

RegTech Insight Awards 2020 Winners' Report



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About RegTech Insight Awards 2020

Congratulations to the winners of A-Team Group's 2020 RegTech Insight Awards, presented – due, of course, to the unusual conditions in which we now find ourselves – via virtual channels, and accompanied by a winner's certificate.

The annual awards recognise both established solution providers and innovative newcomers, seeking to herald and highlight RegTech solutions that throughout the year have successfully improved firms' ability to effectively respond to the evolving and ever more complex regulatory requirements across the global financial services industry.

Award categories were created by A-Team Group's editorial team, with input from our expert and independent advisory board. They range from function-specific (Best Regulatory Data Solution, Best Trade Surveillance Solution, Best Compliance as a Service Solution) to regulation-specific (Best GDPR Solution, Best Software Solution for FRTB) to innovation-focused (Best AI Solution for Regulatory Compliance, Best Innovation Technology for Regulatory Compliance); as well as a special Editor's Choice award for Best Regtech Practitioner.

Although we were sad not to be able to celebrate in person as in previous years, we were blown away by the exceptional response to the fourth incarnation of these highly coveted accolades, and we look forward to resuming our usual celebratory soirée, bigger and better than ever, in 2021.

Thank you to all our readers who nominated and voted for their preferred RegTech providers and to our advisory board for its invaluable contribution to the RegTech Insight Awards. We are delighted to lead the charge in celebrating both innovation and advancement in this fast-paced sector, and send our heartiest congratulations to all who took part.

Laurie McAughtry
Editor
RegTech Insight
A-Team Group



I'd personally like to thank our advisory board for their time and valuable input.

Mary Jane Ajodah

Vice President, Strategy, BNY Mellon

Sophia Bantanadis

Head of Regulatory Strategy & Policy for TTS
Innovation Citi Innovation Lab Treasury and Trade
Solutions, Citi

Chris Beevor

Head of Compliance – Regulatory & Development
Group, GAM Investments

Robin Doyle

Managing Director, Office of Regulatory Affairs, JP
Morgan Chase

David Ehrich

Co-Founder and Executive Director, AIR

Chad Giussani

Head of Transaction Reporting Compliance,
Standard Chartered

Raymond Hanson

Managing Director, Head of Global Markets
Program Delivery & Regulatory Technology, Credit
Suisse

Dawd Haque

Global lead for Regulatory Market Initiatives,
Transformation & Strategy, Deutsche Bank AG

Karan Jain

Head of Technology, WestPac

Richard Maton

Executive Board Member and Strategic Initiatives
Lead, International RegTech Association

Paul Clulow Phillips

Managing Director, Managing Director – Co-Global
Head of Markets compliance, Global Head of
Surveillance, Société Générale

Niresh Rajah

Head of Regulatory, Information, Data, Governance
& Management, Barclays

Kai Schrimpf

Director, Financial Crime Compliance, Credit Suisse

Colin Ware

Global Head of RegTech, BNY Mellon



**ISO 6166
ISIN**

ISO Standards: the Global Market Language

Recognized and used around the world. Harmonizing the full lifecycle of investments for investors and financial firms. Created and maintained by the industry they serve. The ISO financial standards are visible proof of the power of group commitment.

One global language opens a world of possibilities.

Derivatives Service Bureau

Winner: Best Sell-Side Regulatory Data Solution

The Derivatives Service Bureau is a global numbering agency for OTC derivatives serving the needs of market participants through the allocation of International Securities Identification Numbers (ISINs), the Classification of Financial Instruments (CFI) and Financial Instrument Short Name (FISN), all globally recognised and adopted ISO standards for identifying, classifying and describing financial instruments.

The DSB has also been designated as the sole provider of the Unique Product Identifier (UPI) by the Financial Stability Board (FSB) and is working with stakeholders to make the UPI globally available.

Serving almost 500 institutions (70% free of cost), with an underlying technology platform that is built to support multiple taxonomies of definitions and descriptive data, as well as numbering in near-real-time, the DSB is motivated to bring greater transparency and integration within the OTC derivatives market, enabling institutional investors to standardise data and better control operational risk. Users can access the DSB through a web interface, by accessing data in daily update files or by direct integration to front-office systems for trading and order management.



The DSB is a legal subsidiary of the Association of National Numbering Agencies (ANNA). With widespread industry representation, expertise and collaboration at its core, the DSB's history, pedigree and expertise are rooted in ANNA, with its broad experience and overview of handling both on and off-exchange ISINs for all asset classes. If you would like to use the Derivatives Service Bureau please visit the DSB <https://www.anna-dsb.com/>

About Derivatives Service Bureau

The Derivatives Service Bureau is a global numbering agency for OTC derivatives serving the needs of market participants through the allocation of CFI codes, FISNs and ISINs, all globally recognised and adopted ISO standards for identifying, classifying and describing financial instruments. The DSB has also been designated as the sole provider of the Unique Product Identifier (UPI) by the Financial Stability Board (FSB) and is working with industry participants to make the UPI globally available.

www.anna-dsb.com



THE FINANCIAL CONDUCT DICTIONARY

S

Soteria

Securities / si-kyoo-i-tee /
noun A term used to describe stocks and shares.

Securitisation / si-kwair-i-tay-zay-shun / n. A mortgage is secured on the house. It can be sold later and sold again.

Solvency / sol-vuh n-see / noun
recorded in 1720-30; solv(ent) 1. solvency; ability to pay all just debts.

Soteria / sə(ʊ),tɪəriə / n. 1. Real-time integrated compliance and surveillance SaaS solution that captures and stores i) audio, video, and electronic communications data ii) market data, news and observations iii) order management data and iv) CRM data, to create a single and fully-audited, global view. 2. Externally pen-tested and globally dispersed tier-4 secure cloud infrastructure. 3. Real-time search, alerts and analytics, workflow and processing, risk monitoring management, data retention and jurisdictional control, and full trade reconstructions, in a fully audited and immutable ledger. Also integrates with market abuse systems.

Share / share / A unit used as mutual funds, limited partnerships, and real estate investment trusts.

Shareholder / [j]-houlda / noun shareholder; plural noun: shareholders; noun: share holder; plural noun: share holders

SPV / n. Special Purpose Vehicle is a non-trading company that exists solely for buying, selling and property. Buy to let finance for SPVs is although rates are higher.

**10 top tier 1 banks use already!*


Integrated with RIMES!

Exec board is all over this! We can centralise our data silos, protect our Senior Managers, and save a fortune on compliance costs... Let's discuss asap!

Paul

scan this



 **SOTERIA**

Enquiries

Global Business

T: +44 (0)207 283 2090

E: enquiries@soteria.global

A: No.2 Royal Exchange, London, EC3V 3LL

W: www.soteria.global

Winner: Best Vendor Solution for Dodd-Frank

SOTERIA's mission is to simplify, consolidate, and enable truly proactive management of all data and regulatory obligations for firms within the financial sector.

Whether structured or unstructured data, SaaS solution SOTERIA enables financial firms to compliantly capture, cleanse, store and surveil any type of audio, video or electronic business communication, or indeed market data, in real-time, and in a single, global and hierarchical view, for unparalleled insights. Additionally, its in-built immutable ledger verifies the integrity and completeness of records, and provides full user- and system- audit trails.

Facilitating reliable cloud transformation through its own highly-available and multi-tenanted private cloud infrastructure (proven-secure by penetration tests from 10 of the top 12 tier 1 global banks currently using it), or indeed through the clients' chosen cloud vendor, firms can implement true 'DataVeillance' while consolidating their architectural footprint and operational overheads.

Using embedded 3rd party Audio Intelligence and NLP tools, as well as in-built end-to-end workflow, SOTERIA provides real-time monitoring and alerting, custom reporting to fulfil all major regulations including MAR, MiFID II, GDPR and SM&CR, immediate Trade Reconstruction with containerised Regulator Access, and also the ability to pre-populate other operating systems such as CRM tools or Best Execution Templates, with transcriptions, translations and notes.

A solution that has developed from initially being the in-line voice recording technology underpinning 'Truphone Mobile Recording', which it still services, SOTERIA now drives compliance, DataVeillance, risk-mitigation and business efficiency for over 180 financial firms and is the first solution to successfully integrate with trading surveillance tools, including RIMES.



About SOTERIA

SOTERIA enables financial organisations worldwide to compliantly capture, store and surveil business communications and market data in real-time, all within a single, global and hierarchical view. Additionally, SOTERIA's immutable ledger verifies the integrity and completeness of all records, as well as providing full user and system audit trails. SOTERIA's voice recording technology underpins 'Truphone Mobile Recording' and is currently used by 10 of the top 12 tier 1 banks, together with their highly-secure global cloud infrastructure.

www.soteria.global



Compliance Built Better.

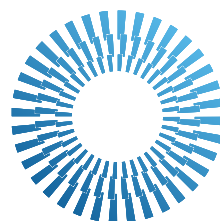
MCO is the creator of **MyComplianceOffice**, a best-of-breed compliance monitoring solution used by hundreds of compliance teams worldwide to reduce the risk of misconduct.

New York | Texas | Dublin | Singapore

Contact us to learn how MCO can help you to manage compliance and reduce risks.

mycomplianceoffice.com

info@mycomplianceoffice.com | 866-951-2280



MCO
MyComplianceOffice

MyComplianceOffice

Winner: Best Vendor Solution for Managing Conduct Risk

The MyComplianceOffice platform has extensive compliance management capabilities to monitor and manage conflicts of interest in a centralized manner across the organization.

With over 350 customers in 85 countries, firms choose MyComplianceOffice because of its unique integrated platform which addresses:

- Employee compliance monitoring & conflicts of interest
- Third party due diligence and risk management
- Trade surveillance and suitability monitoring, including a transactional conflict of interest module that detects conflicts that occur during the life cycle of an investment banking or private transaction deal.

MyComplianceOffice helps companies, large and small, meet the evolving regulatory needs and expectations and ensure compliance more easily.



About MyComplianceOffice

MCO provides compliance management software that enables companies around the world to reduce their risk of misconduct. Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of employees, third-party vendors and other agents of the firm. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get clients up and running quickly and cost-efficiently.

mycomplianceoffice.com





Get the Operational Risk Management Edge

Wolters Kluwer's offerings help companies bridge the gaps in their risk and compliance structure to improve complete regulatory readiness. Our industry-leading expertise and technology cover

- Operational Risk Management
- Regulatory Insight
- Regulatory Change Management
- Compliance Monitoring
- Model Risk Governance

Ready to take the next step?

Contact Christian.Broere@wolterskluwer.com to learn more about what Wolters Kluwer can do for you.



Winner: Best Vendor Solution for Managing Operational Risk

OneSumX® for Operational Risk enables organisations to automate and simplify the process of collecting, storing, analysing, tracking and reporting on information relevant to your operational risk framework. It allows you to record risk events, remediate issues, complete risk and control assessments, manage key risk indicators, audit findings, and much more. OneSumX for Operational Risk is exclusively focused on Financial Services and enables your institution to consolidate your risk frameworks and assess risk with context.



Wolters Kluwer receiving award from their youngest co-worker

About Wolters Kluwer

Wolters Kluwer (AEX: WKL) is a global leader in information services and solutions for professionals in the health, tax and accounting, risk and compliance, finance and legal sectors. Wolters Kluwer reported 2019 annual revenues of €4.6 billion. The company, headquartered in Alphen aan den Rijn, the Netherlands, serves customers in over 180 countries, maintains operations in over 40 countries and employs 19,000 people worldwide.

wolterskluwer.com



SURVEIL-XTM

The First AI-Powered True Holistic Surveillance Solution

- Analyze All Trades & Communications
- Accurately Detect Market Abuse & Intent
- Discover Previously Unknown Risk
- Automate Trade Reconstruction
- Prove Full Global Regulatory Coverage



Fighting financial crime.
It's what we do.

NICE ■ **ACTIMIZE**
niceactimize.com/compliance

Winner: Best Trade Surveillance Solution for MAD/MAR

NICE Actimize's SURVEIL-X Holistic Trade Compliance platform, the industry's first AI-Powered True Holistic Surveillance Solution, analyzes and correlates all trade related data, includes 150+ out of the box models, covers 25 asset classes, and monitors 12 communication types. Taking trade surveillance to a new level, the SURVEIL-X Holistic Trade Compliance platform is cloud based, and provides complete surveillance coverage for all major regulatory needs including MAD/MAR requirements.

SURVEIL-X breaks down barriers between data silos enabling deeper analysis and true risk detection, and goes beyond simple thresholds and detection rules to correlate all relevant data sources. SURVEIL-X also connects to, ingests and analyzes data from many real-time data sources, including news, and market data.

The SURVEIL-X Markets surveillance capability monitors trades across the full trade lifecycle with order and execution-based models. It covers a range of risky behavior such as market abuse, fair dealings, high frequency trading, Dodd Frank swaps surveillance, and benchmark monitoring. SURVEIL-X's monitoring capabilities leverage Natural Language Understanding (NLU) techniques, and its models are tuned specifically to identify context in financial communication information in multiple languages. SURVEIL-X supports analysis of over two dozen languages, and it can also support voice-to-text conversion of communication data.

About NICE Actimize

NICE Actimize provides financial crime and compliance solutions for Markets, Communication, Suitability and Conduct Surveillance, offering complete coverage to enable FSOs to more efficiently comply with current regulatory requirements as well as future directives. NICE Actimize's compliance solutions assist customers in the capture of trade-related conversations and trade data, analyzing them for potential risk, and automatically correlating all the activities around an event for trade reconstruction. The company's compliance solutions also allow firms to achieve holistic trade compliance.

niceactimize.com/compliance

NICE ■ ACTIMIZE
SURVEIL-X™

Winner: Best Regulatory Alert Management Solution

AUTOMATED AML INVESTIGATIONS

The Caspian AML Investigator platform improves the efficiency of a financial institutions alert investigations team. It replicates expert human decision making and delivers detailed explanations for every investigation in a standardised format mitigating error and consistency risks.

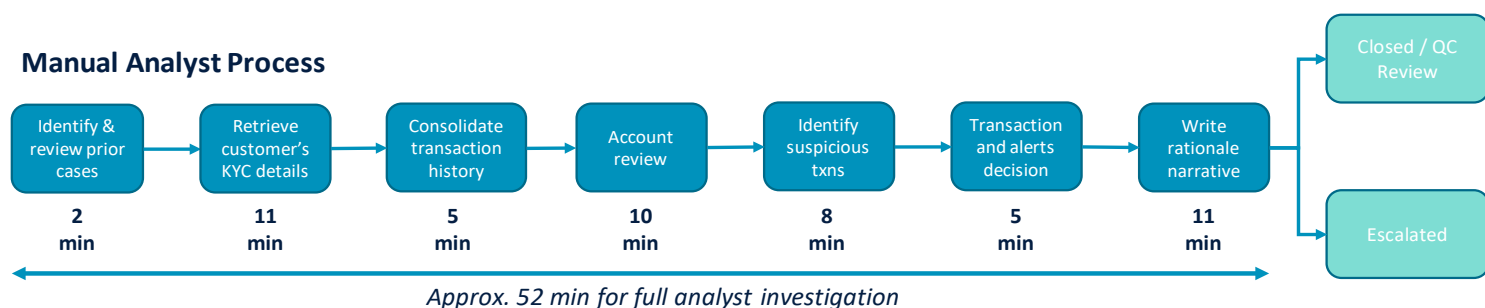
THE PROBLEM

Typically over 90% of all AML investigations carried out by analysts are closed at level 1. In addition to this, humans process and analyse information slightly differently which can lead to consistency issues and decision errors.

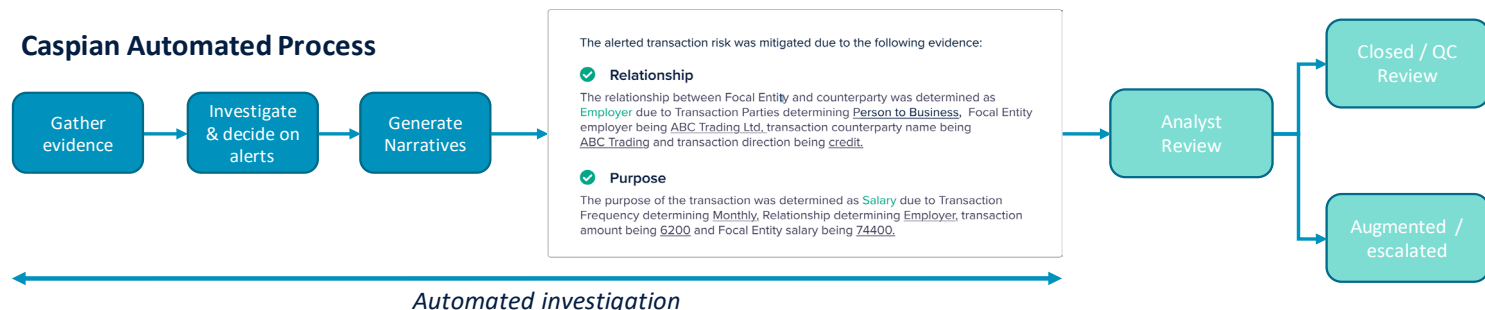
At a time when all industries are under pressure to reduce expenditure, the Caspian AML Investigator, working with a global bank has increased operational efficiencies in AML investigations by over 40% whilst also dramatically improving Quality Assurance.

THE SOLUTION

Manual Analyst Process



Caspian Automated Process



The platform automatically gathers alerts and supporting data, before generating evidence and conducting a detailed risk investigation within seconds. A fully human readable and consistent report including risk factors and recommended decision is produced every time.

Winner: Best Regulatory Alert Management Solution

The Caspian AML Investigator works by replicating the process and understanding of the combined expertise of the best human investigators, automating the tasks that are best suited to machines while leaving humans to focus on those tasks that they do best.

At the heart of the platform are a collection of Investigator Agents, each of which is a machine process that gathers information about every transaction in a case and makes judgements backed up by evidence.

These Investigator Agents form a network, building a larger understanding of the case. A separate Decision Module then uses this evidence to make a final judgement about the degree of risk it represents – along with a complete explanation of how that decision was reached. The Decision Module has been trained to recognise ~140 key attributes that experts apply when making AML TM risk decisions.

In most cases the decision network can make an authoritative judgement, ready for QA by the existing risk management processes of a financial institution. But in other cases, there may be insufficient evidence – in this instance the decision network will pinpoint exactly what information is required to close the case, saving the overhead of a human analyst having to rework the investigation from scratch.



About Caspian

Caspian is a world leader in automated AML investigation technology that harnesses machine learning and human expertise to help global banks fight money laundering and financial crime. The platform delivers proven cost efficiencies by improving analyst productivity, consistency and accuracy whilst placing the explanation of risk decisions and regulator integrity at its core.

www.caspian.co.uk

CASPIAN

On IFRS 9, we rate a 10.

IFRS 9 has upended the world of accounting. We help you come out on top. Bloomberg's award-winning data solution saves time and resources across the front office and accounting department. Ensuring you get accurate results, every time.

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**RegTech Insight
Awards 2020**

Winner of Best Buy-Side
Regulatory Data Solution

Bloomberg

Winner: Best Buy-Side Regulatory Data Solution

Firms' regulatory and compliance data requirements are extensive and constantly evolving, requiring complex and defensible data linkages. Bloomberg's One Data approach addresses conflicting needs and challenges by creating data consistency across risk, operations, technology and business departments.

- **A single data source:** a unified data model to reduce the need for reconciliations, from business to regulatory and risk workflows.
- **Unrivalled coverage:** nearly 13 million active instruments on a broad data model of nearly 38,000 data fields, 4.3M legal entities and 165 exchanges covering security master information, financial analytics and entity data.
- **Solving existing and upcoming regulatory challenges:** FRTB, LIBOR migration, SFTR, MiFID II and UK FCA Transparency regime, withholding tax data such as Swiss Stamp Tax, IFRS 9 SPPI and ECL, IFRS 13 Fair Value Hierarchy, short-selling, sanctions data for KYC and ML workflows, liquidity assessment data to meet ESMA liquidity stress testing guidelines, and more.
- **All-round expertise:** solutions informed by real-world experience working hand-in-hand with industry experts, clients and standard setters across the globe.
- **World-class support:** Clients benefit from direct access to our global data team and engineering staff that maintain all of Bloomberg's content and delivery mechanism whether it is real-time or end-of day.

About Bloomberg

Bloomberg's **regulatory and accounting data** products enable banks, asset managers, insurers and other financial organizations to navigate an increasingly complex liquidity, regulatory and accounting disclosure environment. Our products are developed by industry experts who understand the challenges faced by sell-side and buy-side firms today.

www.bloomberg.com/professional/product/regulatory-accounting-data

The Bloomberg logo is displayed in black text.

Helping to address your SFTR requirements

Prepare for the Securities Financing Transactions Regulation
with our full end to end reporting solution for SFTs.



The global leader in securities finance solutions

Learn More

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APAC

+65 6922 4200

IHS Markit and Pirum Systems

Winner: Best Solution for Securities Financing Transactions Regulation (SFTR)

The IHS Markit and Pirum Systems SFTR Solution offers the securities finance industry the expertise and flexibility needed to meet the challenge set by SFTR reporting regulation. A modular fully hosted SFTR reporting solution that combines IHS Markit's pedigree in regulatory reporting and data management, with Pirum's 19 years of expertise in securities finance post trade reconciliation and automation.

Providing a full turnkey solution and enabling reconciliation of trade and collateral activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants full two way connectivity to all required Trade Repositories.



About IHS Markit

IHS Markit is a world leader in critical information, analytics and solutions for the major industries and markets that drive economies worldwide. We deliver next-generation information, analytics and solutions to customers in business, finance and government, improving their operational efficiency and providing deep insights that lead to well-informed, confident decisions. IHS Markit has more than 50,000 key business and government customers, including 85 percent of the Fortune Global 500 and the world's leading financial institutions. Headquartered in London, IHS Markit is listed on the Nasdaq under the symbol INFO and committed to sustainable, profitable growth.

www.ihsmarkit.com



About Pirum

Pirum offers a secure, centralized automation and connectivity hub for global securities finance, enabling complete automation of the post-trade and collateral lifecycle across repo and stock loan. Our position within the Securities Financing market, enables clients to seamlessly connect with counterparts, triparty agents, trading venues, market data companies & CCPs as well ensuring SFTR regulatory adherence. Pirum delivers highly innovative and flexible services, tailored to fully support the industry's complexities and evolving business processes. Global Post-Trade Service Provider of the year (2018) and Collateral Connect voted Best Software Solution (2018).

www.pirum.com

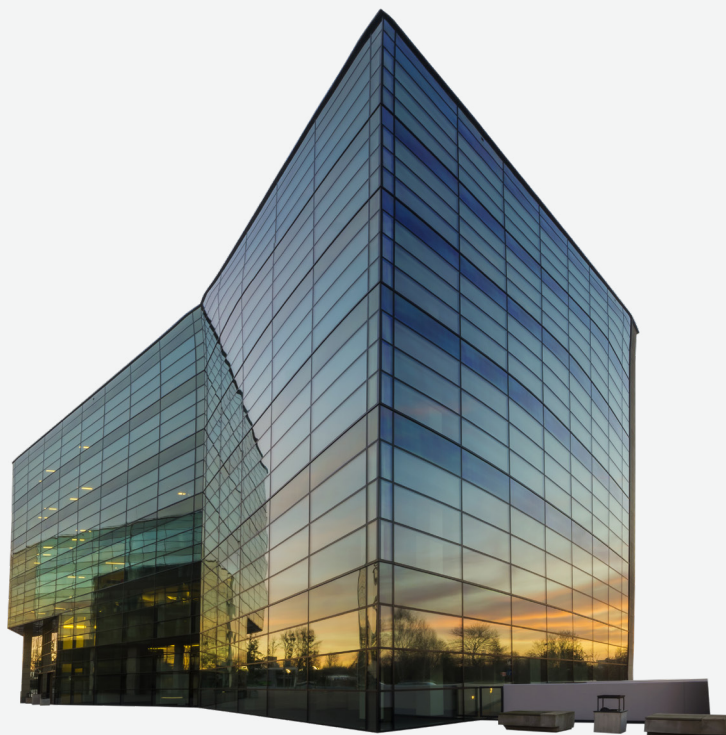




BUREAU VAN DIJK

A Moody's Analytics Company

Some see just a business



To us it's a subsidiary that's part of a corporate group
with 712 entities, linked to 2 PEPs,
and "sanctioned by extension"



Welcome to the business of certainty

Register for your free trial:

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Bureau van Dijk a Moody's Analytics Company

Winner: Best Data Solution for KYC

We deliver the most extensive company information and corporate structures combined with sanctions and other adverse data to deliver new levels of certainty on your third parties, and the individuals behind them.

In our Compliance Catalyst you can combine your data, the best entity data powered by Orbis, and flexible due diligence screening. Our Compliance Catalyst is a game changer because nothing else combines data, technology and people power in a single platform.

It streamlines your know your customer (KYC), anti-money laundering (AML) and anti-bribery and corruption (ABAC) research and makes your client onboarding and customer due diligence more efficient.

We can help you automate your processes, including:

- confirming a company's legal identity
- fast risk screening to help you prioritise resources
- assessing who owns them and other companies they're linked to – even indirectly
- identifying individuals who might be PEPs or sanctioned
- assessing other risk such as country, political, financial and so on
- triggering actions based on data points
- monitoring your third parties for changes

Register for a free trial at bvdinfo.com



Bureau van Dijk, a Moody's Analytics Company

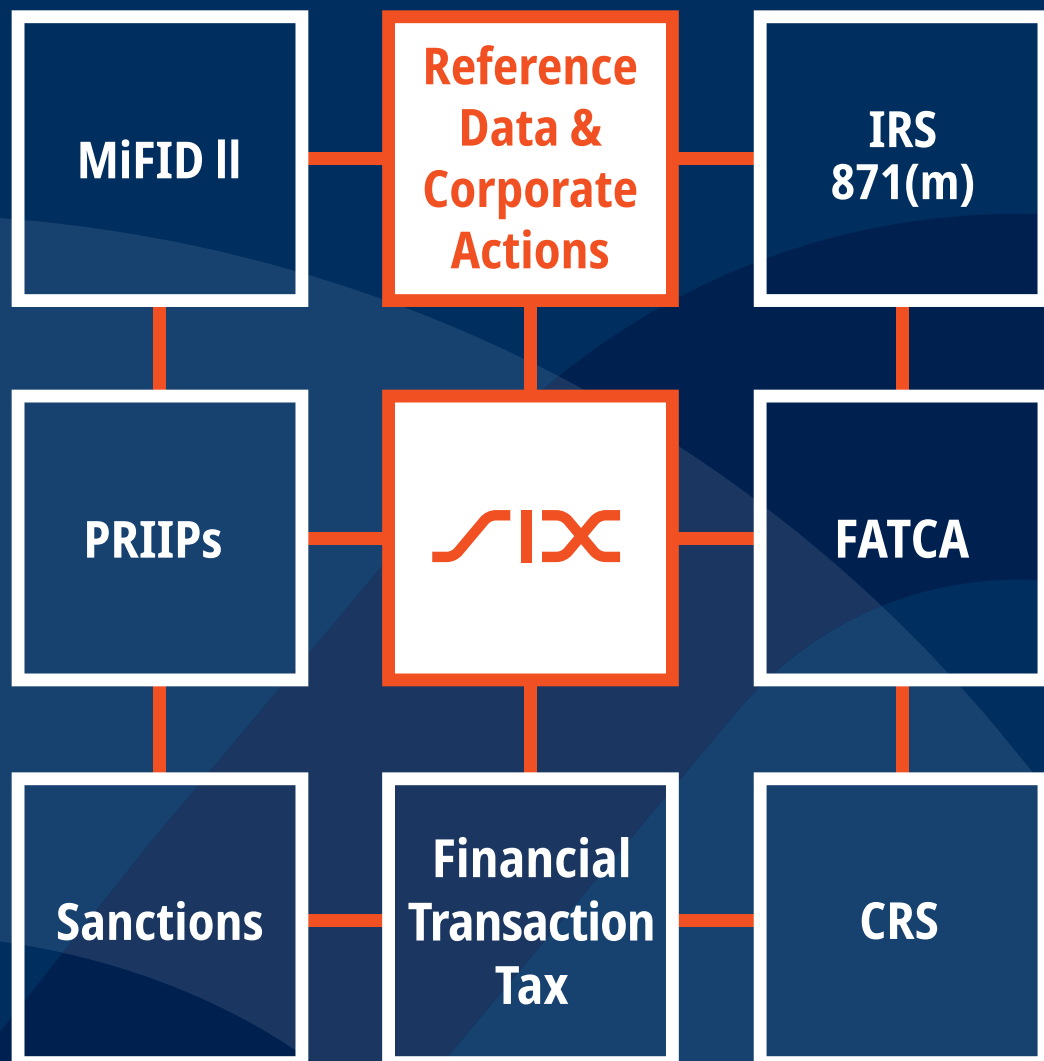
Bureau van Dijk, a Moody's Analytics Company, captures and treats entity and company data from hundreds of sources to deliver Orbis, the leading entity database. Orbis has information on more than 365 million companies and other entities, and 325 million people. Orbis helps customers make better decisions – it makes it simple to compare companies globally, to understand complex ownership structures, and identify risk. Orbis can be accessed via a contemporary interface, via the company's range of Catalysts which tailor Orbis for specific use cases, including compliance, credit, tax and supplier risk analysis or via a variety of bulk data and API delivery options.

bvdinfo.com



BUREAU VAN DIJK

A Moody's Analytics Company



**Consistent
Regulatory Data**



Winner: Best Data Solution for Tax Compliance

Partnering with the market for better Compliance

As regulations worldwide grow ever more complex, SIX is your partner in becoming, and staying, compliant.

SIX develops compliance data and services in collaboration with customers to ensure alignment with today's industry needs. We aim to make compliance easier by simplifying implementation, enabling automation and reducing total cost of ownership.

Built on our core reference data expertise, our services provide rich regulatory content for more than 60 global regulations. SIX helps its clients remain compliant and competitive.

Comprehensive Data and World-Class Expertise for Efficient, Compliant Operations

Tax regimes, regulations and economic sanctions continue to evolve, creating new standards for reporting, consuming more resources, and threatening significant fines and reputational damage for the unwary.

For 90 years, SIX has been at the side of financial institutions, supporting their compliance teams with powerful, scalable, and now automated data and analysis. As the stakes get higher, the rules more complex, and the pressure ever greater, SIX remains a trusted partner for tax and compliance data and services.



About SIX

SIX operates and develops infrastructure services in the Securities & Exchanges, Banking Services and Financial Information business units with the aim of raising efficiency, quality and innovative capacity across the entire value chain of the Swiss financial center. The company is owned by its users (122 banks). With a workforce of some 2,600 employees and a presence in 20 countries, it generated operating income of CHF 1.13 billion and Group net profit of CHF 120.5 million in 2019.

www.six-group.com





BUSINESS CONTINUITY AND COMPLIANCE WITH TRUPHONE MOBILE RECORDING

Truphone provides the market-leading mobile recording service that helps financial organisations comply with industry regulation, such as MiFID II. Global by design, Truphone's mobile recording solution works seamlessly anywhere in the world—so you can keep compliant and maintain business continuity no matter the circumstances.

From company headquarters to your living room, we've got you covered.

10 of the world's 12 largest investment banks (plus over 100 financial institutions) trust us to keep their teams compliant worldwide.

- ✓ Secure MiFID II, ASIC and HKSFCC compliance
- ✓ Single global solution simplifies procurement
- ✓ Seamlessly record mobile calls and SMS remotely
- ✓ No compromising call quality or user experience
- ✓ Device and operating system agnostic
- ✓ No apps – use your phones as usual



CLOUD MOBILE RECORDING SOLUTION

Choose to deploy our Cloud recording or integrate with your enterprise recording infrastructure (such as NICE, Verint, VERBA or Actiance).



ON-SITE MOBILE MOBILE RECORDING SOLUTION

Our in-network approach is fast to deploy and adaptable to your business needs. With Truphone, your organisation can comply with regulations without compromise.

For a consultation on mobile recording within your organisation, contact us today.

[Talk to us](#)

Winner: Best Voice and Mobile Recording Solution

Truphone Mobile Recording

Truphone is not unique in providing an in-network call recording solution, but the way we do it is. Global by design, we deliver a single in-network mobile call recording solution that works across all the world's major business hubs. Using patented Call Forking technology, our global voice and SMS recording solution helps your organisation comply with regulations while continuing business as usual.

We deliver an unchanged global user experience and assure evidential weight requirements are met: no other mobile recording solution can do this. Our mobile recording is seamless worldwide – with no delay or degradation of calls – and employees can continue to use features like call waiting, conference calling and voicemail.

Truphone Mobile Recording aids FCA and MiFID II regulation and is trusted by 10 of the world's largest banks.



About Truphone

Truphone believes that connectivity can be easier, smarter and more efficient. Since 2006, we have built state of the art SIM software, intuitive management platforms and a powerful global network to make this a reality. Every day, our technicians engineer better connections between things, people and business to make the world smarter. Headquartered in London, we have 15 offices across four continents and continue to expand globally.

www.truphone.com



Editor's Choice Award: Best RegTech Practitioner

Ian Hollowbread Head of RegTech, ING

Ian Hollowbread was appointed Head of RegTech Labs in January 2019. Ian is globally responsible for RegTech within ING Labs, with a focus on supporting and investing in early stage companies to help address regulatory compliance and pro-actively protect the financial system at large. Ian is an accomplished change manager, with over 15 years' experience across service, operations and regulatory environments. He also brings a wealth of experience and knowledge of post-trade infrastructure and innovation. Ian is an active member of ING UKs Innovation Council and has had responsibility of defining strategy and transformation under ING's Chief Administrators office function.

Most recently, Ian served as Chair to the Association of Foreign Banks RegTech Group and he promotes ecosystem building efforts to help solve some of the fundamental challenges to technology adoption.



Winner: Best Data Management Solution for Regulatory Compliance



Asset Control

Asset Control is the market leader in data management solutions for the financial services industry. Delivered via managed services or on-prem, our solutions help clients simplify complexity and ensure users make the most of their data assets by providing integration, data quality, distribution and data discovery. We service a global client base and our award-winning technology ensures rigorous processes to secure high-quality data, business user enablement and a trusted environment for advanced analytics.

www.asset-control.com



Winner: Best Data Solution for FRTB



NeoXam

NeoXam is a leading financial software company, delivering solutions and services for 150+ customers in 25 countries worldwide. NeoXam is committed to its clients' success: we deliver reliable and scalable solutions, processing more than \$14 trillion worth of assets per day and serving over 10,000 users. Through its combined talents and transparent approach, NeoXam helps buy- and sell-side players address the continuous changes in the financial market industry, to grow and better serve their clients. NeoXam relies on 500+ staff and is headquartered in Paris and has 14 offices across the globe.

www.neoxam.com

Winner: Best Software Solution for FRTB

TickSmith TickSmith

TickSmith combines cutting-edge technology and a deep knowledge in Capital Markets. Its scalable and modular GOLD software platform is crucial in today's data-driven economy. GOLD– an acronym for gather, organize, leverage and distribute– is a robust end-to-end data management and analytics solution optimized for the cloud. Financial enterprises accumulate massive amounts of data that is scattered all over the place and key insights are lost in the mountains of data. TickSmith's GOLD Platform securely processes thousands of data sets, productizes data flows, automates management, enrichment & delivery and enables petabytes of data.

www.ticksmith.com



Winner: Best AI Solution for Regulatory Compliance

smartKYC smartKYC

smartKYC is a highly advanced multilingual search and analysis platform that automatically surfaces risk-relevant and contextually insightful intelligence on your third party at a fraction of the time and cost of a human equivalent. Whether for robo-onboarding, mass remediation projects or enhanced due diligence, smartKYC not only locates relevant intelligence with machine precision but also removes the risk of human error.

www.smartKYC.com



Winner: Best Vendor Solution for Benchmark Regulation

RIMES RIMES Technologies

RIMES is an award-winning data management and compliance specialist that truly understands the challenges faced by its customers. It serves over 350 asset managers, owners, servicers and banks in 40 countries including 60 of the 100 largest global asset managers and 9 of the 10 largest custodians by TAUM.

www.rimes.com



Winner: Best KYC Software for Client On-Boarding

fenergo:

Fenergo Limited

Fenergo is the leading provider of digital transformation, customer journey and Client Lifecycle Management (CLM) software solutions. Its award-winning API-first CLM solutions digitally transform how financial institutions manage clients; from onboarding to KYC/AML and regulatory compliance, data management, ongoing lifecycle management to offboarding. Fenergo empowers financial institutions to deliver seamless, frictionless CX while achieving a single client view across products, business lines and jurisdictions.

www.fenergo.com

Winner: Best Analytics Solution to Address Capital Requirements/Liquidity Risk

MOODY'S
ANALYTICS

Moody's Analytics

Moody's Analytics provides financial intelligence and analytical tools to help business leaders make better, faster decisions. Our deep risk expertise, expansive information resources, and innovative application of technology help our clients confidently navigate an evolving marketplace. We are known for our industry-leading and award-winning solutions, made up of research, data, software, and professional services, assembled to deliver a seamless customer experience. We create confidence in thousands of organizations worldwide, with our commitment to excellence, open mindset approach, and focus on meeting customer needs. For more information about Moody's Analytics, visit our website or connect with us on Twitter or LinkedIn.

www.moodyanalytics.com

Winner: Best Research Management Solution for MiFID II

FACTSET

FactSet - Research Management Solutions

FactSet delivers superior content, analytics, and flexible technology to help more than 128,000 users see and seize opportunity sooner. We give investment professionals the edge to outperform with informed insights, workflow solutions across the portfolio lifecycle, and industry-leading support from dedicated specialists. We're proud to have been recognized with multiple awards for our analytical and data-driven solutions.

www.factset.com

Winner: Best Transaction Cost Analysis Solution for Best Execution



smartTrade Technologies

smartTrade Technologies, pioneer of multi-asset electronic trading solutions, offers innovative technology allowing you to focus on your trading and grow your business while quickly adapting to changing market requirements.

smartTrade provides agile end-to-end trading solutions supporting Foreign Exchange, Fixed Income, Equities, Derivatives, Cryptocurrencies and Money Markets. Our solutions offer connectivity to over 130 liquidity providers,

aggregation, smart order routing, order management, pricing, distribution, risk management and fully customizable HTML5 user interface.

smartTrade works with a variety of clients ranging from banks, brokers and asset managers to corporate firms. LiquidityFX for Foreign Exchange and smartFI for Fixed Income are provided as a fully managed and hosted service, colocated in all the main marketplaces globally.

smartAnalytics, our multi-asset Big Data analysis solution, allows the creation of historical or real time dashboards and reports to interact more effectively with markets and end customers.

www.smart-trade.net



Winner: Best Trade Surveillance Solution for Dodd-Frank Act



Eventus Systems

Eventus Systems is a leading global provider of multi-asset class trade surveillance and market risk solutions. Built on modern technology our award-winning Validus platform is easy to deploy, customize and use while also capable of handling the most complex, high-volume and real-time applications. Today more than 50 Tier 1 brokers, FCM/clearing firms, market centers, buy-side firms and other market participants rely on Validus and our responsive support and product development teams to solve their most pressing regulatory challenges.

www.Eventussystems.com



Winner: Best Solution for Records Retention



SteelEye

SteelEye

SteelEye reduces the complexity and cost of compliance by enabling you to manage your regulatory obligations on a single platform and make better use of your data.

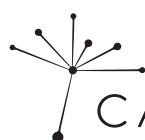
SteelEye's ability to capture, cleanse, index and analyse structured and unstructured data across all asset classes and communication types enables you to effortlessly meet your regulatory needs. And with everything under one lens, you gain fresh insight into your business.

To date, SteelEye has launched solutions for regulatory reporting, trade and communications surveillance, best execution reporting, transaction cost analysis, record keeping, trade reconstruction and advanced analytics for regulations including MiFID II, EMIR, Dodd-Frank and MAR.

steel-eye.com



Winner: Best Compliance as a Service Solution



CAPPITECH

Cappitech

Cappitech is a leading provider of regulatory reporting, best execution analysis and business intelligence solutions for the financial services industry. Cappitech's cross-jurisdiction compliance platform, fully automates the reporting process and provides a comprehensive view on a single, intuitive dashboard for reporting regimes in Europe such as EMIR, MiFID, SFTR, RTS 27/8 as well as global regimes such as Canadian reporting, ASIC, MAS. Offering next-generation analytics, Cappitech is revolutionising the way financial services firms meet their compliance obligations by offering actionable insights that drive sales and improve execution quality derived from compliance data.

www.cappitech.com



Winner: Best Regulatory Reporting Solution



A member of the  **PRYTEK Group**

Delta Capita

Delta Capita Group (a member of the Prytek Group) is a global consulting, solutions and managed services provider. Delta Capita has a unique combination of experience in Financial Services and technology innovation capability. Headquartered in London with offices around the world, we work with the world's top financial institutions to help them comply with regulations, simplify operations, reduce costs and innovate their business models and leverage leading fintechs.

deltacapita.com



Winner: Best Transaction Reporting Solution (for MiFID II/MiFIR/EMIR)



Kaizen Reporting

Kaizen Reporting are regulatory reporting specialists on a mission to transform the quality of reporting in the financial services industry. We've combined regulatory expertise with advanced technology to develop our automated quality assurance services which are unique in providing our clients with full visibility of their reporting quality. Our multi-award winning services are used by some of the world's largest banks, asset managers, hedge funds and brokers. Whether it's MiFIR, EMIR, Dodd Frank, SFTR, or another G20 regulation, we help our clients reduce costs, improve quality and increase confidence in their regulatory reporting.

www.kaizenreporting.com



Winner: Most Innovative Technology for Regulatory Compliance



ACA Compliance Group

ACA Compliance Group ("ACA") is a leading global provider of governance, risk, and compliance technology solutions and services. We partner with our clients to help them mitigate the regulatory, operational, and reputational risks inherent in their business functions. Our clients include leading investment firms, private fund managers, commodity trading advisors, investment companies, broker-dealers, and domestic and international banks. ACA is based in the U.S., Europe, and Asia.

www.acacompliancegroup.com



Winner: Best Regulatory Consultancy



3 Lines of Defence Consulting

3 Lines of Defence Consulting provides consultancy services across multiple disciplines with a strong focus around Governance, Regulation, Risk, Operations & Information Security. We deliver tailored solutions through our team of former industry regulators, C-Suite and Board level practitioners. Their breadth of experience means we provide practical, holistic guidance, delivered with clear business insight. We partner with our clients, covering authorisation right through the whole business development lifecycle. Ask us about 3LDC's advisory services, plus integrated technology & solutions.

3ldc.com



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Best GDPR Vendor Solution

Laven Partners

Best Risk Calculation Engine for Regulatory Compliance

Finastra

Best Vendor Solution for Transactional Reporting (AnaCredit) - CHANGE OF TITLE

ICE Data Services

Best Vendor Solution for Financial Crime

Quantexa

