

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2023

The 20th Annual Awards Recognising Global Excellence in Financial Services

THURSDAY 28 SEPTEMBER 2023

THE Millennium Conference Centre, The Millennium Hotel,
4-18 Harrington Gardens, London SW7 4LH

ATTENDANCE

These Awards, besides recognising excellence, are also raising funds for various charities such as Macmillan Cancer Support and Cancer Research UK. Your attendance and participation in the charity auction will help us raise funds for charities.

Your attendance includes:-

- Drinks Reception with canapés
- Opening Ceremony
- 3-Course Dinner with half-bottle of wine per person*
- Charity auction
- The Incognito Singer
- Exciting Awards Ceremony
- Fabulous music to get you dancing
- Networking Cash Bar
- Plus memorable surprises

*Additional Drinks at Cash Bar

Dress Code: Black Tie

TIMINGS

18.30: Registrations

18.45: Drinks Reception

19.20: Opening Ceremony

19.30: Dinner, charity auction, The Incognito Singer, Surprises.

21.00: Awards Ceremony

10.30: Disco

10.30: Networking Cash Bar

12.15: Conclusion

Cash Bar will be open till late.

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 in the Results press release ensuring both integrity and transparency. Without integrity, any award is not worth winning!

THE ACADEMY OF COMPLIANCE EXCELLENCE (“ACE”)

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 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

Further information on the Awards on our website:-

<https://ComplianceR.com/platinum-awards>

Note: The above information is correct as at 15 September 2023.