

**THE 2005 COMPLIANCE REGISTER OStCaR AWARDS**

**ANNOUNCEMENT OF WINNERS**

The winners of The 2005 Compliance Register OStCaR Awards were announced at an action-packed evening of music, song and dance at London's exclusive Dorchester Hotel on 3 November. Best Compliance Award for financial services firms went to Standard Bank and Ronald Smith of Financial Services Compliance Ltd won the Hall of Fame Lifetime Achievement Award. The full list of award winners is below.

Entertainment galore was provided by talent from the financial services industry including Ed Maguire of Lehman Brothers, the FSA, The Compliance Register and Denton Wilde Sapte. Ben Goh, Secretary of The Compliance Register, provided a martial arts demonstration as well as singing as the Blue Genie. After the Awards ceremony, the crowd danced to music from EPM, the rock group from the FSA followed by Big Bill & The Write-Offs, the eight-person band from city law firm Denton Wilde Sapte. [Glamour was also present in the shape of two celebrities, Lynsey de Paul and Cheryl Baker.](#)

A professionally recorded music album "Undiscovered Country" featuring several artists who performed on the night is available from The Compliance Register for £12 including postage and packing with proceeds going to BBC Children in Need. A professionally produced DVD featuring highlights from The OStCaR Awards will also be available in early December, priced £30.

**Ben Goh, Secretary of the Compliance Register said,** "It was a splendid evening featuring talent hitherto undiscovered. We are delighted to have a packed audience and to have received such enthusiastic support for The OStCaR Awards. [I have never been hugged and kissed by so many people in one night!](#) We promised not to be boring and we certainly delivered on that promise. We are proud to have pioneered these Awards in September 2004. To have grown to 26 categories this year is a fantastic achievement and a true reflection of people power. Despite this, we ran on time with plenty of people staying on late into the night on the dance floor."

For further information about the Compliance Register and the OStCaR Awards go to [www.compliance-register.com](http://www.compliance-register.com).

**For further information please contact:**

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## **About The Compliance Register**

The Compliance Register is an international organization for compliance professionals and senior managers working in the financial services industry and aims to set standards for the education, training and career development. The Register runs professional training events and conferences on compliance issues throughout the year both in the UK and overseas.

## **Fund Raising for Charities**

The OStCaR Awards raised funds for two charities, namely the Fraud Advisory Panel and the BBC Children In Need appeal. The Fraud Advisory Panel, (chaired by Rosalind Wright who was formerly the Director of the Serious Fraud Office) is an independent body of volunteers drawn from the public and private sectors set up to raise awareness of the social and economic damage that is caused by fraud and to develop effective remedies. BBC Children In Need is a charity that provides much needed funding to children in need.

## **AWARD WINNERS**

### **Section A (For Firms)**

(Category A1) Best Compliance Award for Financial Services Firms

Standard Bank

(Category A2) Best Compliance Award for Telecom Companies

British Telecom

(Category A3) Best Compliance Consultancy Services Award (IFAs, Fund Supermarkets, GI and Mortgage Brokers)

Compliance Management Solutions

(Category A4) Best Compliance Consultancy Services Award (Investment Management)

IMS Consulting Limited

(Category A5) Best Compliance Consultancy Services Award (Financial Institutions)

PwC

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

Allen & Overy

(Category A7) Best Legal Services Award (Other Work)

Norton Rose

(Category A8) Best Outsourcing Services Award

Compliance Management Solutions

(Category A9) Best Training Services Award

Lessons Learned Ltd.

## Section B (For Individuals)

(Category B1) Most Efficient/Helpful FSA Staff Award – FSA Head of Department and above.  
David Strachan

(Category B2) Most Efficient/Helpful FSA Staff Award – Other FSA Staff  
Miles Bennett

(Category B3) Best Compliance Trainer Award  
Patrick Thompson, Eukleia Training Limited

(Category B4) Best Compliance Officer/Staff Award – IFAs, Fund Supermarkets, General Insurance and Mortgage Brokers.  
Anne Sutton, TMS Financial Solutions

(Category B5) Best Compliance Officer/Staff Award – Investment Management.  
Sam Stewart, State Street Global Advisors

(Category B6) Best Compliance Officer/Staff Award – Financial Institutions.  
David Cooper, HSBC

(Category B7) Best Compliance Officer/Staff Award – Telecom Companies.  
Keith Read, BT

(Category B8) Best Compliance Consultant Award – IFAs, Fund Supermarkets, General Insurance and Mortgage Brokers.  
Amanda Usher, CMS

(Category B9) Best Compliance Consultant Award – Investment Management.  
Ronald Smith, Financial Services Compliance Limited

(Category B10) Best Compliance Consultant Award – Financial Institutions.  
Alex Shapland, PwC

(Category B11) Best Legal Advisor Award – Litigation, Investigation and Enforcement Work.  
Calum Burnett, Allen & Overy

(Category B12) Best Legal Advisor Award – Other Work.  
Michael Wainwright, Eversheds

(Category B13) Best MLRO Award – IFAs, Fund Supermarkets, General Insurance and Mortgage Brokers  
Paul Barrett, Selestia

(Category B14) Best MLRO Award – Investment Management.  
Robert Parker, Jupiter Asset Management

(Category B15) Best MLRO Award – Financial Institutions.  
Antony Whitehouse, WestLB

(Category B16) Best Chief Executive/MD Award.  
Sir David Prosser, Legal & General

(Category B17) Hall of Fame Lifetime Achievement Award.  
Ronald Smith, Financial Services Compliance Limited.

## **CONFLICTS OF INTEREST**

All members of ACE and the Panel of Judges will, where there is a conflict of interest, refrain from voting in the particular category. This is to meet the fundamental principle of fair play.

### **THE SHORTLIST**

The shortlist for each category was determined by members of ACE.

#### **THE ACADEMY OF COMPLIANCE EXCELLENCE (ACE)**

The following are members of ACE:-

##### **Financial Services Sector**

- Richard Sowerbutts, Deloitte & Touche
- James Bagge, Norton Rose
- Bob White, Credit Suisse Asset Management
- Geoffrey Walsh, Willis Group
- Alex Merriman, British Bankers' Association
- Rosalind Wright, Fraud Advisory Panel
- Florence Lombard, Alternative Investment Management Association

##### **Telecommunications Sector**

- Keith Read, BT
- Ann Sullivan, Cable & Wireless
- Bob Mitchell, Logica CMG
- David Melville, Wanadoo

### **THE WINNERS**

The winners for each category was determined by the Panel of Judges voting on the shortlisted nominees.

#### **THE PANEL OF JUDGES**

The members of the Panel of Judges are as follows:-

##### **Financial Services Sector**

- Adam Epstein, Mishcon de Reya
- Paul Martin, LIBA
- David Symes, Compliance Recruitment Solutions
- Chris Taylor, BSI AG
- Nicholas Walmsley, Deutsche Bank

##### **Telecommunications Sector\***

- Peter Vass, Bath University
- Margaret Devlin, South East Water
- David Love, British Energy

\*This Panel has been drawn from outside the industry to give it complete independence.