

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2024

The 21st Annual Awards for Global Excellence

Thursday 10 October 2024 at The Millennium Gloucester Road, London

SUMMARY OF CATEGORIES

Information as at 18 July 2024

RELIANCE ON THIS DOCUMENT

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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 and voters should take into account (where relevant) the Five Gs above.**

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The 21st 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, teams and individuals. The candidates must be involved in or associated with financial services including regulated firms.

CATEGORY DESCRIPTION	CATEGORY CODE
1. Best Business Development Team	A1
2. Best Marketing Team	A2
3. Best Business Collaboration/Alliance	A3
4. Best Marketing Leader - Individual	A4
5. Best Consultancy Firm	A5
6. Best Law Firm	A6
7. Best RegTech Firm	A7
8. Best Managed Services Provider	A8
9. Best FinTech Firm	A9
10. Outstanding Achiever of the Year (Firm or Individual)	A10

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 Marketing & Business Development	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 – Compliance & Regulatory Work	C1
2. Best Support Firm – Compliance & Regulatory Work	C2
3. Best Law Firm – Compliance & Regulatory Work	C3
4. Best Support Firm – Payment Services	C4
5. Best Law Firm - Regulatory/Enforcement Actions	C5
6. Best RegTech Solutions Firm	C6
7. Best Cybersecurity Solutions Firm	C7
8. Best Crypto Solutions Firm	C8
9. Best Recruitment Firm	C9
10. Best ESG Services Firm	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 Customer Services Team – All firms	D1
2. Best Risk & Compliance Team - Regulated Firms	D2
3. Best Management Team - RegTech Firms	D3
4. Best Management Team - FinTech Firms	D4

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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 Compliance & Risk 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. Outstanding Achiever of the Year	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

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Section F – Bespoke Recognition

This Section is for bespoke recognition of unique or outstanding achievements of firms, teams and individuals.

There is a fee of £800 + VAT per entry which has to be paid before the entry can be considered. An invoice will be issued to the email address provided by the applicant.

Please submit your application under the following headings:

DETAILS OF THE APPLICANT

- Applicant's Name
- Postal Address
- Email address
- Mobile contact number
- Specify application is for (state Firm, Team or Individual)

DETAILS OF ACHIEVEMENTS TO BE CONSIDERED

- Description of Achievements (maximum 2000 words)
- Testimonials (certified copies)
- Two written references (certified copies)
- Summary of why recognition is deserved
- Email address for contact if further information is required