

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2019

The 16th Annual Awards for Exemplary Service to Compliance and Regulation

List of Winners as at 28th November 2019

PRESS RELEASE

FOR RELEASE ON 29 November 2019

The 16th Annual Awards recognising exemplary service to compliance and regulation were held on 28th November at the fabulous Park Plaza Riverbank in London. The event was very well attended with attendees coming from as far away as India, Canada, Singapore, USA, France, Italy, etc.

Ben Goh, Chairman of The Compliance Register, kicked off the night's proceedings. With flowers in his hair and guitar in hand, his rendition of San Francisco, the iconic hit song, took the audience back to the care-free age of the sixties. If you are a fan of this song, you will find this song on the ContraBen channel on YouTube.

There were a total of 35 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: The Mad Drummer dedicated to Macmillan Cancer Care.

2nd. Place: You Raise Me Up dedicated to Epilepsy Research Trust.

3rd. Place: No Woman No Drive dedicated to Cancer Research 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 which is determined by industry voting.

IMPORTANT: Please note that ACE members Peter Szeremeta abstained in category B3 while Nigel Tuppen abstained in category C1 due to conflicts of interest. For these categories, another ACE member, Alan Brener voted.

A full list of the members of ACE is in the attached Appendix.

ENDS

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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. Occasionally, errors do occur and we will issue amended results where necessary.

SPECIAL AWARD – Best Paper for Financial Crime Compliance Professionals

Winner: Daniel Bushell, Lonsdale Insurance Brokers

SECTION A – INDUSTRY’S CHOICE

A1: Best Recruitment Firm – Regulatory Compliance

Winner: Altus Search

Runner-up: Black Swan Group

Shortlisted: Oliver James Associates

A2: Best Recruitment Firm – Financial Crime and Fraud Prevention

Winner: Goodman Masson

Runner-up: Oliver James Associates

A3: Best Headhunting Firm – Board Level Appointments

Winner: Oliver James Associates

Runner up: Altus Search

A4: Best Recruitment Firm – Customer Service Innovation

Winner: Black Swan Group

Runner-up: Oliver James Associates

A5: Best Consultancy Firm

Winner: 3 Lines of Defence Consulting

Runner-up: FSCom

Shortlisted: Compliancy Services

A6: Best Law Firm

Winner: Womble Bond Dickinson

Runner-up: Michelmores

A7: Best FinTech/RegTech Firm

Winner: Lexis Nexis Risk Solutions

Runner-up: Worksmart

Shortlisted: Acuris Risk Intelligence and Redland Business Solutions

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A8: Most Innovative FinTech/RegTech Firm

Winner: Compliancy Services

Runner-up: Redland Business Solutions

Shortlisted: Acuris Risk Intelligence

A9: Best Training Firm

Winner: Skillcast

Runner-up: FSCom

Shortlisted: Enterprise Learning and FSTP

A10: Outstanding Firm of the Year

Winner: Skillcast

Runner-up: Acuris Risk Intelligence

Shortlisted: FSCom

SECTION B – REGULATED FIRMS

B1: Most Effective Arrangements: Governance, Risk & Compliance

Winner: Paysafe Group

Runner-up: SBI Card

Shortlisted: Best Practice IFA Group

B2: Most Effective Arrangements: Financial Crime & Sanctions Compliance

Winner: SBI Card

Runner-up: Paysafe Group

B3: Most Effective Recruitment Controls and Procedures

Winner: Best Practice IFA Group

Runner-up: Quilter Cheviot

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The 16th Annual Awards for Exemplary Service to Compliance and Regulation

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SECTION C – SERVICE PROVIDERS

C1: Best Consultancy Firm – Governance, Risk & Compliance

Winner: FSCOM

Runner-up: Compliancy Services

Shortlisted: 3 Lines of Defence Consulting and FSTP

C2: Best Consultancy Firm – Enforcement & Investigations

(No entries)

C3: Best Consultancy Firm – FinTech/RegTech

(No entries)

C4: Best Law Firm – Regulatory Advice

Winner: DWF Law

Runner-up: Womble Bond Dickinson

Shortlisted: Michelmores

C5: Best Law Firm – Enforcement & Investigations

(No entries)

C6: Best Law Firm – FinTech/RegTech

(No entries)

C7: Best RegTech Firm – Financial Crime & Sanctions

Winner: Acuris Risk Intelligence

Runner-up: Lexis Nexis Risk Solutions

C8: Best RegTech Firm – Regulatory Compliance

Winner: Redland Business Solutions

Runner-up: Pole Star Space Applications

Shortlisted: Worksmart and Acuris Risk Intelligence

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C9: Best RegTech Firm – Crime Intelligence Data

Winner: Acuris Risk Intelligence

Runner-up: Lexis Nexis Risk Solutions

C10: Best Headhunting Firm – Board Level Appointments

Winner: Goodman Masson

Runner-up: Altus Search

C11: Best Recruitment Firm – Compliance & Managerial

Winner: Black Swan Group

Runner-up: Holmes Search

C12: Outstanding Service Provider of the Year

Winner: Deloitte

Runner-up: Skillcast

Shortlisted: Altus Search

SECTION D – TEAMS

D1: Best Customer Services Team – Recruitment Firms

Winner: Goodman Masson

Runner-up: Black Swan Group

Shortlisted: Oliver James Associates and Altus Search

D2: Best Customer Services Team – FinTech/RegTech Firms

Winner: Worksmart

D3: Best Customer Services Team – Consultancy & Law Firms

(No entries)

D4: Best Compliance Team – Regulated Firms

Winner: Best Practice IFA Group

Runner-up: Paysafe Group

Shortlisted: SBI Card

D5: Outstanding Team of the Year – All Firms

Winner: Womble Bond Dickinson

Runner-up: Paysafe Group

Shortlisted: SBI Card

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SECTION E – Individuals (Part 1)

E1: Best Head of Compliance

Winner: Maximilian von Both, Paysafe Group

Runner-up: James Lasenby, Best Practice IFA Group

Shortlisted: Rinku Sharma, SBI Card

E2: Best Compliance Champion

Winner: Ben Hur, Silicon Valley Bank

Runner-up: Rinku Sharma, SBI Card

E3: Best Head of Financial Crime Compliance

Winner: Michael Riley, EFG Private Bank

Runner-up: Rinku Sharma, SBI Card

Shortlisted: Paul Holland, Hyperion Insurance Group

E4: Best Compliance Manager

(No entries)

E5: Best Compliance Assistant

(No entries)

E6: Best Female Compliance Professional

Winner: Nazifa Hussain, KPMG

Runner-up: Esyllt Nelson-Jones, NatWest Markets

Shortlisted: Rinku Sharma, SBI Card and Alison Donnelly, FSCoM

E7: Best Compliance Consultant

Winner: John Burns, Compliancy Services

Runner-up: Andrew Jacobs, DWF Law

Shortlisted: Alison Donnelly, FSCoM; David Brain and Colin Darby, Bovill

E8: Best Regulatory Lawyer

Winner: Emma Radmore, Womble Bond Dickinson

Runner-up: Philip Ryley, Michelmores

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E9: Best Compliance Trainer

Winner: Emma Radmore, Womble Bond Dickinson

Runner-up: Tony Brown, FSCom

E10: Best Recruitment Professional

Winner: Richard Aldridge, Black Swan Group

Runner-up: Victoria Heathcote, Oliver James Associates

Shortlisted: Jake Wyatt, Holmes Search; and Inan Rashid, Altus Search

E11: Rising Star of the Year

Winner: Matthew Baxter, Compliancy Services

Runner-up: Rachel Stevenson, FSCom

E12: Outstanding Individual of the Year

(No entries)

SECTION E – Individuals (Part 2)

HF1: Hall of Fame Lifetime Achievement

Robert Finney, Holman Fenwick Willan

Below is a quote from Emma Radmore of Womble Bond Dickinson:-

Robert took me on when I was an 18-months qualified lawyer with minimal experience. He made me what I am now, a confident senior regulatory lawyer. I always admired his technical skills and unfailing work ethic, and learned so much in the 16 years for which I worked for him. It was always a major achievement to get a piece of work back from him marked “good”, and that has taught me the importance of attention to detail and clear writing as well as, of course, legal skills. Robert is liked and admired by all those who know him. He inspires trust and loyalty from clients. I am sure all those who have known and/or worked with Robert over the years will agree that he thorough deserves this award.

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APPENDIX

THE ACADEMY OF COMPLIANCE EXCELLENCE (“ACE”)

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