

# 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*



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## **PRESS RELEASE: 29 SEPTEMBER 2023**

On 28 September The Compliance Register celebrated 20 years of its Annual Awards which started in 2004. Clearly this is a momentous milestone in the history of these Awards in recognising global excellence.

We are delighted to publish the full results of the 20<sup>th</sup> Annual Awards held on 28 September in London. Congratulations to all the winners. The evening was once again jam packed The atmosphere was electric, the food brilliant and the AV set-up was beautifully done.

The evening opened with Ben Goh singing What A Wonderful World which was creatively done with a sense of humour and to celebrate this wonderful 20<sup>th</sup> anniversary. For all its problems, there is still much to celebrate about the planet we live on including the beauty of the natural world and the life on Earth. It Is wonderful to be celebrating 20 years of recognising global excellence and the song set the scene for a wonderful evening. The performance ended with rapturous applause.

The evening also featured the debut of Ben Goh as a magician who performed a mind-reading act using a random volunteer from the audience. The volunteer was Tom Cullen of Deloitte. In order to comply with Data Privacy laws Tom had to give express consent first for his mind to be read! The act has left him with a memento which he said he would treasure for many years to come.

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The second debut saw the The Incognito Singer game which consists of three acts. The audience then had to try and guess who the singers are. Well done to Khepri for getting all three singers right thereby winning £300 for charity.

The formal proceedings concluded with the ever effervescent Awards ceremony featuring 34 winners in total. Following this, the dance floor and the Networking Bar was packed till late. It was a truly memorable evening for all.

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

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. Their impartiality ensures the integrity of these Awards and for this we are truly grateful.

## **HOW ARE THE RESULTS DETERMINED**

These awards have five sections namely:-

- Section A decided by industry voting
- Section B: Regulated Firms
- Section C: Service Providers
- Section D: Teams
- Section E: Individuals

The results for Sections B to E are determined by the votes of The Academy of Compliance Excellence (ACE). ACE is divided into Voting Members and Reserve Members.

ACE members are required to be impartial and will abstain in any relevant category where the voting member is conflicted. In that event, a reserve member will vote instead. Such abstentions are noted below under Abstentions to ensure both integrity and transparency. Without integrity, any award is not worth winning!

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## **THE ACADEMY OF COMPLIANCE EXCELLENCE (“ACE”)**

Special thanks to members of The Academy of Compliance Excellence (ACE) for their impartiality in determining 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 for 2023 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, Independent Consultant
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. Ben Mason, Director, MyComplianceCentre
12. Sam Stewart, Director, AML Solutions Group Ireland
13. Rosalind Wright KC, former Director, Serious Fraud Office

### *Abstentions*

Lynne Hargreaves and Sarah Thwaites abstained in the voting for categories C10 and D5. Steve Lock and Sam Stewart voted in those categories.

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

*Category A1: Best Consultancy Firm*

Winner: FSCOM

Second: Cosegic

*Category A3: Best Insurance Broker*

Winner: Mint Insurance

Second: Absolute Cover

*A4: Best Law Firm*

Winner: Ashurst

Second: Womble Bond Dickinson

*A5: Best Managed Services Provider*

Winner: Khepri

Second: Deloitte

*A6: Best Payment Services Provider*

Winner: Ecommpay

Second: Thomas Exchange UK

*A7: Best Recruitment Firm*

Winner: Black Swan Group

Second: Jameson Legal

*A8: Best RegTech Firm*

Winner: MyComplianceCentre

Second: Worksmart

*A9: Best Training Services Provider*

Winner: Adempi Associates

Second: Skillcast

*A10: Outstanding Firm of the Year*

Winner: Cosegic

Second: DWF Law

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## **SECTION B: Regulated Firms**

*B1: Best Governance and Senior Management Arrangements*

Winner: Best Practice IFA Group

Second: Ecommpay

*B2: Best Financial Crime Mitigation Arrangements*

Winner: Fusion Wealth

Second: SBI Card

*B3: Best Risk & Compliance Arrangements*

Winner: Best Practice IFA Group

Second: Khepri

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## SECTION C: Service Providers

*C1: Best Consultancy – Regulatory Advice*

Winner: Cosegic

Second: Adempi Associates

*C2: Best Support Services – Meeting Regulatory Requirements*

Winner: Cosegic

Second: FSCOM

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

Winner: DWF Law

Second: Ashurst

*C5: Best Law Firm – Regulatory Advice*

Winner: Womble Bond Dickinson

Second: Norton Rose Fulbright

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

Winner: Norton Rose Fulbright

Second: Womble Bond Dickinson

*C7: Best RegTech Solutions – Compliance Tasks*

Winner: MyComplianceCentre

Second: Reglex.io

*C9: Best Recruitment Firm – Senior Managers*

Winner: Black Swan Group

Second: Oliver James Associates

*C10: Outstanding Service Provider of the Year*

Winner: DWF Law

Second: Cosegic

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## **SECTION D: Teams**

*D1: Best Services Team - Recruitment Firms*

Winner: Black Swan Group

Second: Investigo

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

Winner: Cosegic

Second: FSCOM

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

Winner: Khepri

Second: Best Practice IFA Group

*D5: Best Management Team - RegTech Firms*

Winner: Worksmart

Second: MyComplianceCentre

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## SECTION E: Part One - Individuals

### *E1: Best Chief Compliance Officer*

Winner: Willem Wellinghoff, Ecommpay

Second: Rinku Sharma, SBI Card

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

Winner: Leon Clifford, Thomas Exchange UK

Second: Rinku Sharma, SBI Card

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

Winner: Ian Whiting, FIS WorldPay

Second: Fiona Cameron, NatWest

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

Winner: Heather O’Gorman, FSCOM

Second: Rahmin Rugsataya, Khepri

### *E5: Best Compliance Consultant*

Winner: Azariah Nukajam, FSCOM

Second: Heather O’Gorman, FSCOM

### *E6: Best Regulatory Lawyer*

Winner: Emma Radmore, Womble Bond Dickinson

Second: Jonathan Herbst, Norton Rose Fulbright

### *E7: Best Compliance Trainer*

Winner: Gillian Roche-Saunders, Adempi Associates

Second: Emma Radmore, Womble Bond Dickinson

### *E8: Best Recruitment Professional*

Winner: Chris Roots, Investigo

Second: Annabel Evans, Hanover Search



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

*HF1: John Burns, Cosegic*

This is in recognition of his pioneering work in the payment services sector.

As Senior Advisor of Payment Services at Cosegic he is widely acknowledged as the go-to person for payment services work. He was involved from the start of payment services by being the FSA specialist in implementing PSD1 and the Second E-Money Directive. His focus since leaving FSA has been on helping banks, payment and e-money institutions meet the ever changing regulations. This includes PSD2. He has tirelessly led and grown the Payment Services team at Cosegic from 1 to 10 in the last three years. He is now transitioning to a NED portfolio career. He will surely be missed!

*HF2: Mike Williams, Deloitte.*

This is in recognition of his 40 years service to banking regulation.

Mike Williams has had a 40 year career and is a stalwart in banking regulation. He founded the regulatory practice in 1992 at Deloitte and has led it to become a thriving and successful business that it is today. He has seen off multiple financial downturns and a pandemic and still not ready to retire! He truly deserves recognition to the financial services industry.

ENDS