

THE 2008 COMPLIANCE REGISTER OStCaR AWARDS

THE ORIGINAL AND MOST PRESTIGIOUS AWARDS FOR
OUTSTANDING SERVICE TO COMPLIANCE AND REGULATION

Results as at 08 December 2008 (Errors and Omissions Excepted)

LIST OF WINNERS

Section A (For Firms)

(Category A1) Best Financial Advice Award

Sponsor: Professional Adviser

Winner: TMS Financial Solutions Ltd

Shortlisted: Hargreaves Lansdown

(Category A2) Best Technology Services Award

Sponsor: Chirin Capital

Winner: Fidessa LatentZero

Shortlisted: Datanomic

(Category A3) Best Compliance Award

Sponsor: Financial Services Compliance (EU) Ltd

Winner: International Financial Data Services

Shortlisted: Royal Skandia

(Category A4) Best Recruitment Services Award

Sponsor: Financial Services Compliance (EU) Ltd

Winner: Robert Walters

Shortlisted: Michael Page

(Category A5) Best Compliance Consultancy Services Award

Sponsor: Eversheds

Winner: Deloitte & Touche

Shortlisted: Bovill Limited

(Category A6) Best Legal Services Award - Litigation, Investigation & Enforcement
Work

Sponsor: The Compliance Register

Winner: Peters & Peters

Shortlisted: Denton Wilde Sapte

THE 2008 COMPLIANCE REGISTER OStCaR AWARDS

THE ORIGINAL AND MOST PRESTIGIOUS AWARDS FOR
OUTSTANDING SERVICE TO COMPLIANCE AND REGULATION

Results as at 08 December 2008 (Errors and Omissions Excepted)

(Category A7) Best Legal Services Award – Regulatory & Commercial

Sponsored by Priest & Co. Ltd

Winner: Eversheds

Shortlisted: White & Case

(Category A8) Best Outsourcing Services Award

Sponsor: Priest & Co. Ltd

Winner: International Financial Data Services

Shortlisted: Compliancy Services Ltd.

(Category A9) Best Training Services Award

Sponsor: Chirin Capital

Winner: Corporate Training Partnership

Shortlisted: Eukleia Training

THE 2008 COMPLIANCE REGISTER OStCaR AWARDS

THE ORIGINAL AND MOST PRESTIGIOUS AWARDS FOR
OUTSTANDING SERVICE TO COMPLIANCE AND REGULATION

Results as at 08 December 2008 (Errors and Omissions Excepted)

Section B (For Individuals)

(Category B1) Most Efficient/Helpful FSA Staff Award

Sponsor: Futures & Options Association

Winner: Katie Hughes

Shortlisted: Bob Greed

(Category B2) New Compliance Officer/MLRO of the Year

Sponsor: Eukleia Training

Winner: Amruta Patel, Aerion Fund Management

Shortlisted: David Skade, Calyon

(Category B3) Best Compliance Author/Journalist Award

Sponsor: The Compliance Register

Winner: Annie Mills, Standard Bank

Shortlisted: Sue Berwick, Compliance OnLine

(Category B4) Most Innovative Fraud Prevention Officer Award

Sponsor: The Compliance Register

Winner: Clement Abrew, UBS

Shortlisted: Terry Lawley, SJ Berwin

(Category B5) Best Compliance Trainer Award

Sponsor: Financial Services Compliance (EU) Ltd

Winner: Andy Thompsett, Enterprise Learning

Shortlisted: Dylan Stokes, Barclays Capital

(Category B6) Best Compliance Officer/Staff Award – Outstanding
Leadership/Dedication

Sponsor: Denton Wilde Sapte

Winner: Angus Paterson, NFU Mutual Insurance Society

Shortlisted: Graeme Mitchell, Artemis Investment Management

(Category B7) Best Compliance Officer/Staff Award – Most Added Value.

Sponsor: Enterprise Learning

Winner: Annie Mills, Standard Bank

Shortlisted: Ben Hur, NIBC Bank

THE 2008 COMPLIANCE REGISTER OStCaR AWARDS

THE ORIGINAL AND MOST PRESTIGIOUS AWARDS FOR
OUTSTANDING SERVICE TO COMPLIANCE AND REGULATION
Results as at 08 December 2008 (Errors and Omissions Excepted)

(Category B8) Best Compliance Consultant Award

Sponsor: The Compliance Register

Winner: Nikki Lovejoy, Deloitte

Shortlisted: Sophie Espinasse, Enterprise Learning

(Category B9) Best Legal Advisor Award – Litigation, Investigation and Enforcement Work.

Sponsor: The Compliance Register

Winner: Charles Evans, Norton Rose

Shortlisted: Monty Raphael, Peters & Peters

(Category B10) Best Legal Advisor Award – Regulatory & Commercial.

Sponsor: The Compliance Register

Winner: Charlotte Hill, Stephenson Harwood

Shortlisted: Jonathan Herbst, Norton Rose

(Category B11) Best MLRO Award – Outstanding Leadership/Dedication

Sponsor: The Compliance Register

Winner: Stephen Hancock, Prudential Assurance Company

Shortlisted: Clive Shelton, IFDS

(Category B12) Best MLRO Award – Most Added Value.

Sponsor: The Compliance Register

Winner: David Skade, Calyon

Shortlisted: Clive Shelton, IFDS

(Category B13) Best Chief Executive/MD Award.

Sponsor: Deloitte & Touche

Winner: Clive Gwilliam, TMS Financial Solutions

Shortlisted: Simon Hudson-Lund, IFDS

THE 2008 COMPLIANCE REGISTER OStCaR AWARDS

THE ORIGINAL AND MOST PRESTIGIOUS AWARDS FOR
OUTSTANDING SERVICE TO COMPLIANCE AND REGULATION

Results as at 08 December 2008 (Errors and Omissions Excepted)

(Category B14) Hall of Fame Lifetime Achievement Award.

Sponsor: WKFS Compliance OnLine

Winner: John Tattersall, Partner, PwC

Shortlisted: Sir Callum McCarthy, former Chairman, FSA

Section C (For Individuals)

(Category C1) The Compliance Register Personality of the Year Award

Sponsor: Financial Adviser.

Winner: Anthony Belchambers, FOA

Shortlisted: Christopher Taylor, FSC