



ADAM SAMUEL

BA LL.M. FCI Arb, DipPFS, Certs CII (MP&ER), MCISI

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 centers

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

- **Financial Services Consulting**
 - Solutions, advice, training and expert reports on compliance, dispute resolution, law & regulation
 - Upper Tribunal Member, 2023 - present
 - Expert witness in the English & Gibraltar Courts on financial services compliance & risk
 - Delivered Hong Kong Securities Institute lectures on advice standards & wrote manual on the subject in 2010
- **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 200 WIPO and Hong Kong International Arbitration Center domain name decisions
 - Court of Arbitration for Sport panelist 2021-present
 - Member of Chartered Institute of Arbitrators' Practice & Standards Committee (2005-2012) and the Arbitration Sub-Committee (2003-12 -Chairman 2010-2012)
 - Tribunal secretary & counsel to lawyers & arbitrators on Swiss, US, French, Nigerian & English law
- **Law Teacher**
 - Part-time visiting lecturer on international arbitration at Universities of Westminster (2010-present) & Brunel (2016)
 - Vis East Moot Panelist 2020-2022 for oral arguments and 2020-present for written submissions
- **Author**
 - Compliance – A Short Book, 2024
 - Consumer Financial Service Complaints and Compensation, 1st ed (2005) and 2nd ed (2017)
 - Butterworths Financial Regulatory Service, chapters on complaints, approved persons, COCON, ESG, product governance & COBS
 - Regular analysis on financial services compliance for Compliance Monitor (2004-present), Complinet (2002-2004 & 2006-2020) & Compliance Resource Network (2004-2005 & 2010-2020)
 - Author of “a Note from UK” on dispute resolution in “Alternatives” (2019-present)
- **Ethics and professionalism for financial services**
 - Financial Planning Standards Board (2020-2021), 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



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 & international legal issues

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:

Fellow, Chartered Institute of Arbitrators 2006 Member of English (1983) & New York Bar (1991)
CISI Certificate in Advanced Financial Planning 2021, 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
CII Advanced Financial Planning Certificate 2001, Mortgage Advisers Qualification 1999

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: English (native speaker), French (fluent), Hebrew and German