



香港國際仲裁中心
Hong Kong International
Arbitration Centre

ADAM SAMUEL

BA LL.M. FCI Arb, DipPFS, Certs CII (MP&ER), MCSI
Attorney and Counsellor at Law, Member of the New York Bar
Tel & Fax 02073239171 Mobile 07900 248150
Website www.adamsamuel.com E-mail AdamSamuel@aol.com

Lawyer, consultant and dispute resolution specialist in the fields of financial services compliance and consumer, computer and international business law

Financial Services Compliance Consultant and Lawyer : 1996 - now

- Provides solutions, advice, training and expert reports on financial services law and regulation
- Customers have included
 - three major overseas financial services regulators (on three different continents)
 - law firms in England, Switzerland, Germany & the USA
 - major banks and insurers
 - independent financial adviser firms and networks
 - trade and professional bodies for financial advisers
- Author of Consumer Complaints and Compensation: A Guide for the Financial Services Market
- Wrote the Hong Kong Securities Institute's Guide to the SFC Code for Intermediaries
- Writes 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).
- Author of chapters on conduct of business, complaints and approved persons regulation and editorial board member of Butterworths Financial Regulation Service
- Institute of Financial Planning
 - Independent Investigator for Disciplinary Committee and hearing panelist
 - Member, Ethics and Practice Standards Committee
 - Re-drafted the Disciplinary Procedures & Code of Ethics
- Arbitrator, panelist, adviser and lawyer in international business disputes
- Made over 75 WIPO and Hong Kong International Arbitration Center decisions on domain name disputes
- Member of Chartered Institute of Arbitrators' Practice & Standards Committee and Chairman of the Arbitration Sub-Committee

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 worked with Principal Ombudsman to lay down the rules to be applied to complaints throughout this new organization.
- Made 72% of the Decisions issued while authorized to make binding rulings.
- Provided support to staff and financial services regulators on case handling techniques, law and investment practice.

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 casehandlers on financial services 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.

Commercial Lawyer and Consultant : 1987-1991

- Advised arbitrators and lawyers on international dispute resolution
- Wrote scripts and gave interviews for BBC World Service on banking, European, sport and international law 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 world

Advised the Swiss Government, courts, arbitrators and private clients on a wide range of legal issues concerning the English-speaking world and dispute resolution worldwide and did research

- Wrote Jurisdictional Problems in International Commercial Arbitration - A Study of Belgian, Dutch, English, French, Swedish, US and West German Law.
- Awarded van Calker Scholarship (1985).

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:

Member of English Bar 1983 and New York Bar 1991
Fellow of the Chartered Institute of Arbitrators 2006
CISI Diploma in Investment Compliance 2009 (Regulation and Compliance with merit)
Mortgage Advisers Qualification 1999
Advanced Financial Planning Certificate 2001
Certificate of Financial Administration (Life) 2008
Certificate of Equity Release 2008
CF8 – Long term care insurance 2008

PROFESSIONAL ASSOCIATIONS:

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

LANGUAGES

French (fluent) Hebrew and German