

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2022

The 19th Annual Awards for Exemplary Service to Compliance and Regulation

Thursday 29 September 2022 at The Millennium Gloucester Road, London

Information as at 12 May 2022

SUMMARY OF CATEGORIES

RELIANCE ON THIS DOCUMENT

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

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

HOW THE AWARDS WILL BE DECIDED

Winners of each category will be decided by the votes from members of ACE (Academy of Compliance Excellence). These members serve on a pro bono basis for the good of the industry. ACE has 11 voting members and 4 reserves. Where a voting member is “conflicted”, that member will abstain and the vote will be by one of the reserves who is not conflicted.

ATTRIBUTES – The Five Gs

The attributes that ACE are looking for (in respect of each award) are, where relevant:-

- Good reputation in the industry
- Good quality of work/services
- Good customer/client satisfaction
- Good value for money
- Good standard of professionalism

Please bear this in mind when submitting your nominations.

HOW TO SUBMIT EFFECTIVE NOMINATIONS

On the next page, you will find a guide on how to submit effective nominations.

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HOW TO SUBMIT EFFECTIVE NOMINATIONS

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

State below or attach a separate description why the firm (or team or individual) 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 Risk & Compliance Arrangements. First you should 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 FCA, SEC, etc 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 deserving of (*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.

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SUMMARY OF CATEGORIES

Section A1 – RegTech Firms

This section is for RegTech firms who provide solutions or services to the financial services industry.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best RegTech – Financial Crime	A1.1
2. Best RegTech – Market Integrity Surveillance	A1.2
3. Best RegTech – AML Transaction Monitoring	A1.3
4. Best RegTech – Compliance Management	A1.4
5. Best RegTech – Regulatory Change Management	A1.5
6. Best RegTech – Regulatory Reporting	A1.6
7. Best RegTech – Regulatory Training	A1.7

Section A2 – FinTech Firms

This section is for FinTech firms who provide solutions or services to the financial services industry.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best FinTech – Retail Banking	A2.1
2. Best FinTech – Payments & International Money Transfers	A2.2
3. Best FinTech – Equity Financing	A2.3
4. Best FinTech – Banking Software	A2.4
5. Best FinTech – Personal Finance	A2.5
6. Best FinTech – Insurance	A2.6

Section B – Regulated Firms

This section is for firms who are regulated by the FCA, PRA or other regulators including those from overseas.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Most Effective Risk & Compliance Arrangements	B1
2. Most Effective Financial Crime Mitigation Arrangements	B2
3. Most Effective SM&CR Arrangements	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 – Regulatory Compliance	C1
2. Best Consultancy – Enforcement & Investigations	C2
3. Best Law Firm – Regulatory Advice	C3
4. Best Law Firm – Enforcement & Investigations	C4
5. Best Regulatory Hosting – Funds	C5
6. Best Regulatory Hosting – Payments	C6
7. Best Regulatory Hosting – Independent Financial Advice	C7
8. Best Recruitment Firm – Board Level appointments	C8
9. Best Recruitment Firm – Executives and Managers	C9

Section D (For Teams)

This section is for teams who work within financial services firms, service provider firms and technology solutions firm. 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 – Consultancy & Law Firms	D2
3. Best Risk & Compliance Team – Regulated Firms	D3
4. Best Management Team – FinTech Firms	D4
4. Best Management Team – RegTech 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 Chief Compliance Officer	E1
2. Best Financial Crime Compliance Officer	E2
3. Best Risk & Compliance Manager	E3
4. Compliance Rising Star (age 35 or less)	E4
5. Best Compliance Consultant	E5
6. Best Regulatory Lawyer	E6
7. Best Compliance Trainer	E7
8. Best Recruitment Professional	E8

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