

# THE COMPLIANCE REGISTER PLATINUM AWARDS® 2023

*The 20<sup>th</sup> Annual Awards for Global Excellence*

*Thursday 28 September 2023 at The Millennium Gloucester Road, London*

**SHORTLIST as at closing date on 31 August 2023**

**This document is as at 12 September 2023 and is subject to further update if (in the unlikely event that) errors come to light subsequently.**

## **SECTION A: Decided by Industry Voting**

### *A1: Best Consultancy Firm*

Thistle Initiatives

FSCOM

Schema Compliance

Cosegic

### *A2: Best FinTech Firm*

*No entries*

### *A3: Best Insurance Broker*

Mint Insurance

Absolute Cover

### *A4: Best Law Firm*

Ashurst

Shoosmiths

Norton Rose Fulbright

Farrer & Co

Womble Bond Dickinson

### *A5: Best Managed Services Provider*

Khepri

Deloitte

### *A6: Best Payment Services Provider*

Thomas Exchange UK

Currensea

Ecommpay

### *A7: Best Recruitment Firm*

Jameson Legal

Black Swan Group

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## *A8: Best RegTech Firm*

MyComplianceCentre

Reglex.io

Worksmart

Notabene.id

RiskScreen

## *A9: Best Training Services Provider*

Skillcast

Adempi Associates

## *A10: Outstanding Firm of the Year*

The Broker Club

Cosegic

DWF Law

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## **SECTION B: Regulated Firms**

*B1: Best Governance and Senior Management Arrangements*

Best Practice IFA Group

Ecommpay

*B2: Best Financial Crime Mitigation Arrangements*

Best Practice IFA Group

SBI Card

Fusion Wealth

*B3: Best Risk & Compliance Arrangements*

Best Practice IFA Group

Khepri

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## SECTION C: Service Providers

### *C1: Best Consultancy – Regulatory Advice*

Adempi Associates  
Thistle Initiatives  
FSCOM  
Schema Compliance  
Cosegic  
Norton Rose Fulbright

### *C2: Best Support Services – Meeting Regulatory Requirements*

Cosegic  
FSCOM

### *C3: Best Support Services – Enforcement & Remedial Actions*

DWF Law  
Ashurst

### *C4: Best Support Services – Regulatory Reporting*

*(No entries)*

### *C5: Best Law Firm – Regulatory Advice*

Womble Bond Dickinson  
Norton Rose Fulbright

### *C6: Best Law Firm – Handling Regulatory/Enforcement Actions*

Norton Rose Fulbright  
Womble Bond Dickinson

### *C7: Best RegTech Solutions – Compliance Tasks*

MyComplianceCentre  
Reglex.io  
RiskScreen

### *C8: Best Recruitment Firm – Compliance Staff*

*No entries*

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*C9: Best Recruitment Firm – Senior Managers*

Oliver James Associates

Black Swan Group

*C10: Outstanding Service Provider of the Year*

Worksmart

Schema Compliance

DWF Law

Cosegic

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## **SECTION D: Teams**

*D1: Best Services Team - Recruitment Firms*

Investigo

Black Swan Group

*D2: Best Services Team – Consultancy & Law Firms*

Cosegic

FSCOM

*D3: Best Risk & Compliance Team – Regulated Firms*

NatWest Markets

Best Practice IFA Group

Khepri

*D4: Best Management Team – FinTech Firms*

*No entries*

*D5: Best Management Team - RegTech Firms*

MyComplianceCentre

Worksmart

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## **SECTION E: Part One - Individuals**

### *E1: Best Chief Compliance Officer*

Willem Wellinghoff, Ecommpay

Rinku Sharma, SBI Card

### *E2: Best Financial Crime Compliance Officer*

Mickael Santoro, Veon

Leon Clifford, Thomas Exchange UK

Rinku Sharma, SBI Card

Chris Borley, Best Practice IFA Group

### *E3: Best Risk & Compliance Manager*

Ian Whiting, FIS WorldPay

Fiona Cameron, NatWest

Leon Clifford, Thomas Exchange

### *E4: Compliance Rising Star (aged 35 or less)*

Heather O’Gorman, FSCOM

Min Kyoung Kim, Shinhan Bank

Rabih Zeitouny, Cosegic

Rahmin Rugsataya, Khepri

### *E5: Best Compliance Consultant*

Heather O’Gorman, FSCOM

Azariah Nukajam, FSCOM

Amanda Sahota, Schema Compliance

### *E6: Best Regulatory Lawyer*

Jonathan Herbst, Norton Rose Fulbright

Emma Radmore, Womble Bond Dickinson

### *E7: Best Compliance Trainer*

Zoe Keen, Leaman Crellin

Emma Radmore, Womble Bond Dickinson

Gillian Roche-Saunders, Adempi Associates

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*E8: Best Recruitment Professional*

Annabel Evans, Hanover Search

Chris Roots, Investigo

## **SECTION E: Part Two – Hall of Fame Lifetime Achievement**

Winners for this Section will be announced on the night.