

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2022

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

RESULTS



We are delighted to publish the full results of the 19th Annual Awards on 29 September in London. The evening was jam packed and really good to be back in live format now that the Covid-19 pandemic is over. The atmosphere was electric, the food brilliant and the AV set-up was beautifully done. To cap it all, the new Samurai trophies were clearly the next step up in quality.

The evening opened with a tribute to Her Majesty Queen Elizabeth II by our Chairman, Ben Goh. It is reproduced here on page 7 in response to the many requests for it to be made available.

Our grateful thanks to everyone for their enthusiastic support and to the presenters for each award.

Special thanks to members of The Academy of Compliance Excellence (ACE) for their independent votes to determine the winners of each category. ACE members are performing this commendable role on a pro bono basis for the good of our industry. The ACE members are:-

Voting Members (alphabetical order)

1. Neil Beard, Director, Clearly Compliance Limited
2. Brian Bendle, Director, Mint Insurance Brokers
3. Alan Brener, Consultant, Financial Service Compliance Limited
4. Lynne Hargreaves, Director, ClearStep Consulting Limited
5. David Skade, Director, DS Financial Crime Risk Management
6. Peter Szeremeta, Quality Assurance Manager, Quilter Cheviot
7. Sarah Thwaites, Director, Sarah Thwaites Associates Limited
8. Nigel Tuppen, Independent Governance Specialist
9. Simon Wilkin, Director, Anti-Financial Crime, Deutsche Bank

Reserves (alphabetical order)

10. Steve Lock, Director, SHL AML Limited
11. Sam Stewart, Director, AML Solutions Group Ireland
12. Rosalind Wright QC, former Director, Serious Fraud Office.

We look forward to welcoming you back in 2023 at our 20th Annual Awards – the provisionally date is Thursday 28 September in London. You definitely don't want to miss it.

The Team at The Compliance Register, 30 September 2022.

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Section A – RegTech Firms

A1: Best RegTech – Financial Crime

Winner: [Efficient Frontiers International](#)

A2: Best RegTech – AML Transaction Monitoring

Winner: [Efficient Frontiers International](#)

Second: [NewBanking Aps](#)

A3: Best RegTech – Compliance Management

Winner: [My Compliance Centre](#)

Second: [Worksmart](#)

Section B – Regulated Firms

B1: Most Effective Risk & Compliance Arrangements

Winner: [Best Practice IFA Group](#)

Second: [SBI Card](#)

B2: Most Effective Financial Crime Mitigation Arrangements

Winner: [Best Practice IFA Group](#)

Second: [Fusion Wealth](#)

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Section C – Service Providers

C1: Best Consultancy – Regulatory Compliance

Winner: FSCOM

Second: DWF

C2: Best Consultancy – Enforcement & Investigations

Winner: Eversheds Sutherland/Konexo

Second: Deloitte

C3: Best Law Firm – Regulatory Advice

Winner: Womble Bond Dickinson

Second: DWF

C4: Best Law Firm – Enforcement & Investigations

Winner: Norton Rose Fulbright

Second: DWF

C5: Best Regulatory Hosting – Funds

Winner: MJHudson

C6: Best Recruitment Firm – Board Level appointments

Winner: Black Swan Group

C7: Best Recruitment Firm – Executives and Managers

Winner: Black Swan Group

Second: Jameson Legal

C8: Special Commendation - Outstanding Firm of the Year

Winner: DWF

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Section D - Teams

D1: Best Customer Services Team – Recruitment Firms

Winner: [Fincselect](#)

Second: [Jameson Legal](#)

D2: Best Customer Services Team – Consultancy & Law Firms

Winner: [Eversheds Sutherland/Konexo](#)

Second: [Norton Rose Fulbright](#)

D3: Best Risk & Compliance Team – Regulated Firms

Winner: [FIS WorldPay](#)

Second: [Sotheby's](#)

D4: Best Management Team – RegTech Firms

Winner: [Worksmart](#)

Second: [My Compliance Centre](#)

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Section E - Part One (For Individuals)

- E1: Best Chief Compliance Officer
Winner: Dr. Stephen Strickland, Sotheby's
Second: Guido Febus, Veon
- E2: Best Financial Crime Compliance Officer
Winner: Ian Whiting, FIS WorldPay
Second: Rinku Sharma, SBI Card
- E3: Best Risk & Compliance Manager
Winner: Mickael Santoro, Veon
Second: Vasco Vicini, MJHudson
- E4: Compliance Rising Star (age 35 or less)
Winner: Jack Williams, Thistle Initiatives
Second: Thomas McDavid, Sotheby's
- E5: Best Compliance Consultant
Winner: David Robinson, Eversheds Sutherland/Konexo
Second: Geraldine Lawlor, KPMG
- E6: Best Regulatory Lawyer
Winner: Emma Radmore, Womble Bond Dickinson
Second: Jonathan Herbst, Norton Rose Fulbright
- E7: Best Compliance Trainer
Winner: Matt Congreve, KPMG
Second: Emma Radmore, Womble Bond Dickinson
- E8: Best Recruitment Professional
Winner: Matthew Pollard, Jameson Legal
Second: Alexandra Chirica, Thisisyourtale

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Section E - Part Two

HF1 – Hall of Fame Lifetime Achievement

The Winners are:

Simon Collins, Eversheds Sutherland/Konexo; and

Peter Snowdon, Norton Rose Fulbright

Both winners are giants in our industry having consistently over many years provided excellent advice and service to help enhance compliance standards. We are delighted to honour them in this way.

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TRIBUTE TO HER MAJESTY QUEEN ELIZABETH II

By Ben Goh, 29 September 2022

The Tao¹ has but three treasures.
First is compassion. Compassion comes from the heart.
It is the mother of courage.

The second is Wisdom².
Wisdom comes from humility.
It is the mother of Mankind.

The third is Perfection.
It comes from combining humility with compassion.
Rare indeed is perfection born of humility and compassion.
From such perfection comes exquisiteness of character and soul.
Exquisiteness that illuminates the darkest corners of the Universe.
Exquisiteness that gives comfort and sustenance to the frailties of humanity.
Exquisiteness that sometimes uncovers the amazing follies of humanity!

A pebble on entering the pond creates many ripples.
One good deed is but a ripple on the sands of time.
But just like the pebble, one good deed begets at least ten others.
Such is the wonder of the Tao.

The sage walks always with his head bowed, humble like the dust.
Yet this dust is the essence of humility.
From such humility comes forth humanity.
An exemplary humanity so brilliantly lived by your Majesty.

Observe: The river does not fight the rock.
It simply flows around, above, underneath and through it.
Thus the rock becomes a refuge for the river,
As you have become our rock in the great river of life.

Planet Earth is but a pebble in the great pond of the Universe.
In countless worlds, many rivers flow into many great ponds.
They too shall find refuge in the rocks along the way.
But behold!
They will not, for a long time, find a rock as quintessential as you.

¹ The Tao, which translates as the Way and Its Power, is at the core of the teachings of Taoism as propounded by the Chinese philosopher Lao Tsu in the 6th Century BC.

² Wisdom, unlike senility, does not come naturally with age. It is not a flower to be plucked but a mountain to be climbed. It needs careful cultivation of the mind and body to nurture it to its full potential. Without wisdom we will still be in the Stone Age.