Firm – Regulatory Compliance

Acuris Risk Intelligence

Redland Business Solutions

Worksmart

Pole Star Space Applications

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C9: Best RegTech Firm – Crime Intelligence Data

Acuris Risk Intelligence
Lexis Nexis Risk Solutions

C10: Best Headhunting Firm – Board Level Appointments

Altus Search
Goodman Masson

C11: Best Recruitment Firm – Compliance & Managerial

Black Swan Group
Holmes Search

C12: Outstanding Service Provider of the Year

Altus Search
Deloitte
Skillcast

SECTION D – TEAMS

D1: Best Customer Services Team – Recruitment Firms

Black Swan Group
Oliver James Associates
Altus Search
Goodman Masson

D2: Best Customer Services Team – FinTech/RegTech Firms

Winner to be announced on the night.

D3: Best Customer Services Team – Consultancy & Law Firms

(No entries)

D4: Best Compliance Team – Regulated Firms

Best Practice IFA Group
SBI Card
Paysafe Group

D5: Outstanding Team of the Year – All Firms

SBI Card
Womble Bond Dickinson
Paysafe Group

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SECTION E – Individuals (Part 1)

E1: Best Head of Compliance

James Lasenby, Best Practice IFA Group
Rinku Sharma, SBI Card
Maximilian Von Both, Paysafe Group

E2: Best Compliance Champion

Rinku Sharma, SBI Card
Ben Hur, Silicon Valley Bank

E3: Best Head of Financial Crime Compliance

Michael Riley, EFG Private Bank
Rinku Sharma, SBI Card
Paul Holland, Hyperion Insurance Group

E4: Best Compliance Manager

(No entries)

E5: Best Compliance Assistant

(No entries)

E6: Best Female Compliance Professional

Nazifa Hussain, KPMG
Alison Donnelly, FSCom
Esyllt Nelson-Jones, NatWest Markets
Rinku Sharma, SBI Card

E7: Best Compliance Consultant

David Brain, Bovill
Colin Darby, Bovill
Alison Donnelly, FSCom
John Burns, Compliancy Services
Andrew Jacobs, DWF Law

E8: Best Regulatory Lawyer

Philip Ryley, Michelmores
Emma Radmore, Womble Bond Dickinson

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E9: Best Compliance Trainer

Emma Radmore, Womble Bond Dickinson
Tony Brown, FSCom

E10: Best Recruitment Professional

Jake Wyatt, Holmes Search
Inan Rashid, Altus Search
Victoria Heathcote, Oliver James Associates
Richard Aldridge, Black Swan Group

E11: Rising Star of the Year

Matthew Baxter, Compliancy Services
Rachel Stevenson, FSCom

E12: Outstanding Individual of the Year

(No entries)

SECTION E – Individuals (Part 2)

HF1: Hall of Fame Lifetime Achievement

Winner to be announced on the night.