

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2023

The 20th Annual Awards for Global Excellence

Thursday 28 September 2023 at The Millennium Gloucester Road, London

SUMMARY OF CATEGORIES

Information as at 16 June 2023

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

Apart from Section A*, the 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.

***Section A categories are decided by industry voting.**

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The 20th Annual Awards for Global Excellence – Categories Summary

Section A – Industry Recognition

The winners in Section A will be chosen by the votes of the industry. This section is for firms only. Such firms must be involved in or associated with financial services including regulated firms.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Consultancy Firm	A1
2. Best FinTech Firm	A2
3. Best Insurance Broker	A3
4. Best Law Firm	A4
5. Best Managed Services Provider	A5
6. Best Payment Services Provider	A6
7. Best Recruitment Firm	A7
8. Best RegTech Firm	A8
9. Best Training Services Provider	A9
10. Outstanding Firm of the Year	A10

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Section B – Regulated Firms

This section is for firms who are regulated by the FCA, PRA, BaFin, SEC, MAS, and other regulators. The winners will be chosen by the votes of the Academy of Compliance Excellence.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Governance & Senior Management Arrangements	B1
2. Best Financial Crime Mitigation Arrangements	B2
3. Best Risk & Compliance 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 Advice	C1
2. Best Support Services – Meeting Regulatory Requirements	C2
3. Best Support Services - Enforcement & Remedial Actions	C3
4. Best Support Services - Regulatory Reporting	C4
5. Best Law Firm - Regulatory Advice	C5
6. Best Law Firm - Handling Regulatory/Enforcement Actions	C6
7. Best RegTech Solutions – Compliance Tasks	C7
8. Best Recruitment Firm - Compliance Staff	C8
9. Best Recruitment Firm - Senior Managers	C9
10. Outstanding Service Provider of the Year	C10

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 Services Team - Recruitment Firms	D1
2. Best Services Team - Consultancy & Law Firms	D2
3. Best Risk & Compliance Team - Regulated Firms	D3
4. Best Management Team - FinTech Firms	D4
5. 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. Global Award – Hall of Fame Lifetime Achievement	HF1