



## **ADAM SAMUEL**

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

Attorney and Counsellor at Law, Member of the New York Bar

Telephone 07900 248150 E-mail [AdamSamuel@aol.com](mailto:AdamSamuel@aol.com) Website [www.adamsamuel.com](http://www.adamsamuel.com)

**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**

- **Arbitrator, UK Tribunal member, panelist, adviser and lawyer in international business disputes**
  - Member, United Kingdom Upper Tribunal (Tax and Chancery) 2023 - present
  - 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
- **Financial Services Consulting**
  - Solutions, advice, training and expert reports on compliance, dispute resolution, law & regulation
  - Expert witness in the English & Gibraltar Courts on financial services compliance & risk
  - Delivered Hong Kong Securities Institute lectures and manual on advice standards 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
- **Law Teacher**
  - Part-time visiting lecturer at Universities of Westminster (2010-present) & Brunel (2016)
  - Vis East Moot Panelist for oral arguments 2020-2022 & 2026 (chairing 7 out of 8 and a quarter-final of the Africa Moot in 2026) and 2020-present for written submissions
- **Author**
  - Compliance – A Short Book, shortlisted, best Short Book, British Business Book Awards 2025
  - Consumer Financial Service Complaints and Compensation, 1<sup>st</sup> ed (2005) and 2<sup>nd</sup> ed (2017)
  - Butterworths Financial Regulatory Service (2007-2025), chapters on complaints, approved persons, product governance, training and competence, COCON, ESG, FINMAR, DISC, Insurance Conduct of Business Sourcebook, funeral planning and claims management conduct of business & COBS 3, 4,6-9 and 13-22
  - Regular analysis on financial services compliance for Compliance Monitor (2004-2026), Complanet (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 CEO**

- 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, Personal Finance Society, Society of Mortgage Professionals,  
Chartered Institute of Arbitrators, Chartered Institute for Securities and Investment

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