
ALB Asia Top 15 Chief Compliance Officers Methodology

ALB is pleased to launch our ALB Asia Top 15 Chief Compliance Officers, which will be announced in ALB Asia magazine's June 2024 edition. This list will spotlight the region's most exceptional leaders who represent the vanguard of compliance leadership, navigating the ever-changing terrain of corporate governance with both foresight and integrity.

We are now accepting submissions for ALB Asia's Top 15 Chief Compliance Officers until **Friday, 29 March 2024; 6:00pm (Singapore time)**.

Please note that submission does not guarantee a place on the list, and candidates need to be based in Asia for at least the past 12 months to qualify. Submissions from mainland China and Australia/New Zealand will not be considered for this list.

Past and existing achievements as well as profile of matters handled, clients' recommendations, and any significant accolades and awards received will be taken into consideration when making the assessment.

Submissions are open from 20 February 2024 to 29 March 2024.

We look forward to receiving your submission soon.

HOW IT WORKS



STEP 1
Download Nomination
Forms



STEP 2
Complete and submit
form and client
recommendations



STEP 3
Client interviews begin,
nominations are being
evaluated



STEP 4
Analyze, discuss, and
validate findings



STEP 5
Results are announced
and published in ALB
Asia Magazine

How you can submit the nomination form

The completed nomination form may be submitted by the company or the individual. It provides a summary of your overall achievements. It also presents an opportunity to demonstrate why you should be ranked in our ALB Asia Top 15 Chief Compliance Officers.

You may download the nomination form. It will guide you through all the relevant information required for our research. The information provided will be kept completely confidential.

Who can submit and when

1. Candidates need to be based in Asia for at least the past 12 months to qualify
2. Submissions from Mainland China and Australia /New Zealand will not be considered for this list

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Submission deadline Friday, 29 March 2024, 6.00pm (Singapore Time)

Our deadlines are fixed in order to allow enough time for our research team to conduct thorough verifications, retrieve recommendations, and implement careful analysis on each submission.

How to make a submission

Please provide a clear summary of the questions within the nomination form.

Providing referee recommendations

We also require a list of referees, whom we may interview. A referee is usually an internal business partners, external counsel or lawyer, although it can be anyone who has experience and knowledge of your expertise over the preceding 12 months. Providing referees allows us to gather feedback on your achievement. We use these interviews to understand the views and experiences of your collaborating partners, and this helps to inform our decisions.

Referees' statements are referred to in the first instance and referees are only contacted should ALB require additional information regarding the matters included in the submission.

Research

We conduct our ranking research based on several factors and considerations, all of which are assessed by our research team. Our dedicated research team will review all submissions provided and carry out the necessary interviews.

Sending across your nominations and being interviewed by ALB does not guarantee a ranking. This is only part of the research process. We also consider feedback of referees and other sources as part of the ranking process.

1. Online Research

- a. Verify the candidate's profile through public channels

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- b. Investigate and assess significant achievements and matters submitted
- c. Review and analyze the relevant work that the candidate handled in the last 12 months and are available on public channels

2. Interview

Interview with referees listed in the submission. This is usually done to assess referees' reputation in the industry if necessary

Details in 1 and 2 will be compiled and moved to the evaluation process.

Evaluation Process

After research and the verification of facts in the nomination forms, all documents will be sent to an independent internal judging panel for evaluation.

Evaluation Criteria

The evaluation is based on the following factors:

Technical Expertise:

- Deep understanding of relevant regulations
- Knowledge of investigative techniques

Business Acumen:

- Risk management skills
- Financial literacy
- Data literacy

Ethical Conduct & Integrity:

- Promoting ethical culture
- Addressing & preventing misconduct

Industry Recognition & Reputation:

- Peer recognition & industry involvement
- Positive media coverage & reputation

Additional Factors:

- Industry challenges & opportunities
- Organization size & complexity
- Diversity & inclusion

Announcement

ALB Asia Top 15 Chief Compliance Officers will be release in June 2024 issue of ALB Asia Magazine.