



## **ADAM SAMUEL**

BA LL.M. FCI Arb, DipPFS, Certs CII (MP&ER), MCISI, CAMS  
Attorney and Counsellor at Law, Member of the New York Bar  
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**Lawyer, compliance and dispute resolution specialist in financial services, banking, consumer, computer and international business law in the UK, EU and other major financial & arbitration centres**

### **Lawyer, Arbitrator and Financial Services Compliance Expert: 1996 - now**

- **Financial Services Consulting**
  - Solutions, advice, training and expert reports on compliance, dispute resolution, law & regulation
  - Delivered Hong Kong Securities Institute lectures on advice standards & wrote manual on the subject in 2010 [http://www.youtube.com/watch?v=o2Oq\\_XdFnm4](http://www.youtube.com/watch?v=o2Oq_XdFnm4)
  - Expert witness in the English and Gibraltar Courts on financial services compliance & risk
- **Clients include**
  - four major financial services regulators in Europe, Asia and the US
  - major banks, insurers and independent financial adviser firms
  - professional and trade organizations for financial services experts in the UK and Hong Kong
  - law firms in England, Switzerland, Germany & the USA
- **Arbitrator, panelist, adviser and lawyer in international business disputes**
  - Made over 150 WIPO and Hong Kong International Arbitration Center domain name decisions
  - Member of Chartered Institute of Arbitrators' Practice & Standards Committee (2005-2012) and the Arbitration Sub-Committee (2003-12 -Chairman 2010-2012)
  - Counsel to lawyers and arbitrators on US, Nigerian, French and English law
- **Law Teacher**
  - Part-time visiting lecturer at University of Westminster (2010-present) & Brunel University (2016) on international arbitration – <https://www.youtube.com/watch?v=4X-CDLufxJA>
- **Author**
  - Consumer Financial Service Complaints and Compensation, 1<sup>st</sup> ed (2005) and 2<sup>nd</sup> ed (2017)
  - Hong Kong Securities Institute's Guide to the SFC Code for Intermediaries
  - Butterworths Financial Regulatory Service, chapters on complaints, approved persons & COBS
  - Regular analysis on financial services dispute resolution and compliance for Compliance Monitor (2004-present, Member of Editorial Board), Complinet (2002-2004 & 2006 - present) & Compliance Resource Network (2004-2005 & 2010-present)
- **Ethics and professionalism for financial services**
  - Financial Planning Standards Board (2020 - ), Board member
  - Institute of Financial Planning
    - Independent Investigator for Disciplinary Committee and hearing panelist (2000-2015)
    - Member, Ethics and Practice Standards Committee (2008-2015), re-drafted the Disciplinary Procedures & Code of Ethics
  - Chartered Insurance Institute – member of committees setting exams and marking standards



### **Personal Investment Authority Ombudsman Bureau, London: 1995**

#### **Ombudsman and Deputy Chief Executive**

- Made binding decisions on consumer financial services complaints in quasi-arbitral proceedings and helped lay down the rules applied to complaints by this new organization
- Made 72% of the Decisions issued while authorized to make binding rulings.

### **Insurance Ombudsman's Bureau, London : 1991 - 1995**

#### **Ombudsman's Assistant**

- Investigated consumer financial services complaints, negotiated settlements, drafted Decisions and provided support to Ombudsmen and other assistants on law, regulation and casehandling
- Resolved the highest number of cases for the last eighteen months in post of any casehandler in the financial services section and 615 cases in all

### **Broadcaster, lawyer, writer: 1990-1994**

- Advised arbitrators and lawyers on how to handle international disputes
- Wrote scripts & gave interviews for BBC World Service on banking, sport and international law

### **Boston University School of Law, Boston, USA: 1989 - 1990**

- Research Assistant in international business law to Professor WW Park

### **Swiss Institute of Comparative Law, Lausanne, Switzerland : 1985 - 1989**

#### **Staff Lawyer responsible for the English-speaking legal systems**

- Advised the Swiss Government, courts, arbitrators and private clients on the laws of the English-speaking world and dispute resolution worldwide
- Wrote Jurisdictional Problems in International Commercial Arbitration - A Study of Belgian, Dutch, English, French, Swedish, US and West German Law (1989)
- Van Calker Scholar (1985) – research into comparative international arbitration law

### **Pupil barrister in international trade and general civil chambers 1983-1985**

#### **EDUCATION:**

- B.A. (Jurisprudence), St. Anne's College, Oxford - 2:1 equivalent 1982
- LL.M. Banking Law, Boston University - Outstanding Graduate Prize 1990

#### **QUALIFICATIONS:**

- CISI Investment Adviser Diploma 2020
- CAMS & CISI Certificate in Financial Crime 2018
- CISI Diploma in Investment Compliance 2009 (Regulation and Compliance with merit)
- CII Certificates of Financial Administration (Life) & Equity Release & CF8 Long-term care 2008
- Fellow of the Chartered Institute of Arbitrators 2006
- CII Advanced Financial Planning Certificate 2001, Mortgage Advisers Qualification 1999
- Member of English Bar 1983 and New York Bar 1991 (exam passed in 1990)

#### **PROFESSIONAL ASSOCIATIONS:**

- Swiss Arbitration Association, American and New York Bar Associations, Personal Finance Society, Society of Mortgage Professionals, Chartered Institute of Arbitrators, Chartered Institute for Securities and Investment, American Law Institute

#### **LANGUAGES:**

- French (fluent), Hebrew and German