



## ADAM SAMUEL

BA LLM FCI Arb, DipPFS, Certs CII (MP&ER), MCISI  
Attorney and Counsellor at Law, Member of the New York Bar  
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**Compliance and dispute resolution specialist in the areas of financial services, banking, consumer, computer and international business law**

### 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 2010  
[http://www.youtube.com/watch?v=o2Oq\\_XdFnm4](http://www.youtube.com/watch?v=o2Oq_XdFnm4)
  - Expert witness on financial services compliance & risk, notably in *van Geens v. Jyske Bank*, Gibraltar Supreme Court 2014
- **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
  - training organizations in the UK and Cyprus
- **Arbitrator, panelist, adviser and lawyer in international business disputes**
  - Made over 100 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 and senior managers & conduct of business
  - 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**
  - 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 Diploma in Investment Compliance 2009 (Regulation and Compliance with merit)  
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)  
CII Certificates of Financial Administration (Life) & Equity Release & CF8 Long-term care 2008  
CISI Certificate in Financial Crime 2018

#### **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