

THE COMPLIANCE REGISTER PLATINUM AWARDS® 2011

The 8th Annual Awards for Exemplary Service to Compliance and Regulation
LIST OF WINNERS (Errors and Omissions Excepted)

PRESS RELEASE

FOR RELEASE ON 18TH NOVEMBER 2011

THE COMPLIANCE REGISTER is pleased to announce the winners of THE COMPLIANCE REGISTER PLATINUM AWARDS® 2011 at a star-studded gala evening and cabaret on 17th November at The Lancaster London. In attendance were many celebrities such as Rolf Harris, Julie Graham, Tristan Gemmill and David Westhead who generously lent their support to help raise funds for various charities. The audience was royally entertained by Bobby Davro's comedy act and danced the night away with Cheryl Baker and The Original Bucks Fizz. The music album "Quantitative Easy Listening" was released featuring three duets by Ben Goh and Cheryl Baker. It also features The Austin Powers Comedy Sketch with Geoff Walsh playing Dr. Evil.

Our heartfelt and grateful thanks to the seven members of the Academy of Compliance Excellence (ACE), the five members of the Panel of Judges and the three members of the Reserves Panel who voted to determine the winners of each of the following categories:-

Section A Part Two (For Firms)

(Category AP2.02) Best Banking Services

Winner: The Access Bank UK

Runner-Up: Metro Bank

(Category AP2.03) Best Technology Services

Morning Data

Runner-Up: Fidessa

(Category AP2.04) Best Recruitment Services

Winner: Black Swan Group

Runner-Up: Altus Search

(Category AP2.05) Best Compliance Consultancy Services (Retail Markets)

Winner: The Consulting Consortium

Runner-Up: Moore Stephens

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(Category AP2.06) Best Compliance Consultancy Services (Non-Retail Markets)

Winner: Deloitte LLP

Runner-Up: Grant Thornton

(Category AP2.07) Best Legal Services (Litigation, Investigation & Enforcement)

Winner: Stephenson Harwood

Runner-Up: Ashurst

(Category AP2.08) Best Legal Services (Regulatory & Commercial)

Winner: Eversheds

Runner-Up: Farrer & Co

(Category AP2.09) Best Outsourcing Services

Winner: Northern Trust Funds Services

Runner-Up: Vertex Group

(Category AP2.10) Best Training Services

Winner: Eukleia Training

(Category AP2.11) Best Consumer Champion

Winner: Regulatory Legal

(Category AP2.12) Best Financial Crime Consultancy

Winner: Deloitte LLP

Runner-Up: Control Risks Ltd

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Section B (For Teams)

(Category B1) Best Compliance/Financial Crime Team Award

Winner: The Co-operative Banking Group (Prudential & Markets Monitoring)

Runner-Up: Imperial Tobacco Group (Group Product Supply Compliance)

(Category B2) Best Editorial Team Award

Winner: SNR Denton (Financial Regulatory Developments)

Runner-Up: Wolters Kluwer Financial Services

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Section C (For Individuals)

(Category C1) Most Helpful Regulatory Professional

Winner: Geoffrey Walsh, AFME

Runner-Up: David Hudson, FSA

(Category C2) Most Promising New Compliance Officer/MLRO

Winner: Joe McCaughran, IG Index

(Category C3) Best Consumer Champion

Winner: Gareth Fatchett, Regulatory Legal

(Category C4) Best Compliance Trainer

Winner: Emma Radmore, SNR Denton

Runner-Up: Patrick Thompson, Eukleia Training

(Category C5) Best Compliance Officer (Outstanding Leadership and Dedication) Award

Winner: Lillian Brown, Brewin Dolphin

Runner-Up: Michael Hodnett, Instinet Europe

(Category C6) Best Compliance Officer (Most Added-Value)

Winner: Ben Hampshire, Mako Group

Runner-Up: John Ryan, BNP Paribas

(Category C7) Best Compliance Consultant (Retail Markets)

Winner: Patrick Storey, Grant Thornton

Runner-Up: David Kenmir, PwC

(Category C8) Best Compliance Consultant (Non-Retail Markets)

Winner: Terry Sahathevan, Deloitte

Runner-Up: John Liver, Ernst & Young

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(Category C9) Best Legal Advisor (Litigation, Investigation and Enforcement)

Winner: Sara George, Stephenson Harwood

Runner-Up: Daren Allen, Berwin Leighton Paisner

(Category C10) Best Legal Advisor (Regulatory & Commercial)

Winner: Robert Finney, Dewey LeBoeuf

Runner-Up: Martin Cornish, K&L Gates

(Category C11) Best MLRO

Winner: Meenal Johal, Evolution Securities

Runner-Up: Maria Salta, Piraeus Bank London

(Category C12) Best Financial Crime Consultant

Winner: Kirsty Everett, Deloitte

Runner-Up: Jim Oakes, Financial Crime Risk

(Category C13) Best Recruiter

Winner: Ben Hudson, Black Swan Group

Runner-Up: Inan Rashid, Altus Search

(Category C14) Chief Executive/MD

Winner: Joanne Smith, The Consulting Consortium

Runner-Up: Kirstin Duffield, Morning Data

(Category C15a) Hall of Fame Lifetime Achievement for AML Practice

David Blackmore, DB Risk & Compliance

(Category C15b) Hall of Fame Lifetime Achievement for Regulatory Practice

Alex Shapland, Partner (*Retired*), PwC

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SPECIAL COMMENDATION AWARDS

Section A Part One

The Special Commendations are based on materials gathered during the nomination process. The wording of each commendation is intended to reflect these materials. This year, nominations have been received from as far away as Australia, Hong Kong, Singapore, New York, India, Tokyo, Seoul, etc.

(Category AP1.1) Special Commendation for Signification Contribution to Regulatory Development

David Kenmir, Partner, PwC

(Category AP1.2) Special Commendation for Product Innovation in Market Abuse Surveillance

R3COGNITION

(Category AP1.3) Special Commendation for Outstanding AML Product Leadership

World-Check

(Category AP1.4) Special Commendation for Professionalism in Recruitment Services

Correlate Search

(Category AP1.5) Special Commendation for Client Relationship Management

The Access Bank UK

(Category AP1.6) Special Commendation for Compliance Procedures Product Excellence

Hitec Laboratories

(Category AP1.7) Special Commendation for Comprehensive Regulatory News Service

Wolters Kluwer Financial Services

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SPECIAL AWARDS BY VARIOUS GROUPS

The awards in this section are decided upon by the relevant firm or group independently of The Compliance Register.

(Category SA1) MLROs.com Achievement of the Year Awards

Winners: James Galea, David Blunt and Shane Roberts.

(Category SA2) Grant Thornton Award for Friendliest Compliance Department

Winner: Brewin Dolphin

(Category SA3) Grant Thornton Award for Outstanding Trading Surveillance Professional

Winner: Audrey Greaves, BNP Paribas

(Category SA4) TRL (Transaction Reporting Limited) Award for Lifetime Excellence of Service

Winner: David Hudson, FSA

(Category SA5) TRL (Transaction Reporting Limited) Award for Transaction Reporting Guru

Winner: David Nowell, FSA

(Category SA6) FSC¹ Award for Dedication & Professionalism

Winner: Rosali Pretorius, SNR Denton

(Category SA6) FSC² Award for Professional Excellence

Winner: Brett Hillis, Reed Smith

ENDS

¹ FINANCIAL SERVICES COMPLIANCE LIMITED, www.FSC.eu.com

² FINANCIAL SERVICES COMPLIANCE LIMITED, www.FSC.eu.com