

# Awards Ceremony 2014

Recognising Excellence



The Chartered Institute for Securities & Investment  
thanks the principal sponsor



RBC Wealth Management



# The Chartered Institute for Securities & Investment

“ To set standards of professional excellence and integrity for the securities and investment industry, providing qualifications and promoting the highest level of competence to our members, other individuals and firms. ”

The Institute is committed to raising the standards of integrity within financial services and is proud to be the leading examining, membership and awarding body for the securities and investment industry.

The CISI currently has over 40,000 members, who benefit from a programme of professional and social events, with continuing professional development (CPD) and the promotion of integrity very much at the heart of everything the Institute does.

With an ever-increasing regulatory focus on both individuals' and firms' commitment to integrity, competence and compliance, the Institute assists companies, as well as practitioners, to demonstrate commitment to CPD, professionalism and the promotion of trust. The core values of the Institute are to:

- ✓ set standards of integrity and competence for those working in the financial services industry. Ultimately, these standards are for the benefit of investors;
- ✓ be the centre of excellence for the design, maintenance and delivery of appropriate qualifications, of the highest calibre, relevance and quality, both in the UK and abroad;
- ✓ provide members' forums to highlight, share and influence changes in the financial services industry;
- ✓ recognise and promote the importance of CPD

The Institute is approved as an awarding body by Ofqual, the Office of Qualifications and Examinations Regulation. Its qualifications feature prominently on the Financial Conduct Authority (FCA) qualifications tables. Other regulatory bodies, throughout the world, either mandate or formally recognise and endorse the CISI qualifications for use in the financial services industry.

It provides a range of relevant qualifications, which attract over 37,000 exam entries each year, delivered in more than 66 countries. The Institute continues to develop its qualifications to meet the demands of the changing financial services industry.

Increasingly the CISI is involved in pre-employment work and recently the Department for Education (DfE) confirmed that the CISI's A-Level and GCSE-equivalent qualifications will be included in the national performance tables from 2016. This will encourage UK schools and colleges to begin teaching their students these qualifications from September 2014. The CISI promotes apprenticeships in Providing Financial Services and Providing Financial Advice, offering technical units for both, as well as working closely with universities to embed industry-relevant qualifications into undergraduate and postgraduate programmes.

The awards ceremony, now in its 21st year, celebrates the achievements of the CISI's exam candidates. Top performers from over 37,000 CISI exams worldwide are recognised for their achievements.



# Programme

- 6.15pm Seating
- 6.25pm Opening procession of VIPs
- 6.30pm Welcome  
**The Rt Worshipful The Lord Mayor Locum Tenens, Alderman Sir David Howard FCSI(Hon),  
Chairman of Charles Stanley & Co and Chairman, CISI Examinations Board**
- 6.35pm Presentation of awards  
**Scott Dobbie CBE FCSI(Hon), Senior Advisor to Deutsche Bank and trustee of the CISI  
Educational Trust**  
**Alderman Alan Yarrow, Chartered FCSI(Hon), Chairman, CISI**
- 6.55pm Overview of CISI qualifications during 2013  
**The Rt Worshipful The Lord Mayor Locum Tenens, Alderman Sir David Howard FCSI(Hon),  
Chairman of Charles Stanley & Co and Chairman, CISI Examinations Board**  
Presentation of further awards
- 7.10pm Keynote address  
**Alderman Alan Yarrow, Chartered FCSI(Hon), Chairman, CISI**  
Presentation of further awards
- 7.25pm Closing remarks  
**Ruth Martin, Managing Director, CISI**
- 7.30pm Drinks reception

In addition to individuals receiving awards for outstanding examination success, we are pleased to list all those who have achieved the Investment Operations Certificate (IOC), the industry-recognised benchmark qualification for operations, in this brochure.

Thank you to all of the companies and organisations which have sponsored prizes for this year's winners, supported candidates taking exams and contributed to the success of this event.



## Biographies

The Rt Worshipful The Lord Mayor Locum Tenens,  
Alderman Sir David Howard FCSI(Hon)

Chairman of Charles Stanley & Co and Chairman, CISI Examinations Board

Sir David joined Charles Stanley in 1967. He became Managing Partner in 1971, Managing Director (on incorporation of the partnership) in 1988, and Chairman in 1999. He was Lord Mayor of London in 2000-2001. He has served on Stock Exchange, CREST and LIFFE committees, as a director of the Financial Services Compensation Scheme (FSCS) and as Chairman of the Council of City University, the IFSL Education, Training and Qualifications Group and was President of the Chartered Management Institute. Sir David is currently an alternate member of the Takeover Panel and serves on the EUI Settlement Discipline Second Stage Appeal Body. He is a director of both the Wealth Management Association (WMA) and the CISI and chairs the CISI Examinations Board.

Alderman Alan Yarrow, Chartered FCSI(Hon)

Chairman, CISI

Alan Yarrow was appointed Chairman of the CISI in September 2009, having previously served on its Board between 2001 and 2005. He left Dresdner Kleinwort in December 2009, after 37 years with the group, latterly as Group Vice Chairman.

Alan currently holds non-executive posts as Chairman of CISI and of Kleinwort Benson Group Ltd, and Director of Turquoise Global Holdings Ltd and of Fixnetix Ltd. Alan is an Alderman and Magistrate of the City of London, an Almoner of Christ's Hospital and a member of the Policy & Resources and Establishment Committees of the City of London.

Alan was Sheriff of the City of London in 2011-2012. He was formerly Deputy Chairman of the FSA Practitioner Panel, Chairman of LIBA (now AFME) and of Complanet, Vice President of the British Bankers Association and a member of the Takeover Panel and the Chancellor of the Exchequer's High Level Stakeholder Group.

Scott J Dobbie CBE FCSI(Hon)

Senior Advisor to Deutsche Bank and Trustee of the CISI Educational Trust

Scott Dobbie has a background in stockbroking and investment banking and is currently Senior Adviser to Deutsche Bank London. He was Chairman of CISI from 2000 to 2009 and remains a Trustee of the CISI Educational Trust, a member of the CISI Integrity & Ethics Committee and of the Editorial Panel for the Securities & Investment Review. He has also served as Chairman or Director of a range of Public Companies, Regulatory Authorities, and other entities in the Financial Services sector.



# Scholarships and Prizes

## Euroclear Prize in Memory of Andrew Winckler

Andrew Winckler had a long career in the financial services industry, both as a practitioner and in regulation as former Chief Executive of the Securities & Investment Board, the precursor to the FSA (now the FCA). Andrew was latterly a partner of Ernst & Young and chaired its regulatory practice in the UK. He was also a member of the board of Euroclear and a Commissioner of the Jersey Financial Services Commission, until he died at a tragically early age in 2007.



In recognition of Andrew Winckler's contribution to financial services in the UK, and to preserve his memory, Euroclear generously agreed to sponsor this award for ten years. This is the seventh year of the award.

## Hoare Nairne Scholarship

The CISI Educational Trust has announced that a new bursary is now available to one UK resident a year.

The Hoare Nairne Scholarship looks to help the successful candidate study towards the CISI premier qualification, the CISI Masters in Wealth Management. The winner will save on the costs of all tuition and exam entry fees for the three-unit qualification.

To be considered for the scholarship, candidates must hold an appropriate benchmark qualification and submit a 1,500 word essay.

Shortlisted candidates will be invited to an interview with trustees of the CISI Educational Trust.

## In Honour and Memory of Pen Kent FCSI(Hon)

The CISI noted with deep regret the passing of Pen Kent, a long-standing Honorary Fellow, in January this year. Pen spent his entire working life, from the early 1960s, at the Bank of England. His career was marked by a range of increasingly important posts within the Bank prior to his appointment in 1988 as Associate Director, and in 1994 as Executive Director.

Pen Kent's main legacy to the membership of the CISI, and to the securities industry as a whole, is CREST, the system for equity settlement. Pen chaired and steered the project to successful implementation. When completed, CREST took much of the complication, risk and cost out of equity settlement. It also removed a barrier to capacity in the London Stock Exchange, making possible the increased trading volumes which followed. We owe much of this benefit to Pen's foresight and leadership. This year the highest achievement in the Investment Operations Certificate in 2013 is awarded in his honour and memory.



## Membership

CISI membership brings together thousands of practitioners, from all parts of a diverse and complex industry, into a single, effective network.

Membership of the CISI is the hallmark of professional recognition and signifies that individuals have attained a high standard in their chosen field. It visibly demonstrates an individual's competence and professionalism to employers, colleagues and clients.

Membership of the CISI has become increasingly relevant, especially to those affected by the Retail Distribution Review (RDR). The CISI was among the first to become an FCA accredited body, enabling it to issue Statements of Professional Standing (SPSs) to those members who meet requirements. Its extensive CPD offering and automatic CPD logging offer members the opportunity to demonstrate to the regulator that they are maintaining competence. The mandatory Code of Conduct is a recognised one for FCA purposes. The CISI is the second largest accredited body, having issued some 6,000 SPSs.

All new exam candidates automatically become Student members of the CISI, at no extra cost, to assist them from the outset of their studies. Once candidates pass a benchmark qualification, for example, the Investment Operations Certificate (IOC), they are eligible to progress to Associate (ACSI) membership. Full Membership (MCSI) is achieved by attaining a higher-level CISI or other relevant professional qualification. It can also be achieved by having very substantial expertise and seniority in the industry.

Members also have the opportunity to become personally Chartered. To achieve this, they have to meet certain criteria, including a number of years' successfully logged CPD through the CISI scheme (which requires 35 hours of CPD logged on an annual basis) and an 'A' pass in IntegrityMatters, the CISI's online integrity test.

Achieving the full Diploma or the Masters Programme (Wealth Management) leads to Chartered Fellowship (Chartered FCSI) of the Institute. The Level 6 Certificate in Private Client Investment Advice & Management (PCIAM) also leads to Chartered Fellowship.

The Chartered Wealth Manager designation 'CWM' is also available to members who meet certain criteria, including the Level 7 Masters in Wealth Management qualification.

Members are experienced and qualified practitioners in securities, derivatives, corporate finance, investment management, private wealth management and other related areas, such as risk, compliance, operations and IT. All categories of membership must adhere to both the letter and the spirit of the Institute's Code of Conduct and its Principles. There are increasing requirements for demonstrable evidence of integrity, including an integrity test, which will have been completed by all full members by April 2014.



# The CISI in Secondary and Higher Education

As part of its charitable objectives, the CISI is dedicated to promoting financial services as a career to young people and strives continuously to improve education standards within the finance sector. We partner schools, colleges and universities to offer qualifications which help students understand the industry and prepare them for a career in financial services.

## New qualifications

The CISI has continued to expand its offering to schools and colleges by introducing new qualifications and learning materials. The Diploma in Finance, Risk & Investment was launched in October 2012 and has been developed specifically to be taught to year 12 and 13 students. The qualification is divided into two certificates; the well-established Certificate for Introduction to Securities & Investment and the new Certificate in Finance, Risk & Decision Making. The combination of these two leads to the Diploma in Finance, Risk & Investment, an academic qualification, which aims to develop students' financial awareness and enterprise skills.

In 2014 the Institute will also be offering a new Level 2 qualification, the Certificate in Fundamentals of Business and Finance, to educational centres and the wider financial services sector worldwide. The qualification will provide candidates with the essential basic knowledge required for working in the industry and we hope it will inspire more young people to pursue a career in financial services.

Both the Level 3 Diploma in Finance, Risk & Investment and the Level 2 Certificate in Fundamentals of Business and Finance will be included in DfE performance tables from 2016, alongside mainstream GCSEs and A-levels.

## Diploma in Finance, Risk & Investment

The Diploma in Finance, Risk & Investment is specifically designed to be taught in schools and colleges (16-18) to develop students' financial awareness and boost their CVs with an industry-recognised award. The Diploma consists of two underpinning certificates:

### Certificate for Introduction to Securities & Investment

The Certificate for Introduction to Securities & Investment is designed to provide students in full-time education with a basic introduction to the financial services industry, with a focus on investments. Candidates combine the industry-recognised Introduction to Securities & Investment with an extended project of 3,000 – 4,000 words, selected from a range of titles. The qualification is recognised by UCAS and carries a UCAS tariff.

### Certificate in Finance, Risk & Decision Making

The Certificate in Finance, Risk & Decision Making provides students with a broad understanding of macro-economics, accounting, financial markets and investment decision-making, as well as the importance of ethics in financial systems.

## Certificate in Fundamentals of Business and Finance

The Certificate in Fundamentals of Business and Finance is specifically designed to be taught in schools and colleges (14-16) to develop students' financial awareness and boost their CVs with an industry-recognised award. The qualification provides an introduction to markets, the economy and risk.



# The CISI in Secondary and Higher Education

## Financial literacy

Against the background of low financial literacy in the UK, the CISI has published a book entitled #yourmoney by Jeannette Lichner MCSI. This provides an introduction to the world of money for 16 to 25 year olds and gives simple, impartial advice on key financial topics, such as saving, budgeting, mortgages and credit cards. The Institute has donated over 250 free copies of the book to its network of educational centres and has received positive feedback from students, teachers and parents.

In addition, the CISI is working with the UK's leading financial education charity, the Personal Finance Education Group (pfeg), to produce free teaching resources for schools for delivery in citizenship lessons to 11-16 year olds from September 2014. This follows the welcome news that financial literacy has been integrated into the national curriculum.

## CISI Educational Trust

The CISI Educational Trust was established with the purpose of broadening the scope of the Institute's scholarship awards, to include all CISI Centres of Excellence and other educational establishments, which have close links with the Institute.

The Trust sponsors a number of scholarships for students of financial subjects within its accredited Centres of Excellence. In 2013, one student from each of the Institute's Centres of Excellence was awarded £2,500 in recognition of their achievements. The winners of the Educational Trust awards in 2013 were:

Wenzhi Zhu  
Birmingham University

Sohrab Irannejad  
BPP Law School

Mariyan Dimitrov  
Cass Business School

Shijie Yu  
Edinburgh University

Yingxu He  
Exeter University

Priyesh Prasad  
Glasgow Caledonian University

Binjian Zhang  
ICMA Centre

Julien Decherf  
Imperial College London

Iva Lefterova  
Portsmouth University

Ryan Lightfoot-Brown  
University of the West of England

The Trust now supports initiatives across the education spectrum and the focus of the current year is to ensure that teachers are given the necessary training to deliver CISI qualifications. The Trust employs a work experience placement manager and peripatetic teacher, to support teachers and students in schools and colleges that teach CISI qualifications.





# Qualifications

The CISI has developed a wide-ranging programme of qualifications to meet the needs of individuals, firms, the industry and the regulatory authorities. They reflect the Institute's commitment to education in a competitive employment market and are summarised below.

## CISI Masters in Wealth Management

The Masters in Wealth Management was developed in conjunction with leading industry practitioners and members of the WMA, formerly known as APCIMS. The programme is the CISI's flagship qualification and lies at the very heart of the Institute's activities. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

## CISI Diploma

One of the Institute's most well-known senior professional exam programmes, the Diploma shows mastery of particular aspects of the financial services industry. It leads to full Membership and, eventually, Chartered Fellowship of the Institute. The CISI Diploma is changing to meet the different career pathways in capital markets, wealth management, operations and compliance.

## ICAEW/CISI Diploma in Corporate Finance

The Diploma in Corporate Finance is a qualification jointly developed and awarded by the ICAEW and the CISI. The syllabus was developed by corporate financiers to ensure it is work related and transaction oriented. The Diploma is recognised by the FCA as an appropriate exam for the activity of advising on investments in the course of corporate finance business. It assures a clear progressive pathway from the CISI Certificate in Corporate Finance and successful completion leads to full CISI Membership and the ICAEW Corporate Finance designatory letters 'CF'.

## Certificate in Private Client Investment Advice & Management (PCIAM)

The Level 6 Certificate in Private Client Investment Advice & Management was designed to enable existing FCA-authorized practitioners to demonstrate their broad understanding of the principles of private client investment advice, within the context of the current regulatory environment. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

## Diploma in Investment Compliance (DIC)

The Diploma in Investment Compliance recognises the importance of professionals developing the knowledge of, and skills in, FCA regulation and compliance that are required to work in the securities and investment industry. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

## Diploma in Investment Operations (DIO)

The Diploma in Investment Operations is the most senior and challenging award for operations professionals. It builds on a range of Advanced Certificates and provides a progressive pathway for staff aspiring to senior roles within operations. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

## Advanced Certificate in Operational Risk (AOR)

The Advanced Certificate in Operational Risk is a higher-level qualification aimed at individuals working in operations, risk and IT who are seeking to develop their managerial, professional and technical skills as specialists in the financial services sector. It leads to Associate membership of the Institute.



## Qualifications

### Advanced Certificate in Global Securities Operations (AGSO)

The Advanced Certificate in Global Securities Operations is a higher-level qualification aimed at individuals working in operations and/or administration who are seeking to develop their managerial, professional and technical skills as operations specialists in the financial services industry. It leads to Associate membership of the Institute.

### Investment Advice Diploma (IAD)

The CISI's RDR-compliant Investment Advice Diploma was developed to provide employees advising on and/or dealing in securities or derivatives and employees advising on packaged products with the knowledge and skills required for their job roles. It has been approved by the FCA as an appropriate qualification for these activities, as well as the activity of managing investments. It leads to Associate membership of the Institute.

### Capital Markets Programme (formerly known as the Certificate in Investments)

This is a broad portfolio of units, regarded (prior to the RDR) as the regulatory exams across the industry. Certificates in Securities, Derivatives, Financial Derivatives, Commodity Derivatives and Investment Management are available. It leads to Associate membership of the Institute. In 2013 it was rebranded as the Capital Markets Programme.

### Certificate in Corporate Finance

The Certificate in Corporate Finance is an appropriate exam for the activity of advising on investments in the course of corporate finance business. It leads to Associate membership of the Institute.

### Risk in Financial Services

This qualification was devised to offer staff employed within financial services a global introduction to the key risks that arise therein. It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate and the Capital Markets programme.

### Investment Operations Certificate (IOC)

The Investment Operations Certificate is the industry's leading benchmark qualification for administration, settlement and operations staff. It leads to Associate membership of the Institute.

### Introduction to Investment – the Foundation Qualification

This qualification was specifically designed to meet the needs of new entrants to the industry and provides an overview of all areas of investment. The CISI worked in close collaboration with the Investment Management Association (IMA) to develop this stand-alone qualification, which offers staff, in a wide range of roles, a valuable understanding of the language of the industry and provides firms with a benchmark entry-level exam which can be used for induction.

### IT in Investment Operations (ITIO)

This qualification was developed for those staff working in financial services who wish to develop their knowledge and understanding of IT needs, specific to the financial services arena. It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate.



## Qualifications

### Islamic Finance Qualification (IFQ)

The Islamic Finance Qualification is an initiative of the Central Bank of Lebanon and is delivered in partnership with the École Supérieure des Affaires in Beirut. It is a ground-breaking qualification, which covers sharia'a-compliant financial services, in a practical way. This qualification is also available in Arabic. It leads to Associate membership of the Institute.

### International Certificate in Investment Management (ICertIM)

The International Certificate in Investment Management is targeted at professionals engaged in managing investments overseas. It has been designed to provide a test of competence for individuals engaged in private client asset management (discretionary portfolio management) and fund management. It leads to Associate membership of the Institute.

### International Certificate in Wealth Management (ICWM)

The International Certificate in Wealth Management was introduced as a quality benchmark for firms to ensure that their financial advisers understand the fundamentals of financial advice. It is a global qualification, designed to provide staff with access to a specialist exam that reflects the knowledge and skills base required to advise private clients in the retail sector of the industry. It leads to Associate membership of the Institute.

### International Introduction to Investment

The International Introduction to Investment has been specifically designed to meet the needs of new entrants to the investment industry overseas. It gives an overview of all areas of investment and provides firms with a benchmark entry-level qualification which can be used for induction purposes. As well as being a stand-alone benchmark exam, it is also a technical unit within the Investment Operations Certificate. It is available in Arabic as well as English.

### Global Securities

This is an international version of the Securities unit within the Capital Markets programme. When combined with a local regulatory paper, candidates gain the Certificate in Global Securities.

### Combating Financial Crime

Combating Financial Crime was developed by established international specialists and thoroughly tackles the financial crime agenda, takes a global view of transnational crime and illustrates practical defences, including the Bribery Act (2010). It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate and the Capital Markets programme.

### Global Financial Compliance

Global Financial Compliance was developed to provide candidates with a broad understanding of the compliance issues that arise within the financial services industry. The qualification is suitable for all compliance staff, particularly compliance officers. It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate and the Capital Markets programme.



## New Qualifications

### Fundamentals of Financial Services

Launched early in 2013, Fundamentals of Financial Services is aimed at new and junior employees working in financial services, as well as school leavers who are considering a career in finance. It is an important first step in developing the essential basic knowledge required for working in the financial services, covering commonly used financial products, concepts and terminology.

### International Certificate in Wealth & Investment Management (ICWIM)

The International Certificate in Wealth & Investment Management has been designed to meet the needs of those firms who want to ensure that their staff can provide quality advice. The qualification builds on the former International Certificates in Wealth Management/Investment Management and covers the essentials of financial planning, private client asset management, fund management and advisory functions. It is an entry-level qualification for international candidates working in private banking and wealth management roles.

### Managing Operational Risk in Financial Institutions

Developed to contribute to and build on the CISI's existing operational risk pathways, this higher-level unit is designed to enable candidates to apply the knowledge, theory and practical techniques required in order to investigate an operational risk incident and manage operational risk in the long term. The unit looks at appropriate behaviours to support operational risk management in the workplace, as well as how the operational risk culture and risk management can be enhanced.

Please note, new qualifications must be running for at least a year before prizes are normally awarded to candidates at the awards ceremony.



# Ensuring Quality and Relevance... Thank You

The CISI wishes to express its gratitude to the many individual practitioners who give their time and expertise, in order to ensure that its qualifications continue to meet the needs of the industry. The relevance, quality and standards of the Institute's qualifications are scrutinised by the examinations board, which is supported by six qualification assessment boards, 38 syllabus panels and over 300 practitioners.

Each unit in every qualification also has its own syllabus panel, comprising leading industry practitioners. Over 300 practitioners contribute, as senior examiners or by writing examination questions. The qualifications remain valid and fit for purpose because of their efforts. We thank them all.

The Examinations Board is chaired by Sir David Howard FCSI(Hon).

## Examinations Board Members during 2013

Sir David Howard FCSI(Hon) (Chairman)	Charles Stanley & Co and CISI Board Director
Gavin Aspden	Institute of Chartered Accountants in England & Wales
John Barrass	Wealth Management Association
John Board	Henley Business School
Frank Canosa, Chartered FCSI	British Bankers' Association
Andrew Carter, Chartered MCSI	Towry Services
Liz Field	Financial Skills Partnership
Neal Franklin, Chartered FCSI	BNP Paribas Securities Services
Lynne Hill, Chartered MCSI	Lynne Hill Consulting
Sandra Jacobs	Royal Bank of Scotland
Marcus Johnson, Chartered FCSI	NW Brown
David Kanolik MCSI	Investment Management Association
William Macdonald, Chartered MCSI	Craigcrook Management Services
Clare Minchington	Association of Chartered Certified Accountants
Victoria Nye	Investment Management Association
Denis O'Connor FCSI	Association for Financial Markets in Europe
Shaun Robertson	Institute of Chartered Accountants in England & Wales
Kevin Rothwell, Chartered FCSI	Kevin Rothwell Consultancy & Training
Clive Shelton, Chartered FCSI	International Financial Data Services
Nick Swales, Chartered FCSI	UBS Wealth Management (UK)
Graham Withers, Chartered FCSI	Rathbone Investment Management



# Awards

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## Introduction to Investment - The Foundation Qualification

**Alexander Taylor**  
International Financial Data Services

**Matthew Lees**  
HSBC Bank

**Nicola Jane Cromack**  
RPMI

**Shakir Ahmed**  
Brewin Dolphin

**Alan Gilliland-Patterson**  
HSBC Securities Services (UK)

**Carla Booker**  
HSBC Trust (UK)

**Andrew Winearls**  
Fil Investment Management

## Introduction to Investment (Education)

**Jonathan Hu**  
University College London

## Certificate for Introduction to Securities & Investment (Schools) Overall Winner

**Lewis Young**  
Hautlieu School

## Euroclear Prize in Memory of Andrew Winckler

### Diploma in Investment Compliance Overall Winner

**Russell Connor MCSI**  
HSBC Bank





# Awards

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## Investment Operations Certificate

### Administration of Settlement & Investments

**Hannah Nightingale**  
Baker Tilly

### Asset Servicing

**Nicola Billham ACSI**  
Friends Provident

**Niren Sharma**  
Barclays Capital

**Leanne Jolly**  
Euroclear SA/NV (London)

## Collective Investment Schemes Administration

**Zoe Lu**

**Gitanjali Misra**  
Capita India

## Exchange-Traded Derivatives

**Manish Jajodia**  
HSBC Electronic Data Processing India

## Global Securities Operations

**Anne Le Lievre ACSI**  
Northern Trust (Guernsey)

**Santosh Vaidya**  
Tieto Software Technologies

**Zabrina Smith**  
Northern Trust



## ISA Administration

**Michael Trillwood**  
City Asset Management



## IT in Investment Operations

**Stewart Jeacocke**  
Business Control Solutions

**Richard Jacobs**  
Business Control Solutions

## Operational Risk

**Nicholas Howland**  
Royal Bank of Scotland



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## OTC Derivatives

**Luciano Donato**  
Lloyds TSB Corporate Markets

**Edward Bury**  
Goldman Sachs

**Emily Myers**  
Lloyds Banking Group

**Raghuraman Uthaman**  
Fitch Learning Singapore

**Milena Dimitrova**  
LCH Clearnet

**Wenjie Eddy Boo**  
DBS Bank

**Gajaba Manamperi**  
LCH Clearnet

## In honour and memory of Pen Kent FCSI(Hon)

### Investment Operations Certificate Overall Winners

**Mei Hui Tan**  
Morgan Stanley

**Manish Jajodia**  
HSBC Electronic Data Processing India

**Joice Tjen**  
Fitch Learning Singapore

## CISI Diploma

### Bond & Fixed Interest Markets

**Julian Lewis MCSI**  
Cavendish Asset Management

ICMA Centre

### Financial Derivatives

**Philip Thomas**  
Morgan Stanley & Co International

### Fund Management

**Crispin Vollers MCSI**  
Schroder & Co

### Global Operations Management

**Julian Howard MCSI**  
GAM (UK)





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## CISI Diploma Overall Winner

**Nathalie Krekis MCSI**  
Cazenove Capital Management

## Capital Markets Programme (formerly the Certificate in Investments)

### Commodity Derivatives

**Nguk-Lan Ng**  
Armajaro Securities

**Adam French**  
Goldman Sachs

### Derivatives

**Gautam Kalani**  
Deutsche Bank

**Niclas Aschenbrenner**  
Credit Suisse

**Marco Rebussi**  
Deutsche Bank

**Guillaume Banderet**  
UBS Investment Bank

### Financial Derivatives

**Nils Espedal**  
BNP Paribas

### Securities

**Alberto Ronchetti**  
BNP Paribas

**Alessandro De Marchi**  
Morgan Stanley & Co International

**Joseph Sumner**  
Barclays Capital

## Capital Markets Programme Overall Winner

**Romy Shioda**  
Merrill Lynch International



# Awards

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## International Suite

### International Introduction to Investment

Banya Bhattacharya

Rajorshi Chatterjee

Marc Khalifé  
IMEF

Hajjoubi Hafsa  
Qatar Finance and Business Academy



### International Certificate in Wealth Management

Michael Gilbey  
Securities & Commodities Authority



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### Islamic Finance Qualification

Mehdi Hassayoune



### Global Financial Compliance

Barry Elliss

Darren Kelly ACSI  
Kleinwort Benson Trustees (Isle of Man)

### Global Securities

Vikram Viswanathan  
Securities & Commodities Authority

## Advanced Certificate in Global Securities Operations Overall Winner

Catherine Dunne  
Pioneer Investment Management

## Advanced Certificate in Operational Risk Overall Winner

Katherine Buchanan MCSI  
HSBC Global Asset Management



## Diploma in Investment Operations Overall Winner

Katherine Buchanan MCSI  
HSBC Global Asset Management



# Awards

## Diploma in Corporate Finance

### Corporate Finance Techniques & Theory

Jason Williams  
Price Bailey

### Corporate Finance Strategy & Advice

Steve Wagner  
Lamprell

## Diploma in Corporate Finance Overall Winner

Steve Wagner  
Lamprell

## Certificate in Corporate Finance

### Corporate Finance Regulation

Carl Martin Kruge Ericsson  
Lazard

Ciaran Ryan  
Lazard

Charles Fox  
Lazard

Giles Prentice  
Lazard

### Corporate Finance Technical Foundations

Rohan Badade

Carl Martin Kruge Ericsson  
Lazard

Jonathan Cooper Absolon  
RBC

## Certificate in Corporate Finance Overall Winner

Carl Martin Kruge Ericsson  
Lazard



# Awards

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## Regulatory Awards

### FSA/UK Financial Regulation

Hester Serafini  
JP Morgan Chase



### Principles of UK Financial Regulation

Alex Lai  
BNP Paribas

## Risk in Financial Services

Theodor Talpasanu  
Credit Suisse

## Combating Financial Crime

Sian Wood  
Charles Stanley & Co

Lisa Ramage ACSI  
Turcan Connell Asset Management



## Investment Advice Diploma

### Derivatives

Simon Evans ACSI  
Lloyds TSB Corporate Markets

Simon Ferguson  
Invesco Perpetual

### FSA/UK Regulation & Professional Integrity

Jake Nixon

Johnathan Korchak

David Liddell  
IpsosFacto investor.com

### Investment, Risk & Taxation

James Cartwright  
Morgan Stanley Private Wealth Management

### Private Client Advice

Lydia Warde ACSI  
Scodie Deyong LLP

Edmund Wilson ACSI  
St. James's Place





# Awards

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## Securities

**Tracy Stewart**  
HSBC Trust (UK)

**Robin Ellis ACSI**  
Smith & Williamson  
Corporate Services - London

**Maria Feld**  
J. P. Morgan

## Investment Advice Diploma Overall Winner

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 (Channel Islands)

Ghaddaffi Ifediora-Ezike

Cheryl Illidge  
 Skandia Life

Ivan Indilo  
 Royal Bank of Scotland

Chris Iro  
 Deutsche Bank

Sarawanan Iyer ACSI  
 Nokia Siemens Networks

Simon Jackson  
 Halifax Sharedealing

Rebecca Jackson  
 Henderson Global Investors

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 LCH Clearent

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 Business Control Solutions

Yogesh Jadhav

Vaibhav Jadhav  
 State Street Syntel Services

Archit Jalan  
 State Street Syntel Services

Laura James  
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Roelanda James  
 Northern Trust

Ben James  
 HSBC Bank

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 Capita Financial Managers

Leanda Jamieson  
 J O Hambro Investment  
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Christopher Jamieson  
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Jim Jeffrey-Dickens  
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Melissa Jewer  
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 CME Clearing Europe

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Christopher John  
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Lance Johnson  
 Royal Bank of Scotland

Preston Johnson  
 Goldman Sachs

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 Goldman Sachs

Ruth Johnstone  
 State Street Bank & Trust

Tracey Johnstone  
 Aberdeen Asset Management

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 Raymond James Investment  
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 Management Services)

Geraint Jones

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 PIMCO

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 Capita India

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 Capita Financial Group

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Brendan Ka Yip Chan  
 Broadridge Financial Solutions

Judyta Kajstura  
 State Street Bank & Trust

Dmitry Kakorin  
 Star Lane Developments

Martins Kalacs

Raghav Kalra

Alpa Kalsi  
 GNI

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Preeti Kamath  
 Capita India

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 Kotak Mahindra (UK)

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 Goldman Sachs

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Avinash Kapoor  
 Capita India

Mehernosh Karanjia  
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 DBS Bank

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 Goldman Sachs

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 Transact

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 Morgan Stanley & Co International

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 Mitsubishi UFJ Securities  
 International

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 Bank of America

David Lee  
 Bank of New York

Adrian Lee  
 Business Control Solutions

David Lee  
 BCS Consulting

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Wei Shu Leong  
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Wai Leung  
BDO

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Bank of New York

Huayang Li  
Royal Bank of Scotland

Hui Yen Lim  
HSBC Electronic Data Processing  
HSS

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EFG Private Bank

Natalie Lindsay  
Scottish Friendly

Chao Liu  
HSBC Bank

Richard Llewellyn ACSI  
Deutsche Bank International

Stephen Lloyd  
RBS Global Banking & Markets

Alexandra Lloyd  
Deutsche Bank

Jennifer Lo  
Goldman Sachs

Callum Lobban ACSI  
BNP Paribas Securities Services

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Mitsubishi UFJ Securities  
International

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JP Morgan Chase

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Stephen Long  
M&G

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Bank of New York

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DBS Bank

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BNP Paribas

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The Royal Bank of Scotland Group

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Goldman Sachs

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Hargreaves Lansdown

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Barclays

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International Financial Data  
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HSBC Bank

Donald Mackay  
Innovation Ulster

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Baillie Gifford & Co

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FIL Investment Management

Calum MacLean  
Baillie Gifford & Co

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Goldman Sachs

Michael Maddison  
Pershing

Terence Madeleine ACSI  
Planned Fund Management

Pauline Maher  
M&G Investment Management

Toshtemir Majidov  
HSBC Securities Services

Anfal Malallah  
Securities & Commodities  
Authority

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Nomura International

Niall Mallon  
Innovation Ulster

Nagarathna Manangi  
Hanumantharaju ACSI  
Investec Wealth & Investment

Venkata Rangam Manju Kiruthika  
Insight Investment Management

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Jersey Financial Services

Robert Marsh

Andrew Marsh  
Barclays Capital

Jenna Marshall  
Barclays Capital

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EFG Harris Allday

Richard Marven

Emily Massey  
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James Mathews  
Barclays Capital

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Baillie Gifford & Co

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Jo-Anne May ACSI  
Guernsey Financial Services  
Commission

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 Blackrock Investment  
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 FTSE International

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 Citibank (London)

**Wendy McConnell**  
 Scottish Widows

**Torin McCormack**  
 Citibank (London)

**Carl McCourt**  
 Bank of New York

**Colin McCrum**  
 Invesco

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 Innovation Ulster

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 Baillie Gifford & Co

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 Bank of New York

**James McIntosh ACSI**  
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 Baillie Gifford & Co

**Rory McKenna**  
 M&G

**Sean McKenna**  
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 Innovation Ulster

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 Royal Bank of Scotland

**Andrew McKinnon ACSI**  
 JM Finn & Co

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 HSBC Securities Services

**Stewart McLelland**  
 Barclays Capital

**Christopher McMeekin**  
 Business Control Solutions

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**Paul McStay**

**Dominique Meighoo**

**Alicia Mellon**  
 Innovation Ulster

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**Jennifer Mensah**  
 Goldman Sachs

**Samuel Meredew**  
 Goldman Sachs International

**David Merigot ACSI**  
 Attivo Investment Management

**Maria Merkuseva**  
 State Street Bank & Trust

**Dulon Miah**  
 FTSE International

**Demetris Michael**  
 Liquidnet Europe

**Gaurav Miglani ACSI**  
 Infosys BPO

**Neringa Mikulskyte**  
 LCH Clearnet

**Lucy Mildiner**  
 Ascentric

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 Standard Life Investments

**Stella Mills**  
 Halifax Sharedealing

**Steven Milne**  
 Baillie Gifford & Co

**Jamie Milne**  
 Towry Services

**Howard Mintz ACSI**  
 BNP Paribas Securities Services

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 Barclays Capital

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 Goldman Sachs

**Bhavini Mistry**  
 Royal Bank of Scotland

**Gillian Moffat**  
 Barclays Capital

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 FIL Investment Services (UK)

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 A J Bell Securities

**Aaron Monteith**  
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**Nichola Montgomery,**  
 Chartered MCSI  
 CIGNA Healthcare & Group Life

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**Edo Mor**  
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**Daniel Morgan**  
 Deutsche Bank

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**Livia Morgan ACSI**  
 Rathbone Brothers

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 Lloyds Banking Group

**John Andrew Morgan**  
 Belfast Metropolitan College

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 Capita Financial Group

**Simon Morley ACSI**  
 Triple Point Investment  
 Management

**Lee Morrell**  
 IBRC

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 Cofunds

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**Tom Mullard**

**Ian Munday**  
 Cazenove Capital Management

**Graeme Mundie**  
 Aberdeen Asset Management

**Prabavati Munusamy**  
 HSBC Electronic Data Processing  
 HSS

**Andrew Murphy**  
 Innovation Ulster

**Noeleen Murphy**  
 Innovation Ulster

**Declan Murphy**  
 Schroder & Co

**David Murray**  
 Lloyds TSB Corporate Markets

**Neil Murray**  
 Scottish Widows

**Paul Murray**  
 Rathbone Brothers

**Terence Murtagh**  
 Schroder & Co

**Stephen Murton**  
 Innovation Ulster

**Paul Musgrave**

**Emily Myers**  
 Lloyds Banking Group

**Gemma Mynott**  
 JP Morgan Chase

**Benjamin Nadel**  
 Business Control Solutions

**Madhumathi Nagasundaram**  
 JP Morgan Chase

**Shivali Nair**  
 Syntel Sourcing

**Kishen Nakrani**  
 HSBC Bank

**Arun Nambisan**  
 Bank of America

**Giedre Nariunaite**  
 HSBC Securities Services

**Ram Natarajan**

**Taylan Nazim**  
 CLFIS (UK)

**Jessica Neaves**  
 FIL Investment Management

**Venkatakrishnan Neelakantan**

**Mark Neill**  
 Citibank (London)

**Mark Nelson**  
 Deloitte

**Shu Neoh**  
 Morgan Stanley & Co International

**Amrit Nepaul ACSI**  
 EFG Harris Allday

**Nicola Newell**  
 Novia Investment Services

**Perry Newman**  
 SG Hambros Bank

**Eliza Newton**  
 Goldman Sachs

**Philip Nicholass**  
 Baring Asset Management

**Francesco Nicolaou**  
 J O Hambro Capital Management

**Hannah Nightingale ACSI**  
 RSM Tenon

**Chris Nightingale**  
 Bank of New York

**Grace Nisbet**  
 Euroclear SA/NV (London)

**Imran Nisbett ACSI**  
 J O Hambro Investment  
 Management

**Inara Nitisa**

**Gary Niven**  
 Barclays

**Susan Nnatu**  
 Northern Trust

**Tanya Nolan**  
 West Midlands Pension Fund

**Meghan Norris**  
 International Financial Data  
 Services

**Gerard O'Brien**  
 Gordian Knot

**Heidi O'Carroll**  
 Mitsubishi UFJ Trust International

**Thomas Oakman**  
 A J Bell Securities

**Pat O'Connor**  
 Martin Currie Investment  
 Management

**Paul O'Donnell**  
 Morgan Stanley & Co International

**Christopher O'Driscoll**  
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 State Street Bank & Trust

**Temitayo Ogunsan**  
 Legal Services Commission

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 Financial Ombudsman Service

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### Investment Operations Certificate

Oluwakayode Oketunji

Gregory Oldfield-Hodge  
Citi

Lucy Oldland  
University Superannuation  
Scheme

Paul Olive  
HSBC Securities Services

Stephen Olley  
Family Investments

Oluwatoyin Onafeko

Paul O'Neill  
UBS Wealth Management

Kaysie O'Neill  
International Financial Data  
Services

Guek Li Ong  
DBS Bank

Samuel Onolaja  
Schroder & Co

Pei Yi Ooi  
Barclays Capital

Nicky Oorthuysen-Dunne  
Royal Bank of Scotland

Iulian Oprea

William O'Reilly  
Fidelity Investments

Bozena Osmola  
Franklin Templeton Investment  
Management

Daniel Oswald  
Skandia Life

Adam Ottewill  
Coutts & Co

Katie Overlaet  
L&G (Portfolio Management  
Services)

Oyegbeminiyi Oworu  
WAY Fund Managers

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John Painting

Julia Palmer ACSI  
C Hoare & Co

Wesleigh Pancho  
Barclays Capital

Rupali Pande  
State Street Syntel Services

Ambareen Panezai  
Pershing

Heidi Pannell ACSI  
Thesis Asset Management

Sophia Papi  
TwentyFour Asset Management

Kristina Parapijonaviciene  
CLFIS (UK)

Braulio Pastor-Estefania  
Barclays Capital

Rupesh Patel  
Jefferies International

Vina Patel  
FTSE International

Dipesh Patel  
Barclays Capital

Holly Patel  
J O Hambro Capital Management

Priyanka Patel  
Capita India

Sweta Patel ACSI  
Talos Securities

Rupesh Patel  
J. P. Morgan

Miraj Patel  
Merrill Lynch International

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Capita Registrars

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Capita India

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UBS Wealth Management

Ross Pearman  
HSBC Private Bank (UK)

Joe Pearce

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Aberdeen Asset Management

Leigh Pegrum  
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Services

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Citi

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Bank of New York Global  
Corporate

David Pennycook  
FNZ (UK)

Matthew Peoples  
L&G (Portfolio Management  
Services)

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Deutsche Bank

Kate Perry  
M&G

Vipin Peter  
Deloitte

Angela Peters  
McInroy & Wood

Kyler Petrie  
LAMCO Services

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Abigail Pinder  
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 Baillie Gifford & Co

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 Business Control Solutions

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 Ashcourt Rowan

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 Walkers SPV

**George Procopiou**  
 Societe Generale

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 BNP Paribas Securities Services

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**Shuhada Rahman**  
 FIL Investment Management

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**Lisa Ramage ACSI**  
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**Kartik Ramani**  
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**Draupadi Ramsahye Maraz**  
 Permal Investment Management  
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 Speirs & Jeffrey

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**Joanna Robinson**

**Greg Robson**  
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 Investec Wealth & Investment

**Rachel Roche**  
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**David Roe ACSI**  
 Stocktrade

**Sam Rooke**  
 Baillie Gifford & Co

**Francesco Rosin**  
 Bank of New York Global  
 Corporate

**Dale Rossin**  
 Blackrock International

**Michael Rothwell MCSI**  
 Pershing

**Kevin Rothwell, Chartered FCSI**

**Julia Ryan**  
 Euroclear SA/NV (London)

**Rosanna Grace Saffell**  
 Deloitte

**Mark Salmen**  
 Goldman Sachs

**Carmel Salvidge**  
 Royal Bank of Scotland

**Lih Hui Sam**  
 Barclays Capital

**Amal Samji**  
 Goldman Sachs

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 Swisscanto Funds Centre

**Marinder Sandhu**  
 Deutsche Bank

**Oluwafemi Sanusi**  
 Goldman Sachs Futures

**Adrian Kwame Sarfo-Annin**  
 Goldman Sachs

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 Jessop Fund Managers

**Robert Sargieson**

**Brett Saunders**  
 Royal Bank of Scotland

**Andrew Savery**  
 Deutsche Bank

**Mahendra Sawant**  
 Capita India

**Nandkumar Sawant**  
 Capita India

**Lisa Scally**  
 Liontrust Asset Management

**Svenja-Mareike Scheuten**  
 HSBC Securities Services

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 Morgan Stanley & Co International

**Toby Scott, Chartered MCSI**  
 Killik & Co

**Robert Scullion**  
 Bank of New York

**Alexander Seagrave**  
 Northern Trust

**Christian Searle**  
 Skandia Life

**Roly Searle**  
 Barclays Capital

**James Sedgwick**  
 LCH Clearnet

**Melanie Mei Foong See**  
 Goldman Sachs

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 Saxo Capital Markets UK

**Vijay Seetharaman**  
 DBS Bank

**Fiona Seligmann**  
 James Hambro & Partners

**Hannah Sell**  
 Barclays Capital

**Jonathon Sellars**  
 HSBC Bank

**Adrian Teh Kean Seng**  
 HSBC Electronic Data Processing  
 HSS

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**Eric Sermage**  
 Barclays Capital

**Nidhi Shah**  
 Capita India

**Rajesh Shah**  
 Capita Financial Administrators

**Catriona Shannon**  
 Morgan Stanley & Co International

**Preeti Shardul**  
 Capita India

**Niren Sharma**  
 Barclays Capital

**Abhishek Sharma**  
 Capita India

**Ashima Sharma**  
 BNY Mellon International  
 Operations (India)

**Shalini Sharma**  
 Steria (India)

**Omar Shauq**  
 Citibank

**Adam Shaw**  
 UBS Wealth Management

**Carley Shaw**  
 Royal Bank of Scotland

**Jonathan Shearer**  
 Rowan Dartington & Co

**Richard Sheeran**

**David Sheldon**  
 Brewin Dolphin

**Ria Shepherd ACSI**  
 Charles Stanley & Co (London)

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 Alliance Trust Savings

**Sally Shepherd**  
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**Caroline Sheridan ACSI**  
 Kleinwort Benson (Channel  
 Islands)

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 Morgan Stanley & Co International

Saul Shevlin, Chartered MCSI  
 Newedge Group

Hitesh Vijaykumar Shrishrimal  
 BNY Mellon International  
 Operations (India)

Yu Shu  
 State Street Bank & Trust

Amar Shukla  
 AVS Tech

Habeeb Siddiqui ACSI  
 Societe Generale

Cara Simkin  
 Baillie Gifford & Co

Fay Simpkins  
 Bank of England

Daniel Simpson  
 CQS (UK)

Anne Simpson ACSI  
 Morgan Stanley & Co International

Sian Simpson  
 Slater Investments

Sara Sinclair  
 Ruffer

Luke Skelly  
 Co-Operative Financial Services

Thomas Skingle  
 LCH Clearent

Ben Slater  
 Cofunds

Petar Slavov

Vivienne Slegg MCSI  
 Fidelity Worldwide Investments

Robert Sloan

Meredith Smart

Mark Smith

Ted Smith ACSI  
 Northern Trust

Michael Smith  
 Invesco Perpetual

Michael Smith  
 CMI Financial Management  
 Services

Michael Smith  
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Hollie Smith  
 Portigon

James Smith  
 Business Control Solutions

Samuel Smith  
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 HSBC Private Bank (CI)

Eloise Sobczyk  
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Graham Cedric Soertsz  
 Northern Trust

Senka Softic  
 Goldman Sachs

Abhinay Somasundarraaj  
 HSBC Bank

Rajesh Soni  
 FIL Investment Services (UK)

Leticia Soroa Sada  
 CQS (UK)

Colin Spencer  
 Bank of New York

Thomas Sperry  
 Deutsche Bank

Nicholas Spooner

Laura Springall  
 International Financial Data  
 Services

Ramnique Sroa  
 Barclays Capital

Brian St John-Hall  
 FIL

Lynn Stacey

Edward Stammers  
 Capita Registrars

Matthew Stanhope  
 Broadridge Financial Solutions

Helena Stanley  
 Cofunds

Gina Steff  
 Equiniti

Victoria Stenner  
 Hargreaves Lansdown

Kate Stevens  
 Legal & General (Portfolio  
 Management Services)

Alison Stewart  
 Royal Bank of Scotland

Averil Stewart  
 Aberdeen Asset Management

Robert Stewart  
 HSBC Securities Services

Catriona Stirling  
 HSBC Securities Services

Marcus Stoner  
 Equiniti

Jonathan Stoner  
 Cazenove Capital Management

Lauren Streete  
 FIL

Charles Studd

John Sturges, Chartered FCSI  
 Jefferies International

Muthu Subramanian  
 Belfast Metropolitan College

Darren Suckamore  
 Barclays Capital

Meenali Namo Sukhwani  
 BNY Mellon International  
 Operations (India)

Adetomi Sulaiman  
 Morgan Stanley & Co International

Joanne Sumner ACSI  
 Deutsche Bank Private Wealth  
 Management



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 HSBC Bank

Ian Sutherland  
 Newton Investment Management

Michael Suthers  
 HSBC Investment Management

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 BNP Paribas Securities Services

Sophie Swain ACSI  
 Deutsche Bank Private Wealth  
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Liam Sweeney  
 Innovation Ulster

Robert Sweeney ACSI  
 SIX Financial Information UK

Sean Sweeney  
 Nomura International

Scott Sykes  
 FTSE International

Kenneth Syme  
 Baillie Gifford & Co

Rafal Szaniawski ACSI  
 Telefonica Europe

Manmohan Tagore  
 Brewin Dolphin

Wing Yan Tai  
 Goldman Sachs

Kevin Tait ACSI  
 BNP Paribas Securities Services

David Takaza  
 Innovation Ulster

James Talbot  
 JHC

Rachael Tamlyn  
 Bank of America

Mihai Tanasa  
 LCH Clearnet

Wing See Tang  
 HSBC Bank

Bhavesh Tank  
 Royal Bank of Scotland

Camille Tassi  
 De Putron Fund Management

Fiona Louise Taverner

Kirsty Taylor  
 BNP Paribas Securities Services

Barry Taylor  
 International Financial Data  
 Services

Duncan Robert Taylor

Jonathan Taylor  
 Belfast Metropolitan College

Creena Taylor  
 AXA Isle of Man

Adam Taylor  
 Integrated Financial Arrangements

Deborah Teall ACSI  
 Towry Services

Sow Vien Teh  
 HSBC Electronic Data Processing

Paul Tellwright  
 Legal & General International  
 (Ireland)

Jodi Terras ACSI  
 Morgan Stanley & Co International

Mark Terry

Kirk Thackray  
 Brewin Dolphin

Jeevasuthan Thavarajah  
 Barclays Capital

Kirpal Thethy  
 Deutsche Bank

Louise Thom  
 Baillie Gifford & Co

Philip Thomas  
 UBS Wealth Management

Ben Thompson  
 Capita Financial Administrators

Jake Thornton  
 Citibank

Lauren Tilley  
 Royal Bank of Scotland

Karen Tilling  
 Brewin Dolphin

Leh Sea Ting  
 HSBC Electronic Data Processing  
 HSS

Katherine Tinker  
 Investec Bank (UK)

Joice Tjen  
 Fitch Learning (Singapore)

Tessy Titus

Warren To

James Todd

Melanie Lee Tolentino ACSI  
 M&G

Felicia Tonade  
 Bank of New York

Carl Toomey  
 Northern Trust

Andrew Topham  
 HSBC Securities Services

Ian Towey  
 Way Fund Managers

Luke Townsend  
 Hargreaves Lansdown

Michael Trakas  
 CCLA Investment Management

John Traynor MCSI

Johanne Traynor  
 Bank of New York

David Trimble ACSI  
 Nedbank Private Wealth

Gee Lam Tsang  
 Royal Bank of Scotland

Filippos Tsolakidis  
 Barclays Capital

Dhiraj Tuli  
 HSBC Electronic Data Processing

Adele Turner  
 Barclays Capital

Liam Turner

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### Investment Operations Certificate

Keith Turner  
 HSBC Bank

Andrew Turner  
 International Financial Data  
 Services

Lawrence Tuzio  
 Rathbone Brothers

Emma Tyrrell  
 Bank of England

Jacob Tyson  
 FIL Investment Services (UK)

Bree Udo

Lauren Underwood  
 Brooks Macdonald Asset  
 Management

Nicola Usher  
 UBS

Louise Uttley  
 FTSE International

Christopher Miles Y Uy MCSI  
 HSBC Electronic Data Processing  
 (Philippines)

Sona Vaghela  
 Capita Financial Group

Nicholas Van Rooyen  
 LCH Clearent

Jonathan Vance  
 Innovation Ulster

Jelena Vansovica  
 Sussex Hotel

Robert Vaughan  
 HSBC Global Asset Management  
 (UK)

Lynn Vaughan ACSI  
 Rathbone Brothers

Abhinav Venkatesh  
 HSBC Bank

Mathias Vissing  
 Goldman Sachs

Mirgin Vrioni  
 Capita Financial Managers

Joseph Waker  
 Integrated Financial Arrangements

Muhammad Waleed  
 Barclays Capital

Louisa Walker  
 Goldman Sachs

James Walker  
 Deutsche Bank

Peter Walker  
 State Street Bank & Trust

Jamie Walker  
 Cazenove Capital Management

Michael Wall  
 Bank of New York

James Wallace  
 Ruffer

Jack Wallace-Hadrill  
 Family Investments

Alexander Walsh  
 Integrated Financial Arrangements

Kevin Walsh  
 Rathbone Brothers

Michael Walsh  
 Bank of New York

Jonathan Walters  
 Cazenove Capital Management

Matthew Walton  
 London Stock Exchange

Agnieszka Waniek  
 FNZ (UK)

Vikki Ward  
 WH Ireland

Rachael Ward  
 Capita Financial Managers

Scott Warner  
 Goldman Sachs

Laura Wassink  
 Fitch Learning (Singapore)

Frazer Watkins  
 Blackrock Investment Management  
 (UK)

Rebecca Watson  
 QA

Graeme Watson  
 Citibank

Heather Watts  
 Cofunds

David Weale  
 Equiniti

Simon Weatherup  
 Credo Capital

Alexander Weaving  
 Merrill Lynch International

Hiruni Weerasekera

Gary Welford ACSI  
 Brewin Dolphin

John Wells  
 Capita Financial Administrators

Iona Elizabeth West  
 Goldman Sachs

Craig West ACSI  
 State Street Bank & Trust

Nicola Whiers  
 State Street Bank & Trust

Benjamin White  
 Barclays Capital

Richard White  
 Integrated Financial Arrangements

Joanne White  
 Legal & General (Portfolio  
 Management Services)

Jessica White  
 State Street Bank & Trust

Heather White  
 City of Edinburgh Council

Roy Whymark  
 Bank of England

Matthew Whyte  
 Morgan Stanley & Co International

Peter Wickenden  
 HSBC Private Bank (CI)

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### Investment Operations Certificate

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 Capita Financial Managers

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 JP Morgan Chase

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 Bank of New York

**Louise Wilkinson**  
 Citibank (London)

**Adam Wilkus**  
 Royal Bank of Scotland

**Paul Williams**  
 Fidelity Investments

**Nick Williams**  
 Novia Investment Services

**Cristina Williamson**  
 Skandia Life

**Lynn Williamson**  
 Ignis Asset Management

**Fiona Alexandra Williamson**  
 Saltus Partners

**Laura Wilson**  
 Rathbone Brothers

**Julie Wilson**

**Claire Wilson**  
 International Financial Data  
 Services

**Sarah Wiltshire**  
 Baring Asset Management

**Edward Winnington**  
 Killik & Co

**Rachel Winter ACSI**  
 Killik & Co

**Anna Wiza**  
 Bank of New York

**David Wong**  
 Rathbone Brothers

**Angela Wood**  
 HSBC Bank

**Benjamin Wood**  
 Schroder & Co

**Sheila Wood**  
 Standard Life Assurance

**Sian Wood**  
 Charles Stanley & Co (London)

**Kim Woodburn**  
 Bank of New York

**Peter Woodrow**  
 Novia Investment Services

**Heather Woods**  
 Cazenove Capital Management

**Tim Woods**  
 International Financial Data  
 Services

**Emily Wray**  
 JP Morgan Chase Bank

**Alexandra Wright ACSI**  
 Rathbone Brothers

**James Wright**  
 FIL

**Jacqueline Wyllie**  
 HSBC Securities Services

**Laura Wynne**  
 Baillie Gifford & Co

**Yanyan Yan**  
 HSBC Bank

**Qing Yang**  
 Barclays Capital

**Yuan Yang**  
 Royal Bank of Scotland

**Rhea Yardley**  
 Nedbank Private Wealth

**Julia Ylanen**  
 LCH Clearnet

**Amber Yon**  
 International Financial Data  
 Services

**Mark Young**  
 Bank of New York

**Joshua Young ACSI**  
 Tees Financial

**Peter Young**  
 Business Control Solutions (BCS)

**William Young**

**Paul Younger**

**Mengwen Zhang**  
 Royal Bank of Scotland

**Ziying Zhou**  
 HSBC Bank

**Joanna Ziolkowska**  
 Goldman Sachs International

**Daniel Zoeller**  
 FTSE International

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### Investment Advice Diploma

Mustafa Abbas ACSI  
 Cerno Capital Partners

Simon Abirached ACSI  
 EFG Private Bank

Riem Abutaha  
 Citibank

Joseph Adams

Ademola Adebajo  
 Citi Private Bank

Shaun Adlem  
 Be A Broker

Rijwan Ahmed ACSI  
 JN Financial

Ashfaq Ahmed ACSI  
 SG Hambros Bank

Yousef Al Amad ACSI  
 SG Hambros Bank

Victoria Alderson  
 Credit Suisse (Channel Islands)

Mehdi Ali Khan ACSI  
 Habib Bank Zurich

Youssef Allam

John Allan ACSI  
 Barclays

Mark Allen ACSI  
 SI Capital

Paul Allen  
 Newton Investment Management

James Allen ACSI  
 Walker Crips Stockbrokers

Craig Allison, Chartered FCSI  
 WH Ireland

Karis Allocca  
 Vestra Wealth

Zaid Al-Maiyah  
 Standard Chartered Bank

Hanan Al-Najjar  
 Emirates NBD

Mohammed Alsuhaimi  
 Atlantis Capital Management

Michele Althman ACSI  
 Standard Chartered Bank

Alex Amarteifio  
 Central Markets (London)

Bhavesh Amin ACSI  
 Analyst Investment Management

Paras Amlani ACSI  
 Killik & Co

Steven Amor ACSI

Frezy Anklesaria ACSI  
 Brown Shipley

Brett Ansermoz

Isabelle Anthony-Lavallette ACSI  
 Bank Insinger de Beaufort NV

Robert Appleby  
 Paul E Schweder Miller & Co

Omid Arashan ACSI  
 Standard Bank

Sheelagh Arbon  
 HSBC Bank

Maximus Armani  
 UBS Wealth Management

Lee Armitage  
 Accendo Markets

Sevac Artin ACSI  
 Bank Insinger de Beaufort NV

Carl Ashton  
 Citi Private Bank

Martin Ashworth ACSI  
 Walker Crips Stockbrokers

Miles Ashworth ACSI  
 Creechurch Capital

Julien Auchecorne ACSI  
 J. P. Morgan

Francis Aylward ACSI  
 Arjent

Golrokh Azharian

Maryia Babaryka ACSI  
 J. P. Morgan

Nigel Bacon  
 RBS

Martin Badder ACSI  
 Arjent

Netuveli Raghavan Balagopalan  
 HSBC Private Bank (UK)

Maksat Balbaev  
 Citibank

Steven Banham, Chartered MCSI  
 Brewin Dolphin

Amnon Barak ACSI

Innis Barford, Chartered MCSI  
 Beaufort Securities

Francis Barker  
 Goldman Sachs

Hemal Barot MCSI  
 Coutts & Co

Simon Barrell ACSI  
 Cheviot Asset Management

Joel Barrett, Chartered MCSI  
 Barretts Financial Solutions

Elizabeth Barrett  
 Rathbone Brothers

Christopher Barrie ACSI  
 Edison Wealth Management

Angela Bartlett  
 Brewin Dolphin

Duncan Bates  
 Redmayne Bentley

Graeme Batstone  
 Lloyds TSB Corporate Markets

Wendy Batt ACSI  
 Rathbone Investment Management

Steven Beaney ACSI  
 WH Ireland

Nicole Beck MCSI

Jonathan Beckett, Chartered MCSI

Peter Beech ACSI  
 HSBC Private Bank (UK)

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### Investment Advice Diploma

Frederick Bennett ACSI  
 Quilter Cheviot

Robert Berkeley ACSI  
 Smith & Williamson (London)

Frederic Bernot  
 Goldman Sachs

Nigel Beynon, Chartered MCSI  
 WH Ireland

Jason Bharj  
 Coutts - Mortgage Advisors

Robin Bickerstaffe ACSI  
 Barclays Wealth & Investment  
 Management

Rina Bijur ACSI  
 Standard Chartered Bank

Simon Bird ACSI  
 Brewin Dolphin

Laura Bird MCSI  
 Tee Financial

Alexander Biryukov ACSI  
 Citibank

Michele Bisceglia ACSI  
 Arcrate

Stephen Blackford MCSI  
 Charles Stanley & Co (London)

Bevan Blair ACSI  
 Ingenious Asset Management

Stephen Bland MCSI  
 Fleet Street Publications

Alexander Bland

Nicholas Boe ACSI  
 Brewin Dolphin

Regina Boet Bolanos ACSI  
 JPMorgan Private Bank

Mark Bolton

Aldwyn Boscawen ACSI

Sudeshna Bose  
 Citibank

Kevin Bowhay MCSI  
 Rowan Dartington & Co

Neil Bowker MCSI  
 WH Ireland

Andrew Boyle ACSI  
 LGBCO

Rupert Boyle ACSI  
 Charles Stanley & Co (London)

Lee Bradbury  
 Royal Bank of Canada

Jonathan Bradshaw

Philip Brass  
 Citi Private Bank

Matthew Breedon ACSI  
 Barclays

Richard Bremer  
 Fisher Investments UK

James Brennan, Chartered FCSI  
 Rathbone Investment  
 Management

Mark Brett ACSI  
 Sable Group

Julie Brewster ACSI  
 Coutts (Jersey)

Daniel Briggs  
 FF&P Asset Management

James Brooks  
 Adam & Co

Andrew Brooks ACSI  
 EFG Private Bank

Oliver Brown ACSI  
 R C Brown Investment  
 Management

Thomas Brown MCSI  
 Walker Crips Stockbrokers

Thomas Brown ACSI  
 Fisher Investments (UK)

Keith Brown  
 Falcon Private Wealth

Adam Brown ACSI  
 KPMG International

Serena Browne  
 Newton Investment Management

Amanda Browning ACSI  
 Coutts & Co

Henri Brun ACSI  
 Stanhope Capital

Asad Bukhari

Sophia Bultitude  
 Barclays

Martin Burke MCSI  
 Credit Suisse (UK)

James Burnett ACSI  
 Barclays

Anthony Burrell ACSI  
 Mirabaud UK

Ahmad Mahmood Butt  
 Morgan Stanley Private Wealth  
 Management

Adam Buxton  
 Deutsche Bank International

Peter Buxtorf ACSI  
 Lacomp

Alla Bykova  
 Citibank

Monica Callari  
 Goldman Sachs

John Campbell

Viorel Campeanu ACSI  
 Julius Baer International

Garrett Camporine  
 J. P. Morgan

David Carrera de Manuel  
 Citi Private Bank

James Cartwright  
 Morgan Stanley Private Wealth  
 Management

Jean-Pierre Casey ACSI  
 Azure Wealth

Pauline Cassie  
 Adam & Co

Matthew Casson ACSI  
 Brewin Dolphin

## Awards Ceremony 2014 - Achievers



### Investment Advice Diploma

Holly Catto ACSI  
 Investec Wealth & Investment

Sean Cavanagh MCSI  
 Smith & Williamson (London)

Jacopo Ceccatelli ACSI  
 JCI Capital

Sukhjinder Chahal ACSI  
 Equitrade Markets

Patrick Chalmers ACSI  
 Standard Bank

Christopher Chamberlain

Malini Chambers

Candice Chan  
 Rathbone Investment Management

Ravi Chandarana  
 J. P. Morgan

Philip Chapman  
 Brewin Dolphin

Benjamin Chapman ACSI  
 Brewin Dolphin

Charalambos Charalambous  
 JP Morgan Private Bank

Wael Charbel ACSI  
 UBS Investment Bank

Laura Charles ACSI  
 Smith & Williamson (London)

Saurabh Chaubey ACSI  
 Standard Chartered Bank

Mark Cheevers  
 RBS

Antoine Chemali ACSI  
 HSBC Asset Management

Xiaolin Chen  
 JP Morgan Private Bank

Charles Choquet  
 Goldman Sachs

Unnikrishnan Chowallur ACSI  
 UBS Wealth Management

Ruhul Chowdhury  
 Prime Markets

Nikos Christoforou ACSI  
 Central Markets (London)

Andriy Chumak  
 Citibank

Donna Chung  
 Deutsche Bank

Mark Cipollina  
 Standard Chartered Bank

Edward Clark ACSI  
 Charles Stanley & Co (London)

Christopher Clarke

Stephen Clayton ACSI

Roy Clouse ACSI  
 Eden Financial

Richard Cockburn  
 JP Morgan Private Bank

Neil Cockerill  
 Alexander David Securities

Ryan Collins  
 JN Financial

Juan Colon Bolea

James Comrie ACSI  
 Central Markets (London)

Peter Comrie ACSI  
 Optiva Securities

Timothy Connell, Chartered MCSI

Stephen Connolly MCSI  
 SG Hambros Bank

Andrew Cook ACSI  
 Union Bancaire Privee

Richard Cook ACSI  
 Philip Binfield

James Coppel ACSI  
 Adam & Co

George Copplestone  
 Barclays

Tina Coram James  
 Standard Chartered Bank

Julian Corney  
 Citi Private Bank

Alistair Cotton ACSI  
 Currencies Direct

Matthew Courtier ACSI  
 Hartmann Capital

Henry Courtney

John Coutanche, Chartered FCSI  
 EFG Private Bank (Channel Islands)

Jonathan Critchley ACSI  
 Shard Capital Partners

Darran Crombie ACSI  
 ADM Investor Services  
 International

Sarah Crowley ACSI  
 Killik & Co

Ryan Cruise ACSI  
 Investec Wealth & Investment

Emma Crystal ACSI  
 Credit Suisse Private Banking (UK)

Alison Cubbon ACSI  
 Coutts & Co (Isle of Man)

Rory Cumming  
 Cazenove Capital Management

Richard Cunningham ACSI  
 Agincourt Financial

Sam Curley ACSI  
 Rowan Dartington & Co

Daniel Curtis MCSI  
 Brewin Dolphin

Martin Curtis  
 EFG Private Bank

Francisco d'Orey ACSI

Trevor Daghorn ACSI  
 Vestra Wealth (Jersey)

Johnathan Dance ACSI

Thomas Daniels ACSI

Robert Darling ACSI  
 Standard Life Investments

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### Investment Advice Diploma

Partha Das  
Kotak Mahindra (UK)

Darius Daubaras ACSI  
JP Morgan Chase

Rebecca Davidson ACSI  
Ingenious Asset Management

Jelena Davidson

Richard Davies  
Rathbone Brothers

Simon Davies MCSI  
S C Davies & Co

Joshua Davis ACSI  
Rowan Dartington & Co

Christopher Davis ACSI  
Founding Asset Management

Martin Davison

Tommy Davison ACSI  
Prime Markets

James Dawson  
Charles Stanley & Co (London)

Philip Day  
Brewin Dolphin

Andrew D'Cruz  
HSBC Private Bank (UK)

Philippe De Cosse Brissac  
Goldman Sachs Paris Inc. et Cie

Luisa De Giorgi ACSI  
J. P. Morgan

Paul De La Salle ACSI  
Barclays

Manuel De Salinas De Pablo  
Romero  
Morgan Stanley Private Wealth  
Management

Floortje De Wind Evers ACSI  
Canaccord Genuity Wealth

Naseer Dean ACSI  
Eden Financial

Sean Deards  
EFG Private Bank

Daniel Deegan ACSI  
Beaufort Securities

Alvaro Del Castano  
Goldman Sachs

Maxamilian Delamain ACSI  
JN Financial

Anthony Dewar MCSI  
WH Ireland

Rick Dewhirst-Lister MCSI  
Coutts & Co

Simon Di Marino ACSI  
Barclays Wealth

Mariama Diaraye Diallo ACSI  
Barclays

Matthew Dickens ACSI  
Ingenious Asset Management

Graeme Dickson ACSI  
Optiva Securities

Paul Dixey  
Quilter Cheviot

Hollie Dixon ACSI  
Brewin Dolphin

Tommy Truong Doan  
Coutts - Mortgage Advisors

Luke Dods  
Prime Markets

Lucinda Donaldson

Patrick Donovan  
Henderson Rowe

Sylviane Dosseh  
Barclays Wealth

James Douglas  
City of London Markets

Edward Downpatrick ACSI  
JP Morgan Chase

Neal Drennan ACSI  
Fisher Investments UK

Stefanie Drews ACSI  
Barclays Wealth Management

Jamie Drummond ACSI  
Guardian Asset Management

Anastasia Dubov MCSI  
J P Morgan

Rohan Duggal

Christopher Dungan ACSI  
Jersey International Business  
School

Paul Durdin ACSI  
Credit Suisse Private Banking (UK)

Sean Durrad  
PSigma Investment Management

Brian Durrant

Pragya Dutt

Ashley Dye ACSI  
SG Hambros Bank (Channel  
Islands)

Michael Easton ACSI  
Signia Wealth

Augustus Edwards ACSI  
Smith & Williamson (London)

Andrea Edwards  
Coutts & Co

Selim Elgen  
Citi Private Bank

Mark Elliott MCSI  
Credit Suisse Private Banking (UK)

Daniel Ellis ACSI  
Falcon Private Wealth

Olivia Ellis ACSI  
HSBC Private Bank (CI)

Matthew Ellis ACSI  
Rathbone Brothers

Antony Ellison ACSI  
Lloyds TSB Corporate Markets

Christiane Elsenbach MCSI  
SG Hambros Bank

Laura Elsworth ACSI  
Investec Wealth & Investment

Karen Emanuel MCSI  
Credit Suisse Private Banking (UK)

Ian Entwisle ACSI  
Rowan Dartington

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### Investment Advice Diploma

Azjargal Erdenebaatar  
 Standard Chartered Bank

Yolande Escher Dwivedi ACSI  
 Barclays Wealth

Adrian Eteen-Bliss  
 Guardian Wealth Management

Simon Evans ACSI  
 Lloyds TSB Corporate Markets

Gregory Evans  
 Morgan Stanley

Stuart Fairhurst ACSI  
 Walker Crips Stockbrokers

Antony Faithfull ACSI  
 ADM Investor Services  
 International

Richard Faithfull ACSI  
 Xcap Securities

Sadeqh Farhadi ACSI  
 Ahli United Bank (UK)

Chahnaze Farhat ACSI  
 Ahli United Bank (UK)

Guy Farmer  
 Barclays

Fidel Fatodu

James Faulkner ACSI  
 Oxford Capital Partners

William Felce ACSI  
 Felce Management

Maria Feld  
 J. P. Morgan

Alexander Fenton

Lysis Fernandes  
 Morgan Stanley Private Wealth  
 Management

Pedro Ferreira  
 Royal Bank of Canada

Victoria Filatova ACSI  
 Royal Bank of Canada

Lauren Firth  
 Vestra Wealth

Caroline Fischer ACSI  
 Capital International

Richard Fitzalan Howard  
 FF&P Asset Management

Alan Fleming, Chartered FCSI  
 JM Finn & Co

Rupert Fleming  
 Morgan Stanley & Co International

Emma Foden-Pattinson  
 Charles Stanley & Co (London)

Colin Fogwill ACSI  
 Fogwill Jones

Luke Foley  
 SG Hambros Bank

Kieran Follis ACSI  
 Redmayne Bentley

Andrew Fox

Mark Foxwell

Adrian Francis ACSI  
 Canaccord Genuity Wealth

Kevin Francis ACSI  
 Dart Mortgages Partnership

Todd Franklin ACSI  
 Collins Sarri Statham Investments

Jane Fraser ACSI  
 Julius Baer International

Afram Fredric  
 Guardian Wealth Management

William Griffin Freeman ACSI  
 Falcon Private Wealth

Alan Freeman FCSI  
 Xcap Securities

Fay Friedman  
 Goldman Sachs

Ayesha Fuller  
 Goldman Sachs

Robert Fullman ACSI

Ian Furness, Chartered MCSI  
 HSBC Private Bank (Jersey)

Jatin Gadoya ACSI  
 Lombard Odier Darier Hentsch (UK)

Albert Gait  
 Tideway Investment Partners

Aziza Galimova Ramos ACSI  
 Citibank

Sarah Gallichan  
 Citibank

James Galvin ACSI  
 ACPI Investments

Gerard Ganly ACSI  
 Ultratech Associates

Karen Gardner  
 Paul E Schweder Miller & Co

Andrea Gatt-Godoy  
 HSBC Bank

John Paul Gavaghan ACSI  
 Raymond James Investment  
 Services

Lucy Gazmararian ACSI  
 Kleinwort Benson

Daniel Gee  
 Cornhill Capital

Franz Stephan Geissmar MCSI  
 ABN AMRO Bank

Laure Geoffroy Gazzolo ACSI  
 Arena Wealth Management

Aaron Georgiadis  
 JP Morgan Private Bank

Jacopo Gerosa  
 Citi Private Bank

Matthew Giles ACSI  
 Beaufort Securities

Frida Gjorstrup  
 Morgan Stanley

Stylianios Gkougklias  
 Citibank

Michael Gladwin  
 Standard Chartered Bank

Kevin Glajejan



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### Investment Advice Diploma

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Alexey Goldov  
Citibank

Jesus Gomez-Salas Villanueva  
Goldman Sachs

Amy Goodson ACSI  
Barclays Wealth

Samuel Goodway

Crispian Goody ACSI  
Investec Wealth & Investment

Christopher Gordon ACSI  
Daniel Stewart & Co

Richard Gordon

Kaja Gorewicz  
Standard Bank

Jack Gorgon  
AREC Real Estate

Anatoly Gorlov  
J. P. Morgan

Jonathon Gowen ACSI  
Azure Wealth

Michael Graham  
Brewin Dolphin

Claire Graves  
Royal Bank of Canada

Kevin Gray  
Brooks Macdonald Asset  
Management

Avi Grayeff  
Goldman Sachs

Kate Green  
VSA Capital

Stephen Green  
Deutsche Bank

Ohad Greenfeld  
Barclays

Ben Gregory ACSI

Henry Greig ACSI  
Standard Bank

Adam Greig  
Jersey International Business  
School

Edward Grierson ACSI  
Walker Crips Stockbrokers

Elena Griffin  
JP Morgan Chase

Richard Griffiths

Sharon Grob ACSI  
EFG Private Bank

Paul Groden MCSI  
Standard Bank (Jersey)

Walter Yaolong Guan,  
Chartered MCSI

Martin Guilbert ACSI  
Eden Financial

Andre Guimaraes ACSI  
Credit Suisse Private Banking (UK)

Reyaaz Gul ACSI  
Falcon Private Wealth

Russell Gula ACSI  
UBS Wealth Management

Joshi Gunputh ACSI  
Brown Shipley

Sameer Gurung  
Beta 2

Tracy Guthrie ACSI  
Charles Stanley & Co (London)

Andrew Gutmann ACSI  
Beaufort Securities

Lisa Haggarty

Lisa Haines ACSI  
SG Hambros Bank

Constance Hale ACSI  
Julius Baer International  
(ML Legacy)

Claire Halley  
Adam & Co

Dane Halling ACSI  
Arcturus Wealth Management

Amira Halna Du Fretay ACSI  
Credit Suisse Private Banking (UK)

Nicholas Hambridge ACSI  
Alexander David Securities

James Hamilton ACSI  
Standard Chartered Bank

Ben Hamilton ACSI  
Ogier Group Services

Thomas Hampton ACSI  
AAG Capital Markets

Chris Hancock ACSI  
Brewin Dolphin

Ben Alexander Hanney,  
Chartered MCSI  
HSBC Private Bank (CI)

Richard Hansford

Edward Harbach ACSI  
Prospect Wealth Management

Jeremy Harden ACSI  
World First UK

Daniel Harden  
Global Reach Partners

Jeremy Harding  
Coutts & Co

Lucy Hargreave

Kelly Harkins ACSI  
Brewin Dolphin

Rupert Harlow  
JM Finn & Co

Daniel Harris ACSI  
H2O Markets

Paul Harris  
Cazenove Capital Management

Scott Harris

Samuel Harrison

Scott George Marshal Harrison  
MCSI  
Prydis Wealth

Ben Harrison ACSI  
Apex Funds Services

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### Investment Advice Diploma

**Barry Harrison-Fudge ACSI**  
 SI Capital

**Fionn Hart**  
 HSBC Private Bank (UK)

**Gareth Harvey ACSI**  
 Beaufort Securities

**Edward Harvey MCSI**  
 Farley & Thompson

**Vincent Harvey**  
 Brooks Macdonald Asset  
 Management

**Philip Harvey MCSI**  
 ABN AMRO Bank

**Oliver Harwood ACSI**  
 Canaccord Genuity Wealth  
 (International)

**Paul Hastings ACSI**  
 Sanlam Group UK (Sevenoaks)

**Mohamad Hawa ACSI**  
 Credit Suisse Private Banking (UK)

**Steven Hawes**  
 Birchwood Investments

**Adam Hayek ACSI**  
 Henderson Rowe

**Jamie Hayes ACSI**  
 Royal Bank of Canada

**William Hayes ACSI**  
 Morgan Stanley Private Wealth  
 Management

**Alison Haynes ACSI**  
 Barclays

**Simon Hebb, Chartered FCSI**  
 Gore Browne Investment  
 Management

**Kristopher Heck MCSI**  
 Tanager Wealth Management

**Lewis Heeks**  
 Central Markets (London)

**Natalya Hennessy**  
 Rathbone Investment Management

**David Henry**  
 Vestra Wealth

**Jack Herbert**  
 Jersey International Business  
 School

**Toby Herold-Howes**  
 UBS Trustees (Jersey)

**Christiana Hewanicka**  
 Morgan Stanley Private Wealth  
 Management

**Albert Heward-Mills ACSI**  
 Fisher Investments UK

**Daniel Higginson ACSI**  
 Brewin Dolphin

**Adam Hilder**  
 Redmayne Bentley

**Jeremy Hill ACSI**  
 Barclays

**Alan Hills ACSI**  
 HSBC Private Bank (UK)

**Gary Hinde ACSI**  
 Rowan Dartington & Co

**Sophie Hine**  
 Investec Wealth & Investment

**Andrew Hirons, Chartered MCSI**  
 EFG Harris Allday

**Neil Hitchens ACSI**  
 Zenith Bank

**James Hobbs**  
 Goldman Sachs

**Thomas Hodgson ACSI**  
 H2O Markets

**Stuart Holbrook**  
 Bowden Financial Management

**Edward Holden MCSI**  
 Holden & Co

**Lawrence Holdron**  
 Brooks Macdonald Asset  
 Management

**Andrew Holdstock**

**James Holloway ACSI**  
 Collins Sarri Statham Investments

**George Holloway ACSI**  
 WH Ireland

**James Holt ACSI**  
 Brewin Dolphin

**Laura Hope ACSI**  
 Standard Chartered Bank

**Nicholas Hopkinson ACSI**  
 JM Finn & Co

**Richard Howard MCSI**  
 Groupe Financiere Hottinger &  
 Company

**Paul Howman MCSI**  
 BPP Financial Services

**Colin Huelin ACSI**  
 Citibank

**Paul Hughes ACSI**  
 Standard Chartered Bank

**Ian Hughes ACSI**  
 Beaufort Securities

**Jeremy Hughes ACSI**  
 Xcap Securities

**Suzanne Humphrey, Chartered  
 MCSI**  
 Vestra Wealth (Jersey)

**Trevor Hunt ACSI**  
 Stanhope Capital

**Adam Hunt ACSI**  
 Standard Bank

**Jessica Husain ACSI**  
 Falcon Private Wealth

**Kamran Hussain ACSI**  
 SVS Securities

**Richard Hutchison**  
 Barclays

**Phillip Hyett MCSI**  
 Cerno Capital Partners

**Kay Hylton ACSI**  
 Sanlam Group UK (Sevenoaks)

**Louise Iberson-Hurst**  
 Coutts & Co

**Henry Idun**  
 Coutts & Co

**James Igoe ACSI**  
 Xcap Securities

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### Investment Advice Diploma

Brian Ikin ACSI Julius Baer International (ML Legacy)	Steven Jones Brewin Dolphin	Sarah Kesserwani Julius Baer International (ML Legacy)
Alvaro Illan Fernandez ACSI HSBC Private Bank (UK)	Frank Jonuschat ACSI	Sean Keyes MoneyWeek
Andrew Ingram, Chartered MCSI	Jules Joris ACSI	Paul Keys ACSI Lloyds TSB Corporate Markets
Vincent Ip	Nicholas Josh Cornhill Capital	Mansoor Khan ACSI Credit Suisse Private Banking (UK)
Catherine Ireland ACSI Rowan Dartington & Co	Georgia Kaltsoni EFG Private Bank	Farhan Aziz Khan ACSI Habib Bank (Zurich)
James Irvine-Fortescue Killik & Co	Keyur Kanabar Kotak Mahindra (UK)	Nitin Khanna ACSI Deutsche Bank
Nicholas Jackson Prospect Wealth Management	Lydia Kane	Maksim Khludeev Citibank
Mark Jacobs ACSI Scodie Deyong	Ross Karklins MCSI Walker Crips Stockbrokers	Richard Kilburn ACSI Cumulo Accountancy & Taxation
Guy James ACSI Ahli United Bank (UK)	Elli Kashanchi ACSI EFG Private Bank	Nigel Kilby ACSI Galvan Research & Trading
Jonathan Jameson ACSI Brewin Dolphin	Khalil Kasparis Kleinwort Benson	Mark King ACSI JM Finn & Co
Mark Jarrett Central Markets (London)	Alexandra Katsouli Dodge Julius Baer International (ML Legacy)	Frances Kinloch ACSI Barclays Wealth
William Jeffs ACSI Brewin Dolphin	Sameer Kaushal ACSI Brown Shipley	Simon Kirby
Stephen Joseph Jennings	Bhuwan Kaushik Kotak Mahindra (UK)	Natalia Kirillova Citibank
Ejaaz Jivraj ACSI Falcon Private Wealth	Christopher Kavanagh ACSI Barclays	Jamie Kirkpatrick ACSI Smith & Williamson Investment Management (Bristol)
Katrina Johnson Barclays	Ozan Kazim ACSI Collins Sarri Statham Investments	Michael Klosowski Citi Private Bank
Michael Johnstone ACSI Ashcourt Rowan	Dominic Keily ACSI JM Finn & Co	Oliver Knights Morgan Stanley Private Wealth Management
Francois Jolly UBS Wealth Management	James Kelsey ACSI WH Ireland	Andrew Knott MaxCap Partners
Lewis Jones	Andrew Kennedy J. P. Morgan	Melanie Knowles Barclays
Sam Jones AFEX Associated Foreign Exchange	Roger Kennedy ACSI Aiken Kennedy Financial Planning	Hans Knowles ACSI EFG Private Bank
Richard Jones JN Financial	Marie-Helene Kennedy-Payen HSBC Investment Management	Yannick Koffigan Morgan Stanley
Christopher Jones Redmayne Bentley	John Kershaw ACSI Collins Sarri Statham Investments	

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### Investment Advice Diploma

Rodrigo Kohn  
 Khon Cougar

Johnathan Korchak

Christian Kwek  
 Barclays Wealth

Dev Lamba ACSI  
 Credit Suisse Private Banking (UK)

Robert Lambert ACSI  
 WH Ireland

Patrick Lance  
 JPMorgan Private Bank

Carolina Lane ACSI  
 Barclays

James Lang, Chartered FCSI  
 Saltus Partners

Ryan Langdon ACSI  
 HSBC House

Carla Langley ACSI  
 IFG Financial Services

Brett Lankester ACSI  
 ACPI Investments

Nicholas Lansdowne ACSI  
 Beaufort Securities

Stephan Lanz  
 Citi Private Bank

Emma Latham ACSI  
 Smith & Williamson Investment  
 Management (Bristol)

Grant Loughton ACSI  
 Redmayne Bentley

Jamesina Lavery

Simon Laviers ACSI  
 UBS Wealth Management

Cliadhna Law  
 JP Morgan Private Bank

William Lawes ACSI

Eugene Lawlor ACSI  
 Financial Themes

Daniel Lawrence ACSI  
 Arjent

Grant Lawson ACSI  
 EFG Private Bank

Louise Victoria Le Poidevin  
 Royal Bank of Canada

Richard Le Quelenec  
 Jersey International Business  
 School

Tom Leck ACSI  
 Investec Wealth & Investment

Jonathan Lee  
 Citi Private Bank

Philip Lee  
 Adam & Company

Paul Leonard FCSI  
 Brewin Dolphin

John Leslie  
 Leslie & Nuding

Alexander Levy  
 Goldman Sachs

Gillian Lewis ACSI

Natalia Lewis  
 Falcon Private Wealth

Qiaoqia Li ACSI  
 Credit Suisse Private Banking (UK)

David Liddell  
 IpsoFacto investor.com

Samuel Lippiatt Durnell  
 Brooks Macdonald Asset  
 Management

Robert Llewellyn ACSI  
 Canaccord Genuity Wealth  
 (International)

Adam Locke ACSI  
 Azure Wealth

Peter Lovelady ACSI  
 Kleinwort Benson Group

Matthew Lowe  
 Royal Bank of Scotland

James Loxton

Hikmat Lubbadah  
 Europe Arab Bank

Zachary Maasbach

Caspar Machin, Chartered MCSI  
 Sodic Financial Services

Jonathan Mack ACSI  
 Brewin Dolphin

Simon Mackie  
 Lloyds TSB

Stewart Mackness ACSI  
 Brewin Dolphin

Edward Maclaren ACSI  
 Alexander David Securities

Marsaili Macleod

James Macpherson  
 Lloyds TSB Private Banking

Rune Madsen  
 Morgan Stanley Private Wealth  
 Management

Dimitris Magiakos  
 JPMorgan Private Bank

Loughlin Magowan ACSI  
 UBS Wealth Management

Lynne Magowan MCSI  
 Barclays Wealth

Micky Mahbubani ACSI

Mir Amer Mahmood ACSI  
 SG Hambros Bank

Zubin Maini

David Malpas, Chartered MCSI  
 Cheviot Asset Management

David Man ACSI  
 R M G Wealth Management

Roberto Mandorino ACSI  
 J. P. Morgan

Faisal Manji ACSI  
 Royal Bank of Canada

David Mann ACSI  
 WH Ireland

William Mann ACSI  
 EFG Private Bank

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### Investment Advice Diploma

Gabriela Maria Andino Ramirez  
Barclays

Jay Markham

Sotirios Markopoulos ACSI  
Citibank

Robert Marler ACSI  
JN Financial

Thomas Marriage  
Killik & Co

Rachael Marsden ACSI  
Brewin Dolphin

Graham Marsh MCSI  
Lloyds TSB Offshore Trust

Benjamin Martin  
Central Markets (London)

Steven John Martin ACSI  
Bank Insinger de Beaufort NV

Robert Martin ACSI  
Selftrade

James Martin-Redman ACSI

Amandeep Mashiana  
Mint Financial (UK)

Henry George Matson  
Royal Bank of Canada  
(Channel Islands)

Alexander Matthey ACSI

Andrew Mauger ACSI  
Ravenscroft

Lloyd Maxwell ACSI  
Royal Bank of Canada  
(Channel Islands)

Mantas Mazgelis

Stephen McAllister-Pell ACSI

James McCafferty ACSI  
Ahli United Bank (UK)

Harry McCorkell  
Brewin Dolphin

Selina McDonald ACSI  
Barclays

Stewart McGregor ACSI  
Julius Baer International  
(ML Legacy)

Richard McGregor  
Barclays

Alastair McIntosh  
JM Finn & Co

Paul Mcknight, Chartered MCSI  
Redmayne Bentley

Lorraine McLean  
Acorn Mortgages

Laura McLelland ACSI  
Brooks Macdonald Asset  
Management

Iain McMeechan MCSI  
Barclays Wealth Private Bank

Chitra Medhekar  
Citibank

Antoine Megarbane ACSI  
Union Bancaire Privee, UBP SA

Sanjay Mehta  
Beaufort Securities

Jakob Meidal ACSI  
Lombard Odier Darier Hentsch  
(UK)

Carlos Mendes  
Royal Bank of Scotland

Erik Mermet ACSI  
Lombard Odier Darier Hentsch (UK)

Jamie Meyer  
Prime Markets

Anek Mhajan MCSI  
Coutts & Co

Nicholas Michael  
Jersey International Business  
School

Alexander Midha MCSI  
Coutts & Co

James Miller  
Lloyds Banking Group

Loveness Miller ACSI  
Brewin Dolphin

Alexander Millett MCSI  
Xcap Securities

Hemant Mistry ACSI  
Bank of London and The Middle  
East

Stephen Mitchell

Robert Mitchell ACSI  
EFG Private Bank

Julia Mitchell ACSI  
Fiduciary Management

Yulia Mitryaeva ACSI  
Citibank

Amit Modha  
Coutts & Co

Mazyar Moghadam ACSI  
Julius Baer International

Archana Mohan MCSI  
Newton Investment Management

Anton Moiseev ACSI  
Barclays

Arthur Molloy ACSI  
Creechurch Capital

Clair Molton  
Oracle Financial Services

John Molyneux, Chartered FCSI  
WH Ireland

Derek Moore ACSI  
Coutts & Co

Christopher Moore  
Barclays Wealth

Thelis Moral-Abad

Andrew Moreno ACSI  
Hartmann Capital

Rupert Morgan  
HSBC Private Bank (UK)

Shaileen Morjaria MCSI  
Credit Suisse Private Banking (UK)

Jamieson Mornington ACSI  
Barclays Wealth

James Morris ACSI  
J Edward Sellars

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### Investment Advice Diploma

Thomas Mors  
Brewin Dolphin

Neil Morss ACSI  
Walker Crips Stockbrokers

Simon Moss ACSI  
Brewin Dolphin

Phil Mountford ACSI  
Investec Wealth & Investment

Ania Mountford ACSI  
Smith & Williamson (London)

James Christopher Moyses ACSI  
Independent Portfolio Managers

Maximilian Muirhead-Smith ACSI  
Beaufort Securities

Andrew Mulligan ACSI  
Wallwood Consultants

Alexander Mullins ACSI  
J. P. Morgan

Matthew Munns  
Jersey International Business  
School

Mridula Muralidharan ACSI  
Barclays

Mark Murley ACSI  
Coutts & Co (Isle of Man)

Catherine Murphy  
Rathbone Investment Management

Martin Murray MCSI

Janice Murray MCSI  
Vestra Wealth

Ian Murrell, Chartered MCSI  
WH Ireland

Omar Nadhmi ACSI  
Standard Chartered Bank

Mounir Naffi ACSI  
UBS Wealth Management

Farah Nanji ACSI  
SG Hambros Bank

Alexander Napper ACSI  
JN Financial

Martin Nathanson  
FF&P Asset Management

Uchechi Ndukwe  
Aspect Capital

Andrew Nellies, Chartered MCSI  
Reyker Securities

Fernanda Neumann  
Goldman Sachs

Christopher Nevile  
Sanlam Group UK (Sevenoaks)

Mark Newman ACSI  
Galvan Research & Trading

Wing Yan Ng MCSI  
Credit Suisse

Piers Nickolds  
Goldman Sachs

Mario Nicolaou

Andrew Nicolson ACSI  
Salisbury Partners

Jake Nixon

William Nossier  
Morgan Stanley

Disha Nunkoo  
Goldman Sachs

Phillip Oakley  
MoneyWeek

Alok Oberoi ACSI  
ACPI Investments

Abby O'Brien ACSI  
Psigma Investment Management

James O'Hegarty ACSI  
Vestra Wealth

Duraid Okasha ACSI  
Laiki Bank

Olusegun Okubanjo MCSI  
UBS Wealth Management

Frank Oldeweme ACSI  
Bank Insinger de Beaufort NV

Harry Oldham ACSI  
Walker Crips Stockbrokers

Ibnay Oozeerally ACSI  
Dowgate Capital Stockbrokers

Thomas Richard Orange ACSI  
C Hoare & Co

Charles Orpin ACSI  
Galvan Research & Trading

Zavek Orrin ACSI  
WH Ireland

Ross Osborn ACSI  
Barclays

Mark Osment

Jovi Overo  
Beta 2

Ulas Ozturk ACSI  
Maxis Securities

Zeynep Ozturk Unlu  
Citi Private Bank

Ben Palmer  
Brooks Macdonald Asset  
Management

Andrew Parkes ACSI  
Investec Wealth & Investment

Amit Parmar

Jaspal Parmar

Elizabeth Parnemann  
JP Morgan Private Bank

Elliot Pasztor

Kunal Patel  
Gatehouse Bank

Bhavenkumar Patel  
Accendo Markets

Shilpesh Patel

Jay Patel  
Charles Stanley & Co (London)

Thomas Pattenden ACSI  
Collins Sarri Statham Investments

Harpreet Pavithran  
HSBC Asset Management

Michelle Pearce ACSI  
Brooks Macdonald

Thomas Pearson ACSI  
Brewin Dolphin

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### Investment Advice Diploma

**Stewart Pedge**  
 Charles Stanley & Co (London)

**Daniel Pellard ACSI**  
 Central Markets (London)

**William Pendrill**  
 Deutsche Bank Private Wealth  
 Management

**Ian Pennell ACSI**  
 J Edward Sellars

**Simon Pennington ACSI**  
 Alexander David Securities

**Pedro Jose Pereira da Silva ACSI**  
 EFG Private Bank

**Steven Perez**

**Boryana Perfanova**  
 HSBC Private Bank (UK)

**Daniel Perkin**  
 Cave & Sons

**Gareth Perry ACSI**  
 Galvan Research & Trading

**Jennifer Perry**  
 Brewin Dolphin

**Igor Petreanu ACSI**  
 Citibank

**Sam Petts, Chartered MCSI**  
 Killik & Co

**Timothy Phelan, Chartered MCSI**  
 ODIN Investment Management

**Ben Phelps ACSI**  
 Central Markets (London)

**Ben Phillips ACSI**  
 Shard Capital Partners

**Edward Phillips**  
 Barclays

**Nicholas Phillips ACSI**  
 Hartmann Capital

**Andrew Phillips ACSI**  
 Capel Court

**Benjamin Pierce**  
 SG Hambros Bank

**Jonathan Pinkney ACSI**  
 Galvan Research & Trading

**James Pinkney ACSI**  
 Galvan Research & Trading

**Danny Pires ACSI**  
 World First UK

**Benjamin Pitt**  
 AES International

**Pavel Poloskov**

**Polina Poluneeva**  
 Citi Private Bank

**Martin Poole ACSI**  
 Farley & Thompson

**Russell Pope MCSI**  
 WK Capital

**Shaun Port ACSI**  
 Nutmeg Saving and Investment

**William Porter ACSI**  
 Shore Capital Stockbrokers

**Dean Potter**  
 Standard Chartered Bank (Jersey)

**Andrew Powell MCSI**  
 Investec Wealth & Investment

**Mark Powley ACSI**  
 KPMG International

**Faith Pozzy ACSI**  
 Fisher Investments UK

**P G H Prasad ACSI**  
 Standard Chartered Bank

**David Preddy, Chartered MCSI**  
 ABN AMRO Bank

**Rainer Michael Preiss**

**Hannah Price ACSI**  
 Barclays

**Steven Price MCSI**  
 Brewin Dolphin

**Jonathan Pringle**

**Maria Psarra**  
 JN Financial

**Louise Pugh**  
 Newton Investment Management

**Colin Queree**  
 LLoyds TSB Offshore Private  
 Banking

**Ryland Quinn**  
 Lloyds TSB Corporate Banking

**Iyad Quttaineh ACSI**  
 Credit Suisse Private Banking (UK)

**Shreeya Rabheru**

**Jonathan Rackstraw**

**Hushnudjon Rahimberganov**

**Swapna Ramamoorthy**  
 Citi Private Bank

**Chris Rance**  
 Standard Chartered Bank

**Ahmed Rawaf MCSI**  
 Credit Suisse Private Banking (UK)

**Alex Rawsthorn ACSI**  
 Brewin Dolphin

**David Read**  
 Brewin Dolphin

**Siobhan Reason MCSI**  
 Coutts & Co

**Alberto Recchi MCSI**  
 Credit Suisse Private Banking (UK)

**Cianan Redmond**

**Brigitte Reech ACSI**  
 Credit Suisse Private Banking (UK)

**Daniel Reed ACSI**  
 Hartmann Capital

**Federico Rezzonico**  
 Goldman Sachs

**Christopher Richards**  
 Barclays Wealth

**Peter Richards ACSI**  
 Quotidian Investments

**Ian Richardson**  
 Financial Services Training Partners

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### Investment Advice Diploma

Jeremy Richardson, Chartered FCSI  
 Cornelian Asset Managers

Matthew Rickard, Chartered MCSI  
 Agincourt Financial

Nicholas Ridley  
 Walker Crips Stockbrokers

Isabel Riera Hortelano  
 Morgan Stanley Private Wealth  
 Management

Emanuele Rigamonti ACSI  
 JCI Capital

George Riley, Chartered FCSI  
 Royal Bank of Canada  
 (Channel Islands)

Vaughan Rimeur FCSI  
 Rathbone Investment Management  
 International

Lee Rimeur ACSI  
 ABN AMRO Bank

Stephen Ritchie ACSI  
 Cornelian Asset Managers

Clive Roberts  
 Agincourt Financial

Joshua Robertson  
 Central Markets (London)

Romina Ronco  
 Barclays

James Rooney MCSI  
 Redmayne Bentley

Daniel Ross MCSI  
 Barclays

James Ross-Russell  
 NW Brown Group

Alexander Roussel  
 HSBC Private Bank (UK)

Phillip Rowell ACSI  
 Brewin Dolphin

Cecelia Russell ACSI  
 Barclays

Edward Russell ACSI  
 Brewin Dolphin

Stuart Ryan ACSI  
 Holden & Partners

Gareth Ryan ACSI  
 IUR Capital

Alice Ryder  
 Stanhope Capital

Pascual Rykaart ACSI  
 Brewin Dolphin

Alexander Ryvkin

Jeffrey Sacks  
 Citi Private Bank

Nady Salame ACSI  
 Crossbridge Capital

Kelly Salmon ACSI  
 Vestra Wealth

Daniel Salva ACSI  
 J. P. Morgan

Adrien Samuel-Lajeunesse ACSI  
 Bank Insinger de Beaufort NV

Katharine Samuels ACSI  
 UBS Wealth Management

Miguel Sanchez Rios ACSI  
 Habib Bank (Zurich)

Duncan Sandbrook ACSI  
 EFG Private Bank

James Sansom  
 Barclays Wealth

Mahendran Santhanam  
 Citibank

Luca Sarri, Chartered MCSI  
 Collins Sarri Statham Investments

Kairat Satkyn Ulu ACSI  
 UBS

Hannah Sauer ACSI  
 Royal Bank of Canada

John Saunders ACSI  
 WH Ireland

Harriet Saunders  
 Arjent

Stephanie Savage ACSI  
 Brewin Dolphin

Anna Savina  
 Citibank

Deborah Sayagh

Matthew Schaab ACSI  
 JP Morgan Private Bank

Kelvan Schewitz ACSI  
 Bank Insinger de Beaufort NV

Simone Schlaefli-Westerhuis ACSI  
 LGBCO

Michael Schmeja  
 Citi Private Bank

James Schute  
 Investec Bank (UK)

Toby Scott, Chartered MCSI  
 Killik & Co

Karen Scott  
 Acorn Mortgages

Agustin Segura Galdeano ACSI  
 Julius Baer International  
 (ML Legacy)

Felicity Selcoe MCSI  
 Coutts & Co

Nikki Sellick ACSI  
 Coutts & Co

Eliseo Sendon Leston ACSI

Martin Sercombe ACSI  
 Rathbone Investment Management

Raymond Seymour  
 Standard Chartered Bank

Neel Shah  
 Fitch Learning

Gil Shaked MCSI  
 Julius Baer International

Alan Sharpe, Chartered MCSI  
 JM Finn & Co

David Shaw

Peter Shepherd ACSI  
 Central Markets (London)

Kate Shepherd ACSI  
 Rathbone Investment Management



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### Investment Advice Diploma

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 Berry Asset Management

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 Brewin Dolphin

Blake Sibley ACSI  
 JN Financial

Abdullah Siddique ACSI  
 Fyshe Horton Finney

Andrew Sidebottom ACSI  
 Lloyds TSB Corporate Markets

Raymond Silvester MCSI  
 Dowgate Capital Stockbrokers

Joseph Sim  
 AFEX Associated Foreign Exchange

Philip Simmonds MCSI  
 Canaccord Genuity Wealth

Jeremy Simmons  
 Charles Stanley & Co (London)

Trevor Simms  
 Birchwood Investments

Raminder Singh MCSI  
 Credit Suisse Private Banking (UK)

Olena Skyba Pettersson  
 Citibank

Clive Arthur Allan Slater

Vivienne Slegg MCSI  
 Fidelity Worldwide Investments

Svetlana Smirnova ACSI  
 Citibank

Thomas Smith MCSI  
 Brewin Dolphin

Jeremy Smith ACSI  
 Absolute Return Capital  
 Management

Thomas Smith ACSI  
 SVS Securities

Alexander Smith ACSI  
 Walker Crips Stockbrokers

Carolyn Smith  
 HSBC Private Bank (UK)

Samuel George Daniel Christian  
 Smith-Bosanquet ACSI  
 Sand Aire

Arron Smyth ACSI  
 Agincourt Financial

Edna Soares  
 Jersey International Business  
 School

Paul Sommerville  
 Agincourt Financial

Tristan Sopp ACSI  
 Galvan Research & Trading

Matthew Spehr ACSI

Joel Speight

Grant Spital  
 Hargreave Hale

Efry Spitzer  
 Bank J. Safra (Gibraltar)

Graham Spooner ACSI  
 The Share Centre

Christian St John-Dennis ACSI  
 Optiva Securities

Joanna Stachowska ACSI  
 Royal Bank of Canada

Elliot Stanley  
 Direct Market Touch

James Steele  
 Goldman Sachs

Myrto Stefanidou ACSI  
 EFG Private Bank

Alexander Stepanenko

Martin Stephens  
 J Edward Sellars

Dean Stevens, Chartered MCSI  
 Galvan Research & Trading

David Stevenson  
 Fleet Street Publication

Tracy Stewart  
 HSBC Trust (UK)

Andrew Stirrat  
 Park Caledonia Associates

Phoebe Stone  
 Coutts & Co

Catherine Stroud ACSI  
 EFG Private Bank

Timothy Sunderland ACSI  
 Redmayne Bentley

Paul Sutton ACSI  
 Alexander David Securities

Robert James Sutton  
 Creechurch Capital

James Swaby ACSI  
 Attivo Investment Management

John Swallow  
 Heronden

Keith Swann  
 Central Markets (London)

Mikhail Tabakov ACSI  
 Falcon Private Wealth

Katrina Tabor ACSI  
 Sanlam Group UK (Sevenoaks)

Marco Tacconis  
 Tacconis Advisors

Benjamin Tadd ACSI  
 SVS Securities

Mark Taft, Chartered FCSI

Simon Talbot ACSI  
 Alexander David Securities

Hardeep Tamana ACSI  
 Azpur

Adam Tankard MCSI

Michele Tarsh ACSI  
 Raymond James Investment  
 Services

Sebastian Taylor ACSI  
 Charles Stanley & Co (Leicester)

Christopher Taylor  
 Sanlam Private Investments  
 Wealth Management

Michael Taylor ACSI  
 Charles Stanley & Co (Liverpool)

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### Investment Advice Diploma

Paul Taylor MCSI  
 McCarthy Taylor

Sara Taylor ACSI  
 Eden Financial

Vadim Tchassov  
 Killik & Co

Peter Teare, Chartered MCSI  
 Walker Crips Stockbrokers

Tony Tharian ACSI  
 Canaccord Genuity Wealth

Sarah Thi  
 Mattioli Woods

Adam Thomas  
 Equitrade Capital

Devin Thomas  
 J. P. Morgan

Steve Thompson  
 Barclays Wealth

Sally Thompson

Mark Phillip Thompson  
 Global Reach Partners

John Charles Todd ACSI  
 Cheviot Asset Management

Anastasia Tolstova  
 Citibank

Virna Topalian ACSI  
 EFG Private Bank

Robert Tratt ACSI  
 JN Financial

Susan Travers ACSI  
 Rathbone Brothers

Bridget Trevor-Jones ACSI  
 Investec Wealth & Investment

Adam Trew  
 Coutts & Co

Andrew Trower MCSI  
 Altus Investment Management

Natalia Tsvetsinskaya  
 Goldman Sachs

Natalie Turner, Chartered MCSI  
 Barclays Wealth

James Tyser MCSI  
 Tyser Capital Management

Natalie Tysoe ACSI  
 Brewin Dolphin

Orit Usharovsky ACSI  
 Citibank

Sofia Vakhidova ACSI  
 Citibank

David Valle  
 Child & Co

Katherine Van Beveren FCSI  
 Brewin Dolphin

Leo Van Der Linden  
 Goldman Sachs

Maarten Van Voorst Tot Voorst

Kateryna Vaschenko ACSI  
 Citibank

Manolis Vasilakis  
 EFG Private Bank

Daniel Vaysleyb ACSI  
 Royal Bank of Canada

Rudolfs Veiss

Raghu Venugopal ACSI  
 Standard Chartered Bank

Giuseppe Vera  
 Goldman Sachs

Joao Vinagre ACSI  
 Falcon Private Wealth

James Vincent ACSI  
 Smith & Williamson Corporate  
 Finance

Alexander Vlassov ACSI  
 Lombard Odier Darier Hentsch  
 (UK)

Otto Von Celsing  
 Goldman Sachs

Marios Voskopoullou ACSI  
 EFG Private Bank

John Wakeling ACSI  
 Redmayne Bentley

Jordan Walker ACSI  
 Henderson Rowe

Laura Wallace ACSI  
 Royal Bank of Canada  
 (Channel Islands)

Yvonne Wallace  
 Goldman Sachs

Christopher Walsh ACSI  
 Falcon Private Wealth

Paul Walters  
 Standard Chartered Bank (Jersey)

Richard Warbey FCSI  
 Charles Stanley & Co  
 (Bournemouth)

Jason Warby  
 Warby Wealth Management

Mark Ward ACSI  
 Sanlam Securities UK

Lydia Warde ACSI  
 Scodie Deyong

Louise Wardle ACSI  
 Redmayne Bentley

Charles Watt ACSI  
 SteelRock

Richard Wayne-Wynne ACSI  
 Brooks Macdonald Asset  
 Management

Robert Weeber

Gary Welford ACSI  
 Brewin Dolphin

Jake Wellesley-Smith ACSI  
 Standard Life Wealth

Matthew Wells ACSI  
 Credit Suisse Private Banking (UK)

John West ACSI  
 Investec Wealth & Investment

Thomas Weston-Davies  
 Rathbone Brothers

Mark Wheeldon  
 Brewin Dolphin

Lauren White  
 Brewin Dolphin

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### Investment Advice Diploma

Andrew White MCSI  
 Pilling & Co

Kelly White ACSI  
 Investec Wealth & Investment

Keith Whitehead ACSI  
 Henderson Rowe

Imogen Whiteside  
 VSA Capital

Dean Whitty ACSI  
 Thomas Miller Investment  
 (Isle of Man)

James Whybrow ACSI  
 Royal Bank of Canada

Paul Whyman ACSI  
 Investec Wealth & Investment

Paul Wigfall  
 Nationwide Building Society

Robert Wiggins ACSI  
 Santander UK

Ian Wilcock ACSI  
 Brighter Financial Services

Elizabeth Wild ACSI  
 Maunby Investment Management

Susan Williams ACSI  
 St James's Place

Oliver Williams ACSI  
 EFG Harris Allday

Cheryl Willis  
 Bowden Financial Management

Edmund Wilson ACSI  
 St. James's Place

Katie Wilson-Brown  
 Investec Wealth & Investment

Richard Winberg  
 Morgan Stanley

Olena Winter ACSI  
 St James's Place

Rachel Winter ACSI  
 Killik & Co

Matthew Wintour  
 Lubbock Financial Solutions

Francis Wood  
 Barclays

Edmund Wortley  
 Hargreave Hale

Christopher Wozniak ACSI

Lee Wright ACSI  
 Galvan Research & Trading

Dominic Wright ACSI  
 Henderson Rowe

Lucinda Wright ACSI  
 Julius Baer International

Andreas Wueger ACSI  
 Arena Wealth Management

Scott Wylie ACSI  
 Kudos Independent Financial  
 Services

Ihab Yassine ACSI  
 Mirabaud UK

Fadi Zaher MCSI  
 Dresdner Kleinwort

Kassim Zaman ACSI

Patrick Zervudachi ACSI  
 Zervudachi Asset Management

Huiping Zhou

Zimu Zhu  
 JP Morgan Private Bank

Lukasz Michal Ziec ACSI

Norah Zitouni ACSI  
 HSBC Global Asset Management  
 (UK)

Ayman Zouheiri ACSI  
 EFG Private Bank

## Awards Ceremony 2014 - Achievers



### Advanced Certificate in Operational Risk

**Raghavendra Adiga**  
 DBOI Global Services

**Kirsty Powell MCSI**  
 HSBC Securities Services

**Rizwan Akhtar ACSI**  
 Oman International Bank

**Richard Price**  
 HSBC Private Bank (UK)

**Dalbinder Bhartti, Chartered MCSI**  
 Brewin Dolphin

**John Provan**  
 Barclays

**Katherine Buchanan MCSI**  
 HSBC Global Asset Management

**Prabhu Raghunathan**  
 DBOI Global Services

**Fengyu Chen**  
 Morgan Stanley

**Nadine Ruddock**

**Dominic Harold Collinson**  
 Hollinghurst ACSI  
 HSBC Bank

**Mukesh Saxena**  
 DBOI Global Services

**Kevin Selvadoray ACSI**  
 DBOI Global Services

**Ashleigh Drohan**  
 LCH Clearnet

**Stacey Smith**  
 Scottish Widows

**Paul Ferrier**  
 Morgan Stanley & Co International

**Imola Szijarto**  
 Morgan Stanley & Co International

**Grant Gourlay**  
 Morgan Stanley & Co International

**Jeanette Taylor**  
 Matrix Securities

**Andrew Grimes, Chartered FCSI**  
 Investec Wealth & Investment

**Melanie Lee Tolentino ACSI**  
 M&G

**Yvonne Hatch**  
 Royal Bank of Scotland

**Cheryl Twitchett ACSI**  
 Brown Advisory

**Trisha Impey ACSI**

**Stuart Jack**  
 Morgan Stanley

**Jennifer Kent ACSI**  
 M&G Group

**Stewart Lancaster, Chartered MCSI**  
 Ruffer

**Martin McCabe**  
 HSBC Securities Services

**Catherine Katey Neate**  
 Bank of New York Mellon

**Sweta Patel ACSI**  
 Talos Securities

**Judith Penrose ACSI**  
 Morgan Stanley

**Kyler Petrie**  
 LAMCO Services

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### Advanced Global Securities Operations

Donna Allan  
 ABN AMRO (Guernsey)

Terry Anderson ACSI  
 Tibra Trading Europe

Peter Beale ACSI  
 Investec Wealth & Investment

Fabio Castagno  
 UBS Investment Bank

Nathan Crossingham,  
 Chartered FCSI

Alexandra Duff

Ian Dumond ACSI  
 BNP Paribas

Catherine Dunne  
 Pioneer Investment Management

Darren Fancourt ACSI  
 Seven Investment Management

Stephen Fox-Hulme ACSI  
 Charlemagne Capital (IOM)

Luca Gabbrielli  
 Goldman Sachs

Mark Gillan ACSI  
 Pershing

Sarah Harrington

Rebecca Hershberger  
 City of London Investment Group

Lee Hissey, Chartered MCSI  
 Investment Funds Direct

Fraser Holmes, Chartered FCSI

Gina Honour ACSI  
 NFU Mutual Insurance Society

Sarah Jelly  
 A J Bell Securities

Krzysztof Kilan  
 Merrill Lynch Capital Markets Bank

Greg Klar  
 Nucleus Financial Group

Felicity Limer ACSI  
 Arbuthnot Latham & Co

Moditha Liyanage  
 MillenniumIT Software

George Makori

Andrew Mauger ACSI  
 Ravenscroft

James Micallef  
 Towry Services

Daniel Middleton  
 J. P. Morgan Cazenove

Gaurav Miglani  
 Infosys BPO

Ahmad Fairuz Mohd Adzahan  
 Institute of Bankers Malaysia

Josephine Morrison,  
 Chartered MCSI

Sachini Munasinghe  
 MillenniumIT Software

Christopher O'Driscoll  
 A J Bell Securities

Paul O'Rourke  
 Baillie Gifford & Co

Karen Parker MCSI  
 NFU Mutual Insurance Society

David Pennycook  
 FNZ (UK)

Yasanga Perera  
 MillenniumIT Software

Rebecca Rainey, Chartered MCSI  
 Capita Financial Managers

Grant Ramsay  
 Nomura Asset Management UK

Martin Rigg, Chartered MCSI  
 Nedbank Private Wealth

Christian Searle  
 Skandia Life

Themba Sibanda ACSI  
 FNZ (UK)

Zabrina Smith  
 Northern Trust

Peter Sohler MCSI  
 HSBC Global Asset Management  
 (UK)

Michael Somers

Lee Mei Tan, Chartered MCSI  
 Inti International College Subang

Abby Trott  
 A J Bell Securities

Banu Watson

Sarah Watt, Chartered MCSI  
 The Share Centre

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### Private Client Investment Advice & Management

Tony Abreu  
 SG Hambros Bank  
 (Channel Islands)

Mark Ackers ACSI

Mark Adams  
 SG Hambros Bank

Chris Albert  
 Canaccord Genuity Wealth

Agha Ijteba Ali, Chartered MCSI  
 Habibsons Bank

Hafi Ali  
 Barclays

Paul Alker MCSI  
 UBS Jersey

Paul Allen, Chartered FCSI  
 Coutts & Co (Channel Islands)

Naina Anand  
 Standard Chartered Bank

Rupert Armitage MCSI  
 Shore Capital Stockbrokers

Luca Arpaio MCSI  
 Credit Suisse Private Banking (UK)

Alok Arya  
 Natwest Private Banking

Sehr Askari  
 Standard Chartered Bank

Rachael Bajard MCSI

David Baker MCSI

Peter Balderstone MCSI  
 Standard Life Investments

Andrew Barham  
 Cheviot Asset Management

Michael Barr

Eric Barthe

Guy Baruch

Jordan Batchelar MCSI  
 Northwood Symonds

Mike Batchelor  
 Vestra Wealth

David Batey MCSI  
 Coutts & Co (Isle of Man)

Paul Battams MCSI  
 Cazenove Capital Management  
 Jersey

Benjamin Bavin, Chartered MCSI  
 Canaccord Genuity Wealth  
 (International)

Nicole Beck MCSI

Richard Bell MCSI  
 HSBC Private Bank (UK)

Jonathan Belliss ACSI  
 Xcap Securities

Andrew Bennie MCSI  
 Brooks Macdonald

Christopher Berry, Chartered MCSI  
 Standard Bank (Jersey)

Jyoti Bhatt FCSI  
 UBS Wealth Management (UK)

Ashok Bhudia ACSI  
 Crossbridge Capital

Christopher Blackham  
 C Hoare & Co

James Bluck  
 FXCM Securities

Kevin Bowhay MCSI  
 Rowan Dartington & Co

Simon Boyle MCSI  
 Coutts & Co (Channel Islands)

Richard Brass MCSI  
 Berenberg Bank

Ian Bratley MCSI  
 Standard Chartered Bank

Christopher Broad  
 Bank Sarasin & Co (Guernsey)

Guy Browning MCSI  
 DPZ Synergy

Amanda Browning ACSI  
 Coutts & Co

Stuart Buchan ACSI  
 Coutts & Co

Martin Buckley ACSI  
 Coutts & Co

Michael Buffini, Chartered FCSI  
 Moore Stephens Retirement  
 Solutions

Martin Burke MCSI  
 Credit Suisse (UK)

Lee Burnham, Chartered MCSI  
 Kleinwort Benson  
 (Channel Islands)

Matthew Bussy  
 Bank of America

Charles Buxton MCSI  
 Bestinvest (Brokers)

Michael Caetano, Chartered MCSI  
 Brooks Macdonald Asset  
 Management (International)

Benjamin Carder

Helen Carey

Alice Carson  
 Ruffer

Nicholas Carter MCSI  
 Wealth Financial Planning (Jersey)

Kevin Casciaro  
 Barclays

Camilla Cecil  
 Ruffer

James Charlton MCSI  
 Deutsche Bank Private Wealth  
 Management

Stephen Chew

Julian Chinnick MCSI  
 M&G

Nicholas Chuter  
 Barclays

Fiona Cincotta  
 City Index

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 Charles Stanley & Co (London)

John Claxton  
 RBS

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### Private Client Investment Advice & Management

Mark Clubb  
 Canaccord Genuity Wealth  
 (International)

Timothy Cockerill MCSI  
 Rowan Dartington & Co

Scott Coleman ACSI  
 FF&P Asset Management

Benjamin Collison  
 Blackrock Investment  
 Management

David Cooper MCSI  
 White Label Financial Services

Robert Cooper, Chartered MCSI

Anthony Cotton  
 Waverton Investment Management

Noel Craven MCSI  
 Falcon Private Wealth

Colin Crawford  
 Dominion Corporate Services

Bernadette Crawley,  
 Chartered MCSI  
 Ramsay Crookall & Co

Henry Crofton MCSI

Garry Crooks MCSI  
 HSBC Bank International

Richard Crowther  
 Coutts & Co

Nicholas Cunningham MCSI  
 Capital Financial Training

Daniel Curtis MCSI  
 Brewin Dolphin

Alison Cuthbert ACSI  
 Baillie Gifford & Co

Richard Davies  
 Coutts & Co

Simon Davies  
 RBS

Philip Degen, Chartered FCSI

Mark Denby MCSI  
 Aria Capital Management

Paul Di Mucci ACSI  
 Coutts & Co

Wayne Dolby MCSI  
 Coutts (Jersey)

Ekaterina Doubinina Veau  
 MCSI  
 UBS Wealth Management

Aidan Dow, Chartered MCSI  
 Berry Asset Management

James Dowding MCSI  
 Charles Stanley & Co  
 (Tunbridge Wells)

Peter Downey  
 Barclays

Pauline Drysdale MCSI  
 Mclnroy and Wood

William Du Toit  
 Standard Chartered Bank

Steven Mark Dubberley MCSI

Andrew Dunn ACSI  
 Coutts & Co

Stephanie Dyke MCSI  
 Battens Solicitors

Nicholas Eastham, Chartered MCSI  
 Collins Sarri Statham Investments

Stephen Eccleston  
 Barclays

Neil Edwards ACSI  
 Coutts & Co

Kirstie Egerton MCSI  
 Coutts (Jersey)

Faisal El-Hakim  
 ABN AMRO Asia Securities

Mark Elliott MCSI  
 Credit Suisse Private Banking (UK)

Alexander Ellis  
 Brewin Dolphin

Karen Emanuel MCSI

Anthony Emmings,  
 Chartered MCSI  
 Standard Life Investments

Colin Enright

Paul Eva MCSI  
 Coutts & Co (Channel Islands)

Thomas Evans  
 Guardian Wealth Management

Mark Fail MCSI

James Fairweather  
 Coutts & Co

Christopher Feeney MCSI  
 Royal Bank of Scotland

Andrew Finlay, Chartered MCSI  
 HSBC (AMG) Discretionary Wealth  
 Management

James Fishbourne MCSI  
 Sarasin & Partners

William Foster MCSI  
 Bank Leumi (UK)

Louisa France MCSI

Alexander Galbraith

Jonathan Gamble MCSI

Pat Gartland MCSI  
 ACPI Investments

Joakim Gasslander  
 Kleinwort Benson

James Gatehouse, Chartered MCSI  
 Killik & Co

Maria Elena Gatt Florida MCSI  
 HSBC Private Bank (UK)

Astrid Gendron-Judd MCSI  
 Schroder & Co

Tristan Gervais  
 UBS Wealth Management

Simon Gibbons  
 Barclays

Ian Glassock MCSI  
 Close Brothers Asset Management

Mark Goddard MCSI  
 UBS Wealth Management

Evgeny Gokhberg MCSI  
 UBS Wealth Management

## Awards Ceremony 2014 - Achievers



### Private Client Investment Advice & Management

Charles Goodall MCSI  
 Redmayne Bentley

Kevin Goodbody MCSI  
 D P Z Synergy

David Gorman, Chartered FCSI  
 Standard Bank (Jersey)

Susannah Green  
 Psigma Investment Management

Richard Griffiths, Chartered FCSI  
 Nedbank Private Wealth

Joshua Gunson  
 Ruffer

Konstantinos Halicioglu MCSI  
 Coutts & Co

Stephen Hall MCSI  
 Speirs & Jeffrey

Paul Hamer MCSI  
 Advisa Financial Services

Neeta Handel MCSI  
 Standard Chartered Bank (Jersey)

Ben Alexander Hanney,  
 Chartered MCSI  
 HSBC Private Bank (CI)

David Hannis MCSI  
 James Brearley & Sons

Steven Hanson MCSI  
 ADM Investor Services  
 International

Wayne Harding MCSI  
 Investec Bank (UK)

Thomas Hardman ACSI  
 First Names Group

Edward Harris MCSI  
 Julius Baer International

Graham Harrison, Chartered FCSI

Simon Harryman MCSI

James Hart ACSI  
 Daniel Stewart & Co

Gary Harvey  
 Credo Capital

Benjamin John Haymer MCSI  
 Royal Bank of Scotland

Christopher Hill ACSI  
 Gemini Wealth Management

Martin Hill MCSI  
 HSBC Private Bank (UK)

Andrew Hill, Chartered MCSI  
 DPZ Capital

Thomas Hobbs MCSI  
 Barclays

Helen Holmes, Chartered FCSI  
 Standard Bank (Jersey)

Simon Hopes ACSI  
 Coutts & Co

James Horton MCSI  
 UBS Jersey

James Hounsell

Nicola Jane House  
 Coutts & Co

Paul Howell MCSI  
 HSBC Private Bank (UK)

Christopher Huelin, Chartered FCSI  
 Wealth Financial Planning Jersey

Daniel Hurdley MCSI  
 Asset Risk Consultants

Ciara Hurley, Chartered FCSI  
 Quilter Cheviot

Nicholas Hutchins  
 RBS

Paul Hyland MCSI  
 Wingate Wealth Management

Miles Illingworth  
 UBS Global Asset Management

Peter Jackson MCSI  
 TBI Admin

Kushan Jayawardena

David Jessel MCSI  
 Rothschild Wealth Management  
 (UK)

Dipesh Jethwa MCSI  
 Standard Chartered (Jersey)

David Johnson  
 RBS

Andrew Johnstone MCSI  
 Brooks Macdonald Retirement  
 Services (International)

Philip Jones MCSI

Aled Jones MCSI  
 Hargreave Hale

Shanti Kelemen MCSI  
 Coutts & Co

Fiona Kerr  
 Merrill Lynch International

Justine Kinleyside  
 Standard Chartered

Bruce Kirkcaldy  
 Investec Bank (UK)

Richard Kirkham MCSI  
 Sanlam Group UK (Sevenoaks)

Kevin Koh Maier, Chartered MCSI  
 Coutts & Co

Nathalie Krekis MCSI  
 Cazenove Capital Management

Agnieszka Krzeczowska ACSI  
 Cornelian Asset Managers

William Lamond, Chartered MCSI  
 Canaccord Genuity Wealth  
 (International)

Henry Lancaster MCSI  
 Coutts & Co

Timothy Lane  
 Coutts & Co Channel Islands

Mark Larsson, Chartered MCSI  
 Johnston Campbell

Duncan Law ACSI

Scott Le Flour MCSI  
 Standard Chartered Bank (Jersey)

Stephen Le Fondre MCSI  
 DPZ Synergy

Francis Le Maistre MCSI  
 Brooks Macdonald Asset  
 Management (International)

Samuel Leal MCSI  
 Barclays





## Private Client Investment Advice & Management

Simon Leaver  
 UBS Wealth Management

Phillip Lee MCSI  
 City Financial Investment  
 Company

Ross Legon ACSI

James Leith  
 Lloyds TSB Offshore

Maxim Lewis  
 KPMG

Johann Liffey  
 Standard Chartered Bank

Thomas Light  
 Galvan Research & Trading

Richard Lilley MCSI  
 Royal Bank of Scotland Group

Paul Linter  
 Coutts Mortgage Advisors

Steven Liron ACSI

Phil Lock MCSI  
 Royal Bank of Scotland

Luciano Lombardo,  
 Chartered MCSI  
 Barclays Wealth Advisory

Fiona Lucas MCSI  
 Credit Suisse Private Banking (UK)

Richard Luke MCSI  
 Capita Financial Group

Charles Maclean MCSI  
 Killik & Co

Catherine Makin MCSI  
 HSBC Asset Management

Zach Matai  
 BNP Paribas

Jonathan Matthews,  
 Chartered MCSI  
 Warner Matthews

Gareth McCaughey,  
 Chartered FCSI  
 Raymond James Investment  
 Services

Helen McDonald  
 Goldman Sachs

Robert McGhee  
 Ruffer

Andrew McGuirk

Colleen McHugh  
 Barclays

Stephen McMahon, Chartered FCSI  
 Asset Risk Consultants (Jersey)

Lee McManus  
 Coutts & Co

Iain McMeechan MCSI  
 Barclays Wealth Private Bank

Tim McMillan  
 Standard Life Assurance

Dario Milizia MCSI  
 Vartan & Son

Gareth Millington MCSI  
 James Brearley & Sons

Daniel Moakes  
 Coutts & Co

Peter Montague MCSI  
 Newton & Garner

Murray Montgomery MCSI

Colin Monton  
 Royal Bank of Scotland

Derek Moore ACSI  
 Coutts & Co

Peter Moore  
 UBS Wealth Management

Scott Mordrick MCSI  
 Newton & Garner

Carl Moreira  
 Canaccord Genuity Wealth  
 (International)

Sarah Moreton MCSI  
 HSBC Bank

Andrew Moretta MCSI  
 Coutts & Co (Isle of Man)

Michael Mount  
 Coutts & Co

Martin Murray MCSI

Rami Naimi MCSI  
 UBS

Matthew Nash MCSI  
 Standard Chartered Private Bank

Craig Neilson MCSI  
 Coutts & Co Channel Islands

David Nelson ACSI  
 Lloyds TSB Corporate Markets

Guy Newman MCSI  
 UBS Wealth Management Global

Robert Niklasson  
 KPMG Corporate Finance

Michael Norem, Chartered FCSI  
 Moore Stephens Financial  
 Management

Stephen Norton MCSI  
 Deadalus Partners

Joshua Oakley ACSI  
 Waverton Investment Management

David John O'Brien MCSI  
 Investec Bank

Michael O'Brien MCSI  
 UBS Investment Bank

Mark O'Connor MCSI  
 Brooks Macdonald Asset  
 Management (International)

Helen Ollivro, Chartered FCSI  
 UBS Jersey

Omar Omari, Chartered MCSI  
 Coutts & Co

Andrew O'Neill, Chartered FCSI  
 Asset Risk Consultants

Paul O'Neill  
 Butterfield Private Bank

Brian Owen ACSI  
 Coutts & Co

Bobby Owen  
 Investec Bank (UK)

Stephen Padbury  
 Coutts & Co

Mark Parello MCSI  
 WH Ireland

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### Private Client Investment Advice & Management

Andrew Park MCSI  
 Coutts & Co

Tim Parker

Bhupinder Parmar, Chartered FCSI  
 Albert E Sharp

Russell Parmenter  
 Barclays

Damian Paul MCSI  
 HSBC Private Bank (UK)

Chris Pearce MCSI  
 Pearce Wealth Management

Rosemary Pearson  
 Coutts & Co

James Penn ACSI  
 Coutts & Co

Julian Pepper  
 Coutts & Co

Richard Perry MCSI  
 Hantec Markets

Julian Petryk FCSI  
 Barclays

Jack Phillips

Richard Plowden MCSI  
 Investec Wealth & Investment

Cameron Pollock  
 Speirs & Jeffrey

Jason Porter MCSI

Steven Price MCSI  
 Brewin Dolphin

Iain Quenault MCSI  
 Glen Q Wealth Private Wealth

Aqil Qureshi  
 Barclays

Zsolt Raffai MCSI  
 Vestra Wealth

Arun Leon Ramaswamy  
 MCSI

John George Ramsay MCSI  
 UBS Jersey

Garfield Ramsay MCSI  
 Royal Bank of Canada

Richard Ramskill, Chartered MCSI  
 Brooks Macdonald Asset  
 Management (International)

Pallavi Rao

Benjamin Raven  
 Towry Financial Services

Ahmed Rawaf MCSI  
 Credit Suisse Private Banking (UK)

Alberto Recchi MCSI  
 Credit Suisse Private Banking (UK)

Simon Reeks, Chartered MCSI  
 Midas Investment Management

Stephen Rees  
 Coutts & Co

Michelle Reese  
 Citigroup Global Markets (RSP)

Michael Renner MCSI  
 Coutts & Co

Nicholas Richardson,  
 Chartered MCSI  
 Charles Stanley & Co (Cambridge)

Clive Richardson MCSI  
 Advisa Financial Services

Mark Richmond-Watson  
 James Hambro & Partners

John Ridout MCSI  
 Credit Suisse

Eugenia Rillman ACSI  
 Coutts & Co

Timothy Roberts MCSI  
 Cavendish Asset Management

Graham Robertson MCSI  
 Triple Point Investment  
 Management

Andrew Robins, Chartered MCSI  
 Nedbank Private Wealth

David Rolland MCSI  
 Investec Wealth & Investment

Adam Rontaler  
 Merrill Lynch International

Philip Rose  
 Le Masurier James & Chinn

Tony Ross  
 Self Financial Planners

Rana Roushdi MCSI  
 Seven Investment Management

Colin Rowe MCSI  
 IM Asset Management

Ravi Ruparel MCSI  
 Londis

Steven Sahota ACSI

Kareem Sattar MCSI  
 Walker Crips Stockbrokers

Joerg Schlueter MCSI  
 Prosperity IFAs

Claudia Schuerch MCSI  
 Credit Suisse (UK)

Don Scott MCSI  
 University Superannuation Scheme

Dean Scott MCSI  
 HSBC Bank International

Daniel Scull MCSI  
 Barclays

Arun Shetty  
 GAM (UK)

Phillip Sidebottom

Matthew Simmons MCSI  
 Rathbone Brothers

Benjamin Sims

Raminder Singh MCSI  
 Credit Suisse Private Banking (UK)

Pravir Singh  
 UBS Investment Bank

Vasily Smirnov  
 Barclays

Ian Smith  
 Coutts & Co

Daniel Smith ACSI  
 Coutts & Co

Matthew Smith MCSI

Simon Smith MCSI  
 Barclays Wealth

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### Private Client Investment Advice & Management

Tamis Smith MCSI	Giles Turner, Chartered MCSI Coutts & Co	Rebecca Whelan ACSI Parallel Investment Management
Merryn Somerset Webb MoneyWeek	Natalie Turner, Chartered MCSI Barclays Wealth	Antony Robert Whincup MCSI UBS (Jersey)
Joseph Somerville MCSI Coutts & Co	Simon Tutton MCSI	Maxwell White ACSI
Riccardo Spagnoli Central Markets (London)	Andrew Twomey MCSI St. James's Place	Andrew John Durrant White MCSI David Booler & Co
Thomas Spain, Chartered MCSI Raymond James Investment Services	Matthew Tyrie MCSI Bestinvest (Brokers)	Mark Whitley Coutts & Co
Scott Spencer MCSI Ravenscroft	Sanna-Liisa Valtanen MCSI Asset Risk Consultants	Grahame Wick MCSI Walker Crips Stockbrokers
Richard Stead Coutts & Co	Thomas Vernon Sarasin & Partners	David Williams, Chartered FCSI Redmayne Bentley
Joanna Steiner ACSI Lloyds TSB Private Banking	Kristian Vind MCSI	Ian Williams ACSI Coutts & Co
Christopher Stephens MCSI UBS Jersey	Marina Volkova Coutts & Co	Samuel Williams Prydis Wealth
Dean Stevens, Chartered MCSI Galvan Research & Trading	Abbas Walji MCSI Standard Chartered (Jersey)	Michael Wilson Merrill Lynch International
Adrian Summers ACSI Coutts & Co	Jeremy Walker MCSI Whitefoord	Mark Wizbek MCSI HSBC Private Bank (UK)
Francis Sutch	Geoff Walsh ACSI KPMG	Anthony Wood, Chartered FCSI Standard Bank (Jersey)
Janice Tang KPMG	Ronan Walsh, Chartered FCSI Coutts & Co (Channel Islands)	James Woodfall MCSI HSBC Bank
Adam Tankard MCSI	Sophie Ward MCSI HSBC Private Bank (UK)	Henry Woodruff Sarasin International Securities
Adam Tash MCSI Hartmann Capital	Matthew Watson MCSI Brooks Macdonald Asset Management (International)	Ian Wright MCSI Credit Suisse Private Banking (UK)
Anthony Teixeira, Chartered MCSI Brewin Dolphin	Catherine Watson	Mark Wright MCSI AFH Financial Services
Ran Terdiman MCSI R T Financial Services UK	Michael Watt MCSI Investec Structured Product	Lindsay Wright ACSI BWCI Group
Daniel Thompson MCSI Raymond James Investment Services	Benjamin Wattam	Ross Young Deutsche Bank
Daniel Tingley MCSI Royal Bank of Scotland Group	Peter Wells, Chartered FCSI Meridian Asset Management (Channel Islands)	Darren Zaman FCSI DPZ Capital
Peter Tompkins MCSI Standard Bank	Herman Wessels MCSI Standard Bank (Jersey)	Warren Zietsman MCSI Standard Bank Offshore Services
Richard Trent MCSI Royal Bank of Scotland	Trevor West UBS Wealth Management	Jaime Zuloaga Saenz MCSI Royal Bank of Canada

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### Diploma in Investment Compliance

Saleem Adam  
 Merrill Lynch International

Liane Agostini  
 Morgan Stanley & Co International

David Agyei-Pryde MCSI  
 Santander UK

Prabath Shammika Ahangama  
 Arachchige MCSI  
 Bank of Ceylon

Shakir Ahmed  
 Brewin Dolphin

Helen Anne Attree

David Aylward  
 Bovill

Hulkar Azam, Chartered MCSI

Belinda Baber MCSI  
 CPA Audit

David Baldwin MCSI  
 Standard Bank

Sheridan Barton  
 BNP Paribas

Neelima Begum  
 Armajaro Securities

Sara Louise Bennett MCSI  
 Reed Elsevier

Roxanne Berowsky  
 FXCM Securities

Gurkiran Bhumrah  
 Quilter Cheviot

Lisa Blenkinsop MCSI

Martin Brammer MCSI

Jennifer Brankin

Laura Breakwell MCSI  
 Cheviot Asset Management

James Brennan, Chartered FCSI  
 Rathbone Investment  
 Management

Sarah Burke  
 Barclays Wealth

William Cannon

Simon Cartledge MCSI  
 Schroder & Co

Anson Chen  
 The Bank of Tokyo-Mitsubishi

Stephen Chew

Rebecca Clayden

Russell Connor MCSI  
 HSBC Bank

John Corlett, Chartered FCSI  
 Isle of Man Financial Supervision  
 Commission

Ghislaine Couvillat  
 L&G Investment Management

Nicholas Coxon MCSI  
 CQS (UK)

Anna Dabrowska MCSI  
 Selftrade

Luke Dalby  
 The Bank of Tokyo-Mitsubishi

Nehal Desai, Chartered MCSI  
 Rathbone Investment  
 Management

Martin Digweed, Chartered MCSI  
 International Financial Data  
 Services

James Douse

Emmanuel Florendo MCSI

Jane Fraser

Nusrat Ghani  
 M&G

Varsha Sharan Ghosh

Sarah Giles MCSI  
 Redmayne Bentley

Maxine Gilmartin MCSI  
 Euroclear UK & Ireland

Neil Ginnelly  
 Citigroup Centre

Deepa Gohil  
 Capita Financial Managers

Gozde Gözetten Turney  
 FXCM Securities

Jamain Graveney, Chartered MCSI  
 Financial Conduct Authority

Laurence Greig  
 Rabobank International

Jane Griffin

James Groom, Chartered FCSI  
 Broadstone Pensions & Investment

Karishma Grover  
 Barclays Capital

James Hall MCSI  
 Cazenove Capital Management

Neil Hardman ACSI  
 Deutsche Bank Private Wealth  
 Management

Edward Harvey MCSI  
 Farley & Thompson

Henry Hill  
 Barclays Capital

Jade Hilton MCSI  
 Investec Wealth & Investment

Julian Howard MCSI  
 GAM (UK)

Suzanne Humphrey,  
 Chartered MCSI  
 Vestra Wealth (Jersey)

Trisha Impey ACSI

Daniel Kabrovski  
 Newton Investment Management

Thuvaraga Kamalarajah MCSI  
 Brewin Dolphin

Mustafa Kanchwala  
 Spread Co

Navin Kerai, Chartered MCSI

Rachel Kerr MCSI  
 Standard Life Investments

Mark Korinek

Anne Kramarz

## Awards Ceremony 2014 - Achievers



### Diploma in Investment Compliance

Angela Kwiatkowski ACSI  
 Baillie Gifford & Co

Jonathan Lane  
 Bank of New York

Simon Laviers ACSI  
 UBS Wealth Management

Carly Lea ACSI  
 Investec Wealth & Investment

Darragh Lee MCSI  
 Butterfield Bank (Guernsey)

Carrie Lew

Richard Lewis MCSI  
 Barclays Capital

Beata Lukawska MCSI  
 Captiva Capital Management

Joseph Mackenzie MCSI  
 GHC Capital Markets

Loughlin Magowan ACSI  
 UBS Wealth Management

Hugh Maguire MCSI

Shailen Majithia MCSI  
 Barclays Wealth

Sarah Malik  
 Aberdeen Asset Management

Katie Marlow  
 Marathon Asset Management

Darren May MCSI  
 Thesis Asset Management

John Mcglone

Viviana Mendoza Sarmiento  
 Q W Capital

Neil Millar  
 Barclays Capital

Samantha Mills MCSI  
 Brewin Dolphin

Agnieszka Mioduszezwska

Alexis Monoogian MCSI  
 Genesis Investment Management

Ian Montgomery MCSI

Shennelle Morant MCSI  
 Wealth Management Association

Alessandro Moretti MCSI  
 UBS

Ann-Marie Morgan  
 Financial Conduct Authority

Michael Murray MCSI  
 Baillie Gifford & Co

Jonathan Neville  
 HSBC

Grace Ogedengbe, Chartered MCSI  
 ABC International Bank

William Palmer  
 Blankstone Sington

Shaamal Patel MCSI  
 Barclays Capital

Christopher Pendlebury MCSI  
 Purple Sun Consulting

Sebastien Petsas  
 Kinetic Partners

Maria Potter

Ramya Puttanna ACSI  
 Deloitte

Jawaryah Qureshi  
 F&C Investments

Alec Ramsey  
 Origen Financial Services

Meryl Rastall  
 Sucden (UK )

Richard Rauchenberg  
 Merrill Lynch International

Giles Raymond

Sean Reid MCSI  
 Speirs & Jeffrey

Barlas Remzi MCSI  
 Integrated Financial Arrangements

Faye Richards  
 J O Hambro Capital Management

Anthony Rodriguez  
 AFEX Associated Foreign Exchange

Mark Stephen Roe  
 Macquarie Capital (Europe)

Christoph Roeder  
 UBS Wealth Management

Roberto Ruggeri

Carolyn Rush  
 PricewaterhouseCoopers

Amanda Ryan ACSI  
 CLFIS (UK)

Ayokunle Salam

Ahmed Mooneer Salehmohamed  
 Eaton Vanci Management  
 (International)

Nicholas Saunders MCSI  
 Cave & Sons

Dominic Scanlon  
 FQS Capital Partners

Garret Schembri MCSI  
 Deutsche Bank

Ben Sheridan MCSI  
 Hudson Advisors Europe

John Simm

Rebeka Smith  
 PricewaterhouseCoopers

Stephen Stokes, Chartered MCSI  
 Kinetic Partners

Alexander Stott MCSI  
 Credit Suisse Securities (Europe)

Michael Strug MCSI  
 Cordium Consulting Group

John Sturges, Chartered FCSI  
 Jefferies International

Stefan Szecsei  
 Lloyds TSB Corporate Markets

Victoria Taylor  
 Ernst & Young

Susi Taylor MCSI  
 Brilliance Financial Planning

Rachel Shan Towle  
 Barclays Wealth

## Awards Ceremony 2014 - Achievers



### Diploma in Investment Compliance

Stella Traca De Oliveira MCSI  
 HSBC Global Private Banking

Frederick Christiaan Visser  
 Barclays Capital

Alec Williams  
 Integrated Financial Arrangements

Kim Tulley

Crispin Vollers MCSI  
 Schroder & Co

Amy Wiseman  
 CPA Audit

Elliott Turner  
 Principal Global Investors (Europe)

Holly Warburton  
 Ravenscroft

Drew Wnek  
 Bank of Tokyo Mitsubishi UFJ

Ubong Umotong  
 Brevan Howard Asset Management

Sarah Warner  
 Minerva Fund Managers

Stephen Wyndham  
 Reynolds Porter Chamberlain

Katherine Van Beveren FCSI  
 Brewin Dolphin

Claire Whitelegg  
 Isle of Man Financial Supervision  
 Commission

Pawel Zalewski MCSI  
 Royal Bank of Canada  
 (Channel Islands)

Kiran Virdee

### Diploma in Investment Operations

Dalbinder Bharti MCSI  
 Brewin Dolphin

Hilary Grant  
 FNZ (UK)

Aedan Loker ACSI  
 Edgbaston Investment Partners

Stephen Blakemore MCSI  
 Close Asset Management  
 (Manchester Office)

Sarah Harrington

George Makori

Katherine Buchanan MCSI  
 HSBC Global Asset Management

Lee Hissey, Chartered MCSI  
 Investment Funds Direct

Richard McKinney MCSI

Nathan Crossingham,  
 Chartered FCSI

Oscar Hjalmas MCSI  
 One Solution Group

Kirsty Powell MCSI  
 HSBC Securities Services

Deborah Field  
 Cheyne Capital Management (UK)

Daniel James, Chartered MCSI  
 AXA Isle of Man

Irina Scrivens, Chartered FCSI  
 Nial

Susan Fleming, Chartered MCSI  
 Investec Wealth & Investment

Peter Johnson MCSI  
 Towry Investment Management

Peter Sohler MCSI  
 HSBC Global Asset Management  
 (UK)

Barry Lawson ACSI  
 State Street Global Services

### CISI Diploma

Ahmed Al- Jishi MCSI

David Boulton

Benjamin Collison  
 Blackrock Investment Management

Glen Arnett, Chartered MCSI

Cameron Brown MCSI  
 Brooks Macdonald Asset  
 Management

Colin Crawford  
 Dominion Corporate Services

James Ayre MCSI  
 CCLA Investment Management

Mengran Cai MCSI

Nilgun Erbas  
 Mako Europe

Paul Battams MCSI  
 Cazenove Capital Management  
 Jersey

Maria Chaffey  
 LIFFE Administration and  
 Management

Clare Erskine-Murray MCSI  
 Baillie Gifford & Co

Andrew Bennie MCSI  
 Brooks Macdonald

Walid Chamsi-Pasha MCSI

Nazreen Banon Fauzel MCSI

Graeme Black MCSI  
 Equilibrium Asset Management

Ho Yin Ronald Chan

## Awards Ceremony 2014 - Achievers



### CISI Diploma

James Fishbourne MCSI  
 Sarasin & Partners

Christian Gawne, Chartered MCSI  
 James Brearley and Sons

Astrid Gendron-Judd MCSI  
 Schroder & Co

James Hall MCSI  
 Cazenove Capital Management

Thomas Hardy  
 Ruffer

Ian Harrison, Chartered MCSI  
 SG Private Banking Funds Research

Peter Heath, Chartered MCSI  
 EFG Harris Allday

Helen Holmes, Chartered FCSI  
 Standard Bank (Jersey)

Julian Howard MCSI  
 GAM (UK)

Ciara Hurley, Chartered FCSI  
 Quilter Cheviot

Carl Jex, Chartered MCSI  
 Charles Stanley & Co (London)

Richard Jones MCSI  
 Brooks Macdonald

Jaclyn King-Gibson, Chartered MCSI  
 Rathbone Brothers

Nathalie Krekis MCSI  
 Cazenove Capital Management

Simon Laviers ACSI  
 UBS Wealth Management

Phillip Lee MCSI  
 City Investment Financial  
 Company

Julian Lewis MCSI  
 Cavendish Asset Management

Maxim Lewis  
 KPMG

Fang Luo MCSI

Loughlin Magowan ACSI  
 UBS Wealth Management

Timothy Main MCSI  
 Schroder & Co

Bhavani Marimuthu

Krystle Maynard MCSI  
 First Caribbean Bank

Andrew McGuirk

Martin McKendry  
 HSBC Securities Services

Jonathan Mynes MCSI  
 Brooks Macdonald Asset  
 Management (International)

Jianxin Ni MCSI

James Norman, Chartered MCSI  
 Danske Bank

Carrie O'Brien  
 Bank of New York

Zhikun Ou MCSI

Benjamin Palairat MCSI  
 Brooks Macdonald Asset  
 Management

Sreekar Periketi MCSI  
 Santander

Riccardo Persona MCSI  
 Brewin Dolphin

Scott Powell, Chartered MCSI  
 Brown Shipley

Abou Shehzad Ally Purdasy MCSI

Stephanie Robertson MCSI  
 Speirs & Jeffrey

Shiksha Samjowan

Amy Shadbolt MCSI  
 Messrs. C. Hoare & Co

Austen Speakman MCSI  
 Brooks Macdonald Financial  
 Consulting

Colette Stevenson MCSI  
 Brewin Dolphin

Christina Stieglbauer MCSI

Kin Sue MCSI

Thomas Virden MCSI  
 Central Books

Crispin Vollers MCSI  
 Schroder & Co

Xueyang Wang MCSI

Rebecca Whelan ACSI  
 Parallel Investment Management

Lisa Williams MCSI  
 Rathbone Brothers

Stephen Wood MCSI  
 UK Portfolio Management

Wei Xu MCSI

Taisuke Yonemori

Julia Young MCSI  
 Prospect Wealth Management

Luhang Zhao MCSI

## Awards Ceremony 2014 - Achievers



### Masters in Wealth Management

Sara Allan, Chartered MCSI  
 Bestinvest (Brokers)

Simon Allister, Chartered MCSI  
 HSBC Bank

Neil Anderson, Chartered MCSI  
 Brewin Dolphin

Guy Anderson, Chartered MCSI

Graham Austin MCSI  
 Kleinwort Benson Private Bank

Annabel Ayers MCSI  
 Investec Wealth & Investment

Helena Bakunowicz,  
 Chartered MCSI  
 Brewin Dolphin

Zoe Bancroft MCSI  
 Investec Wealth & Investment

Steven Banham, Chartered MCSI  
 Brewin Dolphin

Jason Barlow ACSI

Andrew Baty, Chartered MCSI  
 Coutts & Co

Rachel Biggar MCSI  
 Brewin Dolphin

Neill Blanks  
 Dalton Strategic Partnership

Richard Blazey

Joseph Bond MCSI  
 Smith & Williamson Corporate  
 Finance

James Boycott MCSI  
 Smith & Williamson Investment  
 Management (London)

James Brooks MCSI  
 Brewin Dolphin

Henry Burrell ACSI  
 Smith & Williamson Corporate  
 Finance

Lucy Campbell ACSI  
 Cazenove Capital Management

Andrew Carver ACSI  
 Smith & Williamson Corporate  
 Finance

Charles Caton MCSI  
 Brewin Dolphin

Tautginas Cijunelis ACSI  
 Investec Wealth & Investment

Andrew Coles MCSI  
 Brewin Dolphin

Toby Cross, Chartered MCSI  
 Barclays Wealth Management

Iain Currie, Chartered MCSI  
 Rathbone Investment  
 Management

David Daly MCSI  
 WH Ireland

Nehal Desai, Chartered MCSI  
 Rathbone Investment  
 Management

Patrick Doig MCSI  
 Investec Wealth & Investment

Samantha Dolby MCSI  
 Brewin Dolphin

Andrew Donald MCSI  
 Seven Investment Management

Matthew Ellis MCSI  
 Investec Wealth & Investment

Christiane Elsenbach MCSI  
 SG Hambros Bank

Ciaran Garvey MCSI  
 Thorntons Law

Tom Gerrard MCSI  
 Saunderson House

Benjamin Gilbert,  
 Chartered FCSI  
 Bestinvest (Brokers)

Robert Harper, Chartered MCSI  
 Brewin Dolphin

Leo Hathaway MCSI  
 AFH Financial Services

Richard Heberden MCSI

Jon-Paul Hill MCSI  
 Investec Wealth & Investment

Gemma Howe FCSI

Alex Jarman, Chartered MCSI  
 Investing for Good

Pritee Jilka MCSI  
 Deutsche Bank

William Keogh MCSI  
 Brewin Dolphin

Rory Kilbride MCSI  
 Brewin Dolphin

Robert Lamdin, Chartered MCSI  
 Brown Shipley

Thomas Lawrence ACSI  
 Cazenove Capital Management

Stephen Lennon, Chartered MCSI  
 Smith & Williamson Investment  
 Management (Guildford)

Christopher Lewis ACSI  
 Cazenove Capital Management

Steven MacGowan ACSI  
 Rathbone Investment  
 Management

Paul Mathias, Chartered MCSI  
 Brewin Dolphin

David Matthews MCSI  
 Berry Asset Management

Rory Maxwell-Scott MCSI  
 Investec Wealth & Investment

Samuel Lewis Mayes  
 Royal Bank of Scotland

Jill Montgomery MCSI  
 Smith & Williamson Fund  
 Administration (Glasgow)

Christopher Moore ACSI  
 Smith & Williamson Investment  
 Management (Birmingham)

Bronwen Morgan-Thomas MCSI  
 Deutsche Bank Private Wealth  
 Management

Oliver Northover MCSI  
 HSBC (AMG) Discretionary Wealth  
 Management

Lauren O'Donnell  
 Ruffer



## Awards Ceremony 2014 - Achievers



### Masters in Wealth Management

Thomas Perks MCSI  
 Rathbone Brothers

Winnie Perry, Chartered FCSI  
 Investec Wealth & Investment

Juste Petrauskaite MCSI  
 Charles Stanley & Co

Leana Prasher MCSI  
 Brewin Dolphin

Richard Robson, Chartered MCSI  
 Harsimran Sandhu

Edward Sidgwick, Chartered MCSI  
 Barratt & Cooke

James Strange, Chartered MCSI  
 HSBC (AMG) Discretionary Wealth  
 Management

Nigel Sydenham, Chartered FCSI  
 BPP Professional Education

Benjamin Thomas MCSI  
 Investec Wealth & Investment

Max Trowbridge ACSI  
 Smith & Williamson (London)

Myles Tunstall MCSI  
 Cheviot Asset Management

James Vincent ACSI  
 Smith & Williamson Corporate  
 Finance

Lucy Walter MCSI  
 Brewin Dolphin

Antony Webb MCSI  
 Quilter Cheviot

Andrew Williams MCSI  
 Brewin Dolphin

William Yates, Chartered FCSI

We would also like to thank  
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# CISI Code of Conduct

## Introduction

Professionals within the securities and investment industry owe important duties to their clients, the market, the industry and society at large. Where these duties are set out in law, or in regulation, the professional must always comply with the requirements in an open and transparent manner.

Members of the Chartered Institute for Securities & Investment (CISI) are required to meet the standards set out within the CISI's Principles. These Principles, which are also known as the Lord George Principles in recognition of the contribution made to standards of integrity by the late Lord George FSI(Hon), impose an obligation on members to act in a way beyond mere compliance and to support the underlying values of the Institute.

Material breach of the Code of Conduct would be incompatible with continuing membership of the CISI and may result in disciplinary action.

Members who find themselves in a position which might require them to act in a manner contrary to the Principles are encouraged to:

1. discuss their concerns with their line manager
2. seek advice from their internal compliance department
3. approach their firm's non-executive directors or audit committee
4. if unable to resolve their concerns, and having exhausted all internal avenues, contact the Chartered Institute for Securities & Investment for advice (email: [principles@cisi.org](mailto:principles@cisi.org))

## The Principles

1. To act honestly and fairly at all times when dealing with clients, customers and counterparties and to be a good steward of their interests, taking into account the nature of the business relationship with each of them, the nature of the service to be provided to them and the individual mandates given by them.
2. To act with integrity in fulfilling the responsibilities of your appointment and to seek to avoid any acts, omissions or business practices which damage the reputation of your organisation or the financial services industry.
3. To observe applicable law, regulations and professional conduct standards when carrying out financial service activities, and to interpret and apply them to the best of your ability according to principles rooted in trust, honesty and integrity.
4. To observe the standards of market integrity, good practice and conduct required or expected of participants in markets when engaging in any form of market dealings.
5. To be alert to and manage fairly and effectively and to the best of your ability any relevant conflict of interest.
6. To attain and actively manage a level of professional competence appropriate to your responsibilities, to commit to continuing learning to ensure the currency of your knowledge, skills and expertise and to promote the development of others.
7. To decline to act in any matter about which you are not competent unless you have access to such advice and assistance as will enable you to carry out the work in a professional manner.
8. To strive to uphold the highest personal and professional standards.



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