



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
Telephone 07900 248150 E-mail AdamSamuel@aol.com
Website www.adamsamuel.com

Lawyer, compliance and dispute resolution specialist in 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 & wrote manual on the subject in 2010 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 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, 1st ed (2005) and 2nd 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**
 - 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:

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