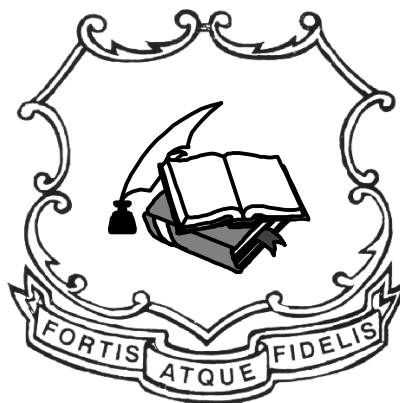


# THE COMPLIANCE REGISTER

[www.ComplianceR.com](http://www.ComplianceR.com)

*The International Organisation for Compliance Professionals,  
MLROs and Senior Managers in the Financial Services Industry*

## MEMBERSHIP INFORMATION 2008-9



### SECRETARIAT

Enterprise House, P O Box 843, Greenleys, Milton Keynes, MK12 6YZ, United Kingdom.  
Telephone: (01908) 322450; Fax: (01908) 220213.

## MISSION STATEMENT

- To be a world-class international organisation for compliance professionals in the financial services industry.
- To be a leader and standards-setter in the education, training and career development of compliance professionals.
- To assist and enable compliance professionals, MLROs and senior managers to contribute to the continuing development of quality standards, best practice and efficiency in the financial services industry.

## MEMBERSHIP POLICY

It has been our policy since our launch in 1995 to encourage chief executives, managing directors and other senior managers (in addition, of course, to compliance personnel) to join as members. The reasons are mainly as follows:-

- Compliance cannot be effective without the unequivocal support of senior management.
- By becoming members, senior managers will have a better understanding of compliance issues and concerns and will therefore be in a better position to support compliance.
- As an organisation, we will strive to have the right “balance”. In this respect, senior management has a crucial role to play by contributing to the development of our strategies and policies in meeting the professional needs of our members. We recognise that without the ability to see the wider concerns of senior management may and can lead to a very distorted and dangerously inadequate picture.

## OUR APPROACH

- As an organisation, our approach is to aim to be the “doers” rather than the “talkers”. As the saying goes, actions speak louder than words. We firmly believe that our track record speaks for itself.
- In the formulation of policy and strategy, we welcome the views of members. In addition, we have the wise counsel of our Academy of Compliance Excellence (ACE) whose members are all eminent compliance professionals. A list of ACE members is available on request.

## **MEMBERSHIP SCHEMES**

- There are two membership schemes, namely Individual and Corporate. All memberships are due for renewal annually on 1<sup>st</sup> July. There are special arrangements to cater for those who are applying between April and June each year. Please contact our Secretariat for details. Individual membership costs, per annum, £188.00 while corporate membership costs £587.50 (both inclusive of VAT). Additionally, for each applicant, there is a one-off joining fee of £58.75. This joining fee is waived for those who are attending any of the training events where the number of attendees is limited to 30.

## **WHO SHOULD APPLY FOR INDIVIDUAL MEMBERSHIP?**

- All compliance professionals and MLROs who have operational responsibility for compliance with the rules of any of the financial services regulators in the UK or overseas.
- All other professionals and senior managers who have management responsibility for, or an interest in, ensuring compliance.
- Professional advisers such as lawyers, accountants and compliance consultants.

## **BENEFITS OF INDIVIDUAL MEMBERSHIP**

- Automatic entry in The Compliance Directory Database. The Directory is a comprehensive database of compliance professionals in the financial services industry.
- A membership certificate will be issued to each member.
- Discounts for compliance training courses, seminars, conferences, the Annual OStCaR (Outstanding Service to Compliance and Regulation) Awards, etc organised by, inter alia, The Compliance Register.
- Enhanced career opportunities through networking and through the bespoke services offered by our Executive Search & Selection Division which is based in London. Free career guidance for members.
- Exclusive access to the Members' Area of our website which contains useful information and other monthly journal, The Compliance Digest.
- Access, free of charge, to The Compliance HelpLine giving helpful information and informal advice on tackling problems and to discussion groups such as the City Compliance Forum in London.
- Members are entitled to use the designatory letters "MCR" or to describe themselves as "A Member of The Compliance Register."

**THE COMPLIANCE REGISTER**  
**INDIVIDUAL MEMBERSHIP APPLICATION FORM**  
*(Please photocopy this form as required.)*

**Details of the Individual to be registered**

Surname: ..... First Names: .....

Title (Mr/Mrs, etc)..... Designatory Letters:.....

Academic Achievements:.....

Professional Qualifications:.....

Private Address:.....

Post Code: ..... Telephone No. ....

Email Address:.....

Present Occupation: .....

Main Responsibilities:.....

**Details of Employment or Sponsoring Organisation**

Business/Employing Organisation: .....

Address:.....

Town: ..... Post Code: .....

Telephone ..... Fax:.....

Type of Business..... Number of Employees:.....

**DECLARATION and AUTHORISATION**

I hereby apply to join The Compliance Register as a member. A cheque for £ (including joining fee where applicable) is enclosed made payable to The Compliance Register. I authorise The Compliance Register to undertake the necessary due diligence checks on my fitness and propriety to be a member.

**Signature of Applicant:** ..... **Date:** .....

*(When completed, please send to Ben Goh, Secretary, The Compliance Register,  
P O Box 843, Greenleys, Milton Keynes, MK12 6YZ, United Kingdom.)*

# **THE COMPLIANCE REGISTER**

## **CORPORATE MEMBERSHIP**

### **WHO SHOULD APPLY?**

a) All financial services companies, businesses or organisations who are regulated under the UK's Financial Services & Markets Act 2000 or similar legislation overseas.

b) All law, accountancy and compliance consultancy firms who advise regulated businesses on compliance with the rules of the financial services regulators.

### **BENEFITS OF REGISTRATION**

- Automatic entry in The Compliance Directory Database.
- Discounts for compliance training courses, seminars, conferences, the Annual OStCaR (Outstanding Service to Compliance and Regulation) Awards, etc organised by, inter alia, The Compliance Register.
- Corporate members are entitled to describe themselves as “Corporate Members of The Compliance Register” and will receive a membership certificate.
- Exclusive access to the Members’ Area of our website which contains useful information and our monthly journal, The Compliance Digest.
- For relevant members of staff wishing to register as individual members, the special rate of £94.00 per person will apply.
- Access, free of charge, to The Compliance HelpLine giving helpful information and informal advice on tackling problems and to discussion groups such as the City Compliance Forum in London.
- Enhanced business opportunities through networking.
- A discount of 20% when using our Executive Search & Selection services to recruit senior compliance staff.

**THE COMPLIANCE REGISTER**  
**CORPORATE MEMBERSHIP APPLICATION FORM**

*(Please photocopy this form as required.)*

**About the Applicant**

Name of Applicant Firm/Company: .....

.....

Address: .....

Post Code: ..... Telephone No: .....

Fax Number: ..... Number of Employees: .....

Names of Regulators: .....

Type of Business: ..... Number of Compliance Staff .....

**Nominated person to whom all correspondence should be sent**

Title (Mr/Mrs/Ms) : ..... Surname: .....

First Names: ..... Position: .....

Address (if different from above) : .....

..... Post Code: .....

Email Address:.....

**DECLARATION**

We, being the applicant named above, hereby apply for Corporate Membership of The Compliance Register. A cheque for £ (including joining fee where applicable) is enclosed made payable to The Compliance Register. We authorise The Compliance Register to undertake the necessary due diligence checks on our fitness and propriety to be a member.

**Signature:** ..... **Date:** .....

**Name of Person signing above :** .....

**Position:** .....

*When completed, please send to: Ben Goh, Secretary, The Compliance Register, P O Box 843, Greenleys, Milton Keynes, MK12 6YZ. If you have any queries, please telephone (01908) 322450.*

# **THE COMPLIANCE REGISTER**

## **FREE SCHEME FOR ASSOCIATES**

### **WHO SHOULD APPLY?**

- a) All those individuals who have an interest in the UK's Financial Services & Markets Act 2000 or similar legislation overseas.
  
- b) All those individuals who work for law, accountancy and compliance consultancy firms who advise regulated businesses on compliance with the rules of the financial services regulators.

### **BENEFITS OF ASSOCIATES**

Please note that Associates are not members and will not have any of the benefits enjoyed by members.

- Associates will be invited to attend the various discussion forums and meetings that are free of charge.
  
- Enhanced business opportunities through networking.

### **HOW MUCH DOES IT COST?**

- On initial application, there is a one-off registration fee of £94.00 inclusive of VAT.
  
- No further fees are payable after the initial application.

**THE COMPLIANCE REGISTER**  
**APPLICATION FORM FOR ASSOCIATESHIP**  
*(Please photocopy this form as required.)*

**Details of the Individual to be registered**

Surname: ..... First Names: .....

Title (Mr/Mrs, etc)..... Designatory Letters:.....

Academic Achievements:.....

Professional Qualifications:.....

Private Address:.....

Post Code: ..... Telephone No. ....

Email Address:.....

Present Occupation: .....

Main Responsibilities:.....

**Details of Employment or Sponsoring Organisation**

Business/Employing Organisation: .....

Address:.....

Town: ..... Post Code: .....

Telephone ..... Fax:.....

Type of Business..... Number of Employees:.....

**DECLARATION and AUTHORISATION**

I hereby apply to join The Compliance Register as an associate. A cheque for £94.00 (being the one-off joining fee) is enclosed made payable to The Compliance Register. I authorise The Compliance Register to undertake the necessary due diligence checks on my fitness and propriety to be an associate.

**Signature of Applicant:** ..... **Date:** .....

*(When completed, please send to Ben Goh, Secretary, The Compliance Register,  
P O Box 843, Greenleys, Milton Keynes, MK12 6YZ, United Kingdom.)*