

THE 2007 COMPLIANCE REGISTER OStCaR Awards

THE ORIGINAL AND THE MOST PRESTIGIOUS AWARDS
FOR THE COMPLIANCE INDUSTRY

Information as at 21 November 2007 (Errors and Omissions Excepted)

Section A (For Firms)

(Category A1) Best Compliance Award for Financial Services Firms

SPONSORED BY CHIRIN CAPITAL LLP

WINNER: Deloitte & Touche LLP

SHORTLISTED: TMS Financial Solutions Ltd

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

SPONSORED BY COMPLIANCE MATTERS & CO

WINNER: Enterprise Learning

SHORTLISTED: PwC

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

SPONSORED BY COMPLIANCE MATTERS & CO

WINNER: Compliance Management Solutions

SHORTLISTED: Kinetic Partners

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

SPONSORED BY COMPLIANCE MATTERS & CO

WINNER: Callidus Solutions Limited.

SHORTLISTED: Bond Pearce

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

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

WINNER: Stephenson Harwood

SHORTLISTED: Mishcon de Reya

(Category A6) Best Legal Services Award – Regulatory & Commercial

SPONSORED BY TYZACK ASSOCIATES

WINNER: S J Berwin

SHORTLISTED: Mayer Brown

(Category A7) Best Outsourcing Services Award

SPONSORED BY THE COMPLIANCE REGISTER

WINNER: Methuen Consulting

SHORTLISTED: HedgeSupport

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(Category A8) Best Training Services Award

SPONSORED BY THE COMPLIANCE REGISTER

JOINT WINNERS: Eukleia Training; MC Training

(Category A9) Best Book Award

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

WINNER: Financial Services Decisions Digest *by Norton Rose team*

SHORTLISTED: Fraud and Corruption – Prevention and Detection *by Nigel Iyer and Martin Samociuk*

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Section B (For Individuals)

(Category B1) Most Efficient/Helpful FSA Staff Award

SPONSORED BY CICERO EUROPE

WINNER: James Calder

SHORTLISTED: Peter Rooke

(Category B2) Best Compliance Author/Journalist Award

SPONSORED BY BULLETIN PR

WINNER: James Bagge, Norton Rose

SHORTLISTED: Hal Austin, Financial Adviser

(Category B3) Most Innovative Fraud Prevention Officer Award

SPONSORED BY THE COMPLIANCE REGISTER

WINNER: Chris Gregory, Critical Strategy

SHORTLISTED: David Skade, Calyon

(Category B4) Best Compliance Trainer Award

SPONSORED BY THE COMPLIANCE REGISTER

WINNER: Peter Haines, PHCC

SHORTLISTED: Dylan Stokes, Barclays Capital

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

SPONSORED BY HENDERSON GLOBAL INVESTORS

WINNER: Gareth Adams, Fidelity

SHORTLISTED: Sarah Docx, BNP Paribas

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

SPONSORED BY DENTON WILDE SAPTE

WINNER: Brian Harte, Royal Bank of Canada

SHORTLISTED: Karen Bowie, Credit Suisse

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

SPONSORED BY THE COMPLIANCE REGISTER

WINNER: Mike Williams, Deloitte

SHORTLISTED: Ben Blackett-Ord, Bovill Consulting

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

SPONSORED BY THE COMPLIANCE REGISTER

WINNER: Michael Glover, Callidus Solutions Limited

SHORTLISTED: Isabelle Gilson-Lietar

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

SPONSORED BY THE COMPLIANCE REGISTER

WINNER: Caroline Gibbs, Bovill

SHORTLISTED: Jan Fairs

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

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

WINNER: Tony Woodcock, Stephenson Harwood

SHORTLISTED: Stephen Paget-Brown, Travers Smith Braithwaite

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

SPONSORED BY EVERSHEDES LLP

WINNER: Rachel Kent, Lovells

SHORTLISTED: Charlotte Hill, Stephenson Harwood

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

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

WINNER: David Allmand, Nomura International

SHORTLISTED: Rob Cutler, CSFB

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

SPONSORED BY FINANCIAL SERVICES COMPLIANCE (EU) LIMITED

WINNER: Malcolm Rawlins, Citi

SHORTLISTED: Kathryn Woodfine, Goldman Sachs

(Category B14) Best Chief Executive/MD Award.

SPONSORED BY DELOITTE & TOUCHE LLP

WINNER: David Brownlow, Huntswood

SHORTLISTED: Clive Gwilliam, TMS Financial Solutions

(Category B19) Hall of Fame Lifetime Achievement Award.

SPONSORED BY COMPLIANCE RECRUITMENT SOLUTIONS

WINNER: Richard Sowerbutts, Partner (retired), Deloitte

SHORTLISTED: Sir Adam Ridley, Director-General (retired), LIBA