

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2022
The 19th Annual Awards for Exemplary Service to Compliance and Regulation
Shortlist of Nominees as at 2 August 2022, to be finalised after close of nominations.
Nominations will close at 12 noon on 15 August 2022

Section A1 – RegTech Firms

A1.1: Best RegTech – Financial Crime

- *Awaiting entries*

A1.2: Best RegTech – Market Integrity Surveillance

- *Awaiting entries*

A1.3: Best RegTech – AML Transaction Monitoring

- [NewBanking Aps](#)

A1.4: Best RegTech – Compliance Management

- [NewBanking Aps](#)
- [My Compliance Centre](#)
- [Worksmart](#)

A1.5: Best RegTech – Regulatory Change Management

- *Awaiting entries*

A1.6: Best RegTech – Regulatory Reporting

- [Qomply](#)
- [Kaizen Reporting](#)

A1.7 Best RegTech – Regulatory Training

- *Awaiting entries*

Section A2 – FinTech Firms

A2.1: Best FinTech – Retail Banking

- *Awaiting entries*

A2.2: Best FinTech – Payments & International Money Transfers

- *Awaiting entries*

A2.3: Best FinTech – Equity Financing

- *Awaiting entries*

A2.4: Best FinTech – Banking Software

- *Awaiting entries*

A2.5: Best FinTech – Personal Finance

- *Awaiting entries*

A2.6: Best FinTech – Insurance

- *Awaiting entries*

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Section B – Regulated Firms

B1: Most Effective Risk & Compliance Arrangements

- [Best Practice IFA Group](#)

B2: Most Effective Financial Crime Mitigation Arrangements

- [Best Practice IFA Group](#)

B3: Most Effective SM&CR Arrangements

- *Awaiting entries*

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Section C – Service Providers

C1: Best Consultancy – Regulatory Compliance

- [FSCOM](#)
- [MJHudson](#)
- [PwC](#)
- [Thistle Initiatives](#)

C2: Best Consultancy – Enforcement & Investigations

- *Awaiting entries*

C3: Best Law Firm – Regulatory Advice

- *Awaiting entries*

C4: Best Law Firm – Enforcement & Investigations

- *Awaiting entries*

C5: Best Regulatory Hosting – Funds

- [MJHudson](#)

C6: Best Regulatory Hosting – Payments

- *Awaiting entries*

C7: Best Regulatory Hosting – Independent Financial Advice

- *Awaiting entries*

C8: Best Recruitment Firm – Board Level appointments

- [Black Swan Group](#)

C9: Best Recruitment Firm – Executives and Managers

- *Awaiting entries*

Section D Teams

D1: Best Customer Services Team – Recruitment Firms

- *Awaiting entries*

D2: Best Customer Services Team – Consultancy & Law Firms

- *Awaiting entries*

D3: Best Risk & Compliance Team – Regulated Firms

- [Sotheby's](#)
- [FIS WorldPay](#)
- [Best Practice IFA Group](#)
- [MJHudson](#)

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D4: Best Management Team – FinTech Firms

- *Awaiting entries*

D5: Best Management Team – RegTech Firms

- [Worksmart](#)

Section E - Part One (For Individuals)

E1: Best Chief Compliance Officer

- [James Lasenby, Best Practice IFA Group](#)
- [Dr. Stephen Strickland, Sotheby's](#)

E2: Best Financial Crime Compliance Officer

- [Ian Whiting, World Pay](#)

E3: Best Risk & Compliance Manager

- [Vasco Vicini, MJHudson](#)

E4: Compliance Rising Star (age 35 or less)

- [Phoebe Davies, MJHudson](#)
- [Jack Williams, Thistle Initiatives](#)
- [Thomas McDavid, Sotheby's](#)

E5: Best Compliance Consultant

- [Hiwot Alemayehu, ACA Compliance](#)
- [Heather O'Gorman, Thistle Initiatives](#)
- [James Borley, Compliancy Services](#)

E6: Best Regulatory Lawyer

- *Awaiting Entries*

E7: Best Compliance Trainer

- *Awaiting Entries*

E8: Best Recruitment Professional

- *Awaiting Entries*

Section E - Part Two (for Individuals' Lifetime Achievement Award)

HF1 – Hall of Fame Lifetime Achievement – Winner(s) to be announced on the night, maximum 2 winners.

E&OE