

Guidelines for Nomination Submission

General Instructions for All Categories

- All responses must be factual, concise, and supported with evidence wherever possible.
- Use clear, business-oriented language that highlights achievements and impact.
- Avoid jargon or internal acronyms that are not widely understood.
- Word limits, where mentioned, must be strictly followed.
- Supporting documents must be uploaded in PDF or Word formats, and not exceed 20 MB each.
- Ensure that the information provided is accurate and verifiable.
- Self-nominations and third-party nominations are both allowed.

Category-wise Guidelines

1. Compliance Champion

Purpose: Highlight the nominee's leadership in advancing compliance and ethics across the organization and/or industry.

How to Fill:

- Focus on strategic initiatives taken by the individual, not just operational tasks.
- Emphasize their influence on decision-making, stakeholder engagement, and long-term cultural impact.
- Mention any industry participation (panels, conferences, regulatory consultations).
- Include recognitions or results that show effectiveness (e.g., reduction in incidents, maturity assessments).

2. Compliance 40 Under 40

Purpose: Spotlight emerging leaders under 40 who have shown excellence in their early career stages.

How to Fill:

- Confirm that the nominee is under 40 as of the cut-off date.
- Detail early-career achievements with measurable impact.
- Highlight the nominee's growth potential, unique perspectives, and how they have challenged the status quo.
- Include recognitions, initiatives led, or mentoring roles, if applicable.

3. Excellent Performer

Purpose: Recognize consistent, high-performing compliance professionals with a track record of excellence.

How to Fill:

- Provide examples of day-to-day reliability, initiative, and diligence.

- Highlight contributions to improving controls, processes, or awareness.
- Where possible, include testimonials or internal metrics that reflect performance.
- Avoid generic descriptions—focus on specific accomplishments within the last year.

4. Compliance Team of the Year

Purpose: Celebrate a team that has demonstrated collaboration, execution, and ethical leadership.

How to Fill:

- Identify key projects or initiatives the team has undertaken.
- Describe how the team worked together—cross-functional collaboration, shared goals, and collective decision-making.
- Show the impact on business outcomes, audit ratings, or compliance risk posture.
- Include team structure, size, and roles to provide context.

5. Compliance Program of the Year

Purpose: Recognize an exemplary compliance program that meets prescribed hallmarks and drives real results.

How to Fill:

- Describe the design and framework of the program (e.g., governance, policies, monitoring).
- Explain how it aligns with global standards (e.g., DOJ, ISO, SEBI/IRDA guidelines).
- Share updates or improvements made in the past year.
- Include quantitative or qualitative metrics demonstrating its success (e.g., reduced incidents, employee participation).