

THE 2007 COMPLIANCE REGISTER OStCaR Awards

THE ORIGINAL AND THE MOST PRESTIGIOUS AWARDS
FOR THE COMPLIANCE INDUSTRY

Information as at close of nominations on 5 November 2007 (Errors and Omissions Excepted)

Section A (For Firms)

(Category A1) Best Compliance Award for Financial Services Firms

SPONSORED BY CHIRIN CAPITAL LLP

1. TMS Financial Solutions Ltd
2. Deloitte & Touche LLP
3. Suffolk Life

(Category A2) Best Compliance Consultancy Services Award – Strategic Compliance Advice

SPONSORED BY COMPLIANCE MATTERS & CO

1. PwC
2. Enterprise Learning
3. FSA Solutions

(Category A3) Best Compliance Consultancy Services Award – Compliance Monitoring

SPONSORED BY COMPLIANCE MATTERS & CO

1. Kinetic Partners
2. Compliance Management Solutions
3. FSA Compliance Consultants

(Category A4) Best Compliance Consultancy Services Award – Overall Compliance Support

SPONSORED BY COMPLIANCE MATTERS & CO

1. Bond Pearce
2. Callidus Solutions Limited.
3. Expert Mortgage Advice Limited
4. Bovill Limited

(Category A5) Best Legal Services Award - Litigation, Investigation & Enforcement Work

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

1. Lawrence Graham
2. Stephenson Harwood
3. Mishcon de Reya

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(Category A6) Best Legal Services Award – Regulatory & Commercial SPONSORED BY TYZACK ASSOCIATES

1. Mayer Brown
2. S J Berwin
3. Kaye Scholer
4. Addleshaw Goddard

(Category A7) Best Outsourcing Services Award SPONSORED BY THE COMPLIANCE REGISTER

1. Livingstone Gunn
2. Methuen Consulting
3. HedgeSupport
4. Gem Compliance Consulting

(Category A8) Best Training Services Award SPONSORED BY THE COMPLIANCE REGISTER

1. Eukleia Training
2. MC Training
3. Insynergi UK Ltd
4. RWA Assessment & Learning Ltd.

(Category A9) Best Book Award SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

1. Financial Services Decisions Digest *by Norton Rose team*
2. Fraud and Corruption – Prevention and Detection *by Nigel Iyer and Martin Samociuk*
3. Countering Terrorist Funding *by Tim Parkman and Gill Peeling*

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Section B (For Individuals)

(Category B1) Most Efficient/Helpful FSA Staff Award

SPONSORED BY CICERO EUROPE

1. David Geale
2. James Calder
3. Haydon Thomas
4. Peter Rooke

(Category B2) Best Compliance Author/Journalist Award

SPONSORED BY BULLETIN PR

1. James Bagge, Norton Rose
2. Tim Parkman, Lessons Learned
3. Hal Austin, Financial Adviser
4. Robert Kingsbury, Professional Adviser

(Category B3) Most Innovative Fraud Prevention Officer Award

SPONSORED BY THE COMPLIANCE REGISTER

1. Chris Gregory, Critical Strategy
2. David Skade, Calyon

(Category B4) Best Compliance Trainer Award

SPONSORED BY THE COMPLIANCE REGISTER

1. Louise Clark, Deloitte
2. Dylan Stokes, Barclays Capital
3. Peter Haines, PHCC

(Category B5) Best Compliance Officer/Staff Award – Outstanding
Leadership/Dedication

SPONSORED BY HENDERSON GLOBAL INVESTORS

1. Gareth Adams, Fidelity
2. Sarah Docx, BNP Paribas

(Category B6) Best Compliance Officer/Staff Award – Most Added Value.

SPONSORED BY DENTON WILDE SAPTE

1. Ben Hur, NIBC Bank
2. Karen Bowie, Credit Suisse
3. Stephen Mitchell, Investment Manager Selection
4. Brian Harte, Royal Bank of Canada
5. Janice Perry, Tysers

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(Category B7) Best Compliance Consultant Award – Strategic Compliance Advice.

SPONSORED BY THE COMPLIANCE REGISTER

1. Graham O'Connell, PwC
2. Ben Blackett-Ord, Bovill Consulting
3. Mike Williams, Deloitte

(Category B8) Best Compliance Consultant Award – Compliance Monitoring.

SPONSORED BY THE COMPLIANCE REGISTER

1. Michael Glover, Callidus Solutions Limited
2. Isabelle Gilson-Lietar
3. Richard Symington, Methuen Consulting

(Category B9) Best Compliance Consultant Award – Overall Compliance Support.

SPONSORED BY THE COMPLIANCE REGISTER

1. Caroline Gibbs, Bovill
2. Michael Jones, Compliance Solutions
3. Jan Fairs

(Category B10) Best Legal Advisor Award – Litigation, Investigation and Enforcement Work.

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

1. Tony Woodcock, Stephenson Harwood
2. Stephen Paget-Brown, Travers Smith Braithwaite
3. Daren Allen, DLA Piper
4. Jonathan Kelly, Simmons & Simmons
5. William Yonge, McDermott Will & Emery

(Category B11) Best Legal Advisor Award – Regulatory & Commercial.

SPONSORED BY EVERSHEDES LLP

1. Charlotte Hill, Stephenson Harwood
2. Simon Firth, Kaye Scholer
3. Joe Coffey, Taylor Wessing
4. Adrian Brown, S J Berwin
5. Rachel Kent, Lovells
6. Tim Flood, Jones Day

(Category B12) Best MLRO Award – Outstanding Leadership/Dedication

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

1. David Allmand, Nomura International
2. Rob Cutler, CSFB
3. Neil Munro, Morgan Stanley

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(Category B13) Best MLRO Award – Most Added Value.

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1. Malcolm Rawlins, Citi
2. Martin Woods, Wachovia
3. Kathryn Woodfine, Goldman Sachs

(Category B14) Best Chief Executive/MD Award.

SPONSORED BY DELOITTE & TOUCHE LLP

1. David Brownlow, Huntswood
2. Clive Gwilliam, TMS Financial Solutions

(Category B19) Hall of Fame Lifetime Achievement Award.

SPONSORED BY COMPLIANCE RECRUITMENT SOLUTIONS

1. Sir Adam Ridley, Director-General (retired), LIBA
2. Richard Sowerbutts, Partner (retired), Deloitte