

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2011 *for Exemplary Service to Compliance and Regulation*

Two independent panels consisting of eminent practitioners will help decide the winners of these awards. They serve in their personal capacity on a pro-bono basis and are not representing the views of the organisations that they work for. Strict rules of impartiality apply and where a conflict of interest arises, a member of the Reserves Panel will vote in place of the conflicted member. *The Compliance Register is honoured and grateful to each member of the two panels and the Reserves Panel for their selfless work in helping to recognise excellence.*

The Academy of Compliance Excellence (ACE)

The seven members of ACE will vote to determine the final shortlist for each category. The members of ACE are, in alphabetical order by surname:-

1. Gareth Adams, Chairman of State Street Trustees Limited and a Senior Advisor to the Financial Services Authority.
2. Alan Brener, Director of Regulatory Risk Strategy, Santander.
3. Jane Green, Managing Director, Compliance Division, Association of Financial Markets Europe.
4. Ashley Kovas, Head of Regulatory Policy, RBS Group.
5. Alex Shapland, Partner (retired), PwC.
6. Sam Stewart, Head of EMEA Compliance, Northern Trust.
7. Rosalind Wright QC, Chairman, Fraud Advisory Panel and a previous director of the Serious Frauds Office.

The Panel of Judges

The Panel of Judges will vote on the final shortlist from ACE to determine the winners of each category.

The members of the Panel of Judges are, in alphabetical order, by surname:-

1. Anita Bhaskar, Head of Compliance, R W Baird
2. Tim Herrington, Chairman of the Regulatory Decisions Committee of the Financial Services Authority.
3. Brian Rowe, Head of Compliance, Henderson Global Investors.
4. Michael Wainwright, Partner, Eversheds.
5. Geoff Walsh, Managing Director, MiFID Division, Association of Financial Markets Europe.

The Reserves Panel

1. Brian Bendle, Deputy Managing Director, PSR Insurance Brokers Limited.
2. Adam Epstein, Partner, Mishcon de Reya
3. Christopher Taylor, Senior Consultant, Financial Services Compliance Limited.