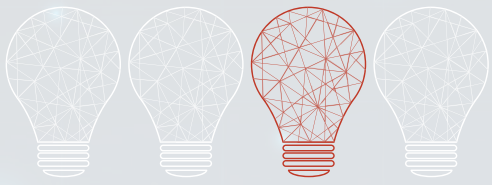


A-Team Innovation Awards 2021 Winners' Report





About A-Team Innovation Awards 2021

Congratulations to the winners of the inaugural A-Team Innovation Awards. The awards celebrate innovative projects and teams across the vendor and practitioner communities that make use of new and emerging technologies to deliver high-value solutions for financial institutions in capital markets.

It has been fascinating to see so many varied entries reflecting the sheer creativeness of companies and solutions available to help solve today's data and technology challenges in capital markets.

The awards included 49 categories ranging from Most innovative KYC investigation & due diligence to Most innovative ESG initiative, Most innovative Covid-19 response, Most innovative data ethics initiative and many more.

The solutions and services awards were carefully selected after review from our expert advisory board, including Anthony Ta, Digital Project Director/Innovation & Watch Leader at Societe Generale, Ian Hollowbread, Head of RegTech at ING Labs, and our editors. Thank you to all the companies that entered the awards and to our advisory board.

If you would like your company to be considered for future A-Team Innovation Awards visit <http://bit.ly/ATGInnovAwards> and enter your details to be notified when we next open for nominations.

We look forward to hearing from you.

Angela Wilbraham
CEO
A-Team Group



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

Julia Bardmesser

SVP, Head of Data, Enterprise Architecture and Salesforce Development, Voya Financial

Beate Born

Head of Strategic Projects Investments & Trading Platforms, UBS

Kathryn Zhao

Global Head of Electronic Trading, Cantor Fitzgerald

“It's been fantastic to be part of the A-Team Innovations Award Advisory Board and to see the innovations coming out of the financial capital markets industry. The quality of entries this year were really awesome and we have seen such a range of strong and innovative companies taking part. Congratulations to all the worthy winners.”

Peter Jackson

Group Director – Data Sciences, Legal & General IM

“I've enjoyed being part of the Advisory Board for the A-Team Group Innovation Awards and been impressed by the sheer range of entries that illustrate such progress and creativity in our industry. I wish the winners the best of luck as they continue their developments.”

Anthony Ta

Digital Project Director/Innovation & Watch Leader, Societe Generale

“It's been great to see so many innovative companies putting forward such creative and advanced solutions to the challenges facing the financial capital markets industry. It's been an honour to be part of the advisory board and the judging process for the A-Team Innovation Awards. Congratulations to all the worthy winners!”

Ian Hollowbread

Head of RegTech, ING Labs



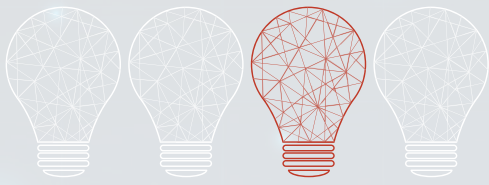
Let's talk about the next wave in AI, Machine Learning & Managed Services

SmartStream's fully integrated suite of solutions and platform services for middle- and back-office operations are more relevant than ever – proven to deliver uninterrupted services to critical processes in the most testing conditions. Their use has allowed our customers to gain greater control, reduce costs, mitigate risk and accurately comply with regulation.

With AI and machine learning growing in maturity, these technologies are now being embedded in all of our solutions and can be consumed faster than ever either as managed services or in the cloud.

Simply book a meeting to find out why over 70 of the world's top 100 banks continue to rely on SmartStream.

info@smartstream-stp.com
smartstream-stp.com



Winner: Most innovative AI / NLP / Machine learning initiative for post-trade

Our solutions use the most advanced technologies to help customers realise their digital strategies and create leaner post trade operations, allowing them to meet today's, and tomorrow's challenges with confidence.

With over four decades of experience behind us, SmartStream has become a trusted partner that deliver automation and control to 70 of the world's top 100 banks, capital markets, buy-side firms and corporations. The demands of the industry particularly at times of transformation has allowed us to grow, introducing new solutions and winning multiple industry accolades.

Our wealth of practical knowledge, coupled with a constant focus on innovation, has made us an industry leader. We invest in R&D heavily and our innovations team is dedicated to researching ways in which advanced technologies can be deployed by SmartStream's solutions. This ensures that our technology continues to lead the way in efficiency, reliability and relevance.



SmartStream's solutions and services span the transaction lifecycle and incorporate the latest AI and machine learning technologies. These can be accessed in a variety of ways, for example, via APIs and micro-services, or deployed as managed services and cloud environments.

SmartStream has a wide range of solutions and services in the areas of:

- Cash & Liquidity Management
- Collateral Management
- Corporate Actions Processing
- Digital Payments and Investigations
- Fees and Expense Management
- Post Trade Processing
- Reconciliations and Exceptions Management
- Reference Data

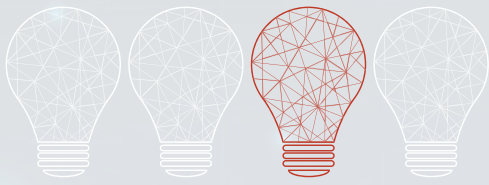
About Smartstream

SmartStream is a recognised leader in financial transaction management solutions that enable firms to improve operational control, reduce costs, build new revenue streams, mitigate risk and comply accurately with the regulators.

By helping its customers through their transformative digital strategies, SmartStream provides a range of solutions for the transaction lifecycle with AI and machine learning technologies embedded - which can be deployed in the cloud or as managed services. As a result, more than 2,000 clients - including 70 of the world's top 100 banks, rely on SmartStream Transaction Lifecycle Management (TLM®) solutions to deliver greater efficiency to their operations.

www.smartstreamrdu.com





West Highland Support Services

Winner: Most innovative trading infrastructure monitoring approach

WHSS's Application Latency Indicator for Vendors and Exchanges (**ALIVE**) product is a bespoke developed data monitoring and quality tool used to identify discrepancies in a data provider's content.

WHSS makes sure our client's data delivery is received in an expected timeframe and at an expected interval. The role of **ALIVE** is to look for deviations, anomalies, and delays. One of the use cases our clients use **ALIVE** for is to confirm the veracity of cloud delivered market data as compared to a locally deployed data distribution system.

ALIVE is either deployed as a standalone tool or as part of a WHSS value-added managed service. WHSS support staff can manage the infrastructure, installs, and monitor the overall market data process on a 24 x 5.5 basis. **ALIVE** offers optimum performance and competitiveness and features:

- Service based monitoring of Data Quality / Latency
- Maps & monitors data latency by vendor/exchange
- Compares multiple vendors simultaneously
- Historically tracks best times by vendor / time
- Tracks total circuit from exchange to local application
- Helps support regulatory requirements for ensuring best data delivery
- Holistic view of performance across cloud delivered vendors or exchanges
- Shows patterns for delivery times throughout the trading day
- Historical / trend information supports risk/compliance objectives
- Correlates volume spikes to latency spikes across different vendors and exchanges

The benefit of **ALIVE** is demonstrated when a spike or outage occurs. Typically, it's a blip, it happens, and it may or may not have impacted you. However, if it is a sustained outage, it becomes important. **ALIVE** has analytic tools built into it to identify any pattern and give you the ability to adjust models and make better trading decisions in real time.

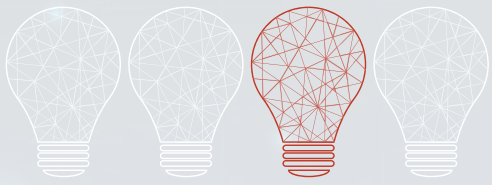


About West Highland Support Services

West Highland Support Services has a demonstrated history of working in the financial services industry for over 20 years. Bringing together strong technical, administration and business experience allows us to achieve cost savings and process improvements for our customers whilst also providing enhanced 24-hour support. With offices in New York, Connecticut and London we leverage our industry and client experience to provide a best practice approach to our Market Data engagements.

www.westhighland.net





MCO MyComplianceOffice

Winner: Most innovative conduct risk / SMCR /
Know Your Employee (KYE) / staff surveillance project

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

With over 450 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.



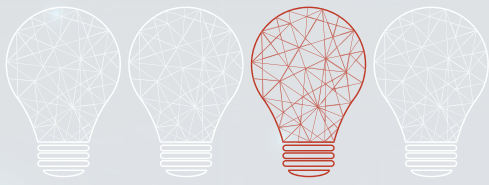
MyComplianceOffice helps companies, large and small, meet the evolving regulatory needs and expectations and ensure compliance more easily.

About MyComplianceOffice

MyComplianceOffice 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





Winner: Most innovative data standards initiative

The Association of National Numbering Agencies (ANNA)

The Association of National Numbering Agencies (ANNA) is a global member association seeking to foster standardisation within the financial industry by upholding the International Organization for Standardization (ISO) principles and by promoting ISIN, FISN and CFI codes for financial instruments. This is done through ongoing, collaborative work with market participants, regulators and other standards bodies. At the heart of ANNA are the member National Numbering Agencies (NNAs), responsible for ISIN, FISN and CFI assignment and maintenance, who are the central point for knowledge in their jurisdictions and are able to assist their local communities and help elevate any local challenges or concerns to the international level.



About ANNA

Established in 1992 by 22 founding numbering agencies, ANNA is the membership organisation of national numbering agencies, which are operated by depositories, exchanges, government agencies, nationally central data vendors and other financial infrastructure organisations. ANNA also serves as the registration authority for the ISIN and FISN standards, under appointment by the International Organization for Standardization (ISO). Under ANNA's stewardship, ISINs are issued today more than 200 jurisdictions worldwide.

www.anna-web.org



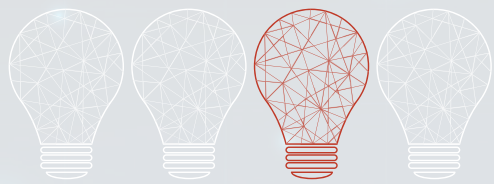
About GLEIF

The Global Legal Entity Identifier Foundation (GLEIF) is a not-for-profit organization established by the Financial Stability Board in June 2014

to support the implementation and use of the Legal Entity Identifier (LEI) globally. GLEIF services ensure the operational integrity of the Global LEI System. GLEIF also makes available the technical infrastructure to provide, via an open data license, access to the full global LEI repository free of charge to users. GLEIF is overseen by the LEI Regulatory Oversight Committee, which is made up of representatives of public authorities from across the globe. GLEIF has obtained the ISO/IEC 20000-1:2011 certification for its Partnership Program Services to the LEI issuing organizations (LOUs). GLEIF is headquartered in Basel, Switzerland.

www.gleif.org/en and www.gleif.org/annual-report





Michael Pusateri CEO and Founder, Siepe

Winner: Most innovative financial technology executive

Siepe is a public cloud managed services and data analytics provider, designed specifically to address the technology needs of asset managers. Siepe's innovative, cloud-based solutions suite helps fund managers discover strategic and actionable insights within their existing, disparate data sources; mitigate operational risk through investment transparency; and optimize efficiency through process visualization. Its SEC-compliant infrastructure architecture includes integrated communication and cybersecurity monitoring as well as third-party feeds with internal records and risk exposure reporting.

As a trusted technology and business partner, Siepe ensures that its customizable software solutions and infrastructure technology are scalable to accommodate customer growth, and enable affordable portfolio insights. The firm is creating operationally effective and efficient portfolio management through its portal, which provides clients and internal teams with true visibility into their technology stack.



To complement the Platform-as-a-Service (PaaS), Siepe also provides a fully outsourced, IT infrastructure service, offering competitively priced cloud-based IT solutions and help desk support to hedge funds and small service providers.

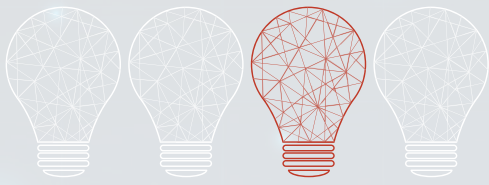
Siepe delivers the same level of high quality, cost-effective services regardless of fund type or size. Its relationship with trusted cloud service providers Amazon Web Services (AWS), Microsoft, Dell and other partners enables best-in-class security, high reliability, redundancy and disaster recovery.

About Siepe

Siepe is a leading provider of innovative and cost-effective financial data and technology solutions for complex decision making and workflow management. Through its intuitive managed platform, firms are able to integrate institutional best practices across technology, services and operational processes. Siepe's cloud-based solutions suite offers flexible front, middle and back-office components that can stand alone or integrate with other systems. Siepe's seasoned experts ensure agile and seamless end-to-end implementation and offer continuous support and guidance. Siepe has demonstrated success across the investment management industry, assisting emerging managers to more complex, mature hedge funds in reducing operational risks, enhancing workflow processes, and driving competitive advantages.

www.siepe.com

Siepe®



West Highland Support Services

Winner: Most innovative entity data hierarchies approach

WHSS's **Legal Entity Mastering as a Service (LEMaaS)** is a big data, cloud-based service that allows clients to seamlessly identify and make available an entity, its core attributes, corporate hierarchy, and systemically link entities to outstanding positions, transactions and other data used to assess M&A opportunities, counterparty, and credit risk.

WHSS **LEMaaS** allows our clients to better understand the complex behavior of markets and companies by seamlessly and timely providing insight to the core structure of public and private entities, their fundamentals, and contacts at the atomic field level.

Typically, this includes **Entity Attributes**, for example LE Identifier by industry, Entity Type, for example Public, Private, SPAC, GICS, SIC, NAICS, Regulatory Information, for example Registration Authority, EDGAR Central Index Key, and Corporate Hierarchy, for example Immediate Parent Official Name, ORG ID.

WHSS **LEMaaS** organizes and stores all these key disparate data points so clients can access this for all their capital markets, investment banking, DCM/ECM, and IM/AM/WM transactional and investment needs.

LEMaaS offers the following benefits:

- Ability to ingest sources for any structured or non-structured data and deliver to a customizable dashboard with a robust REST API for Data Science and Quant Analysis.
- Implement a LEMaaS in our or your cloud of choice to consolidate vendor data. Reducing the cost of deploying these services on premise and speeding up onboarding.
- Ingest your internal data along with any vendor data giving a more complete view of your clients and new advisory opportunities.
- Our solution is a full 24-hour Managed Service reducing the total cost of ownership.

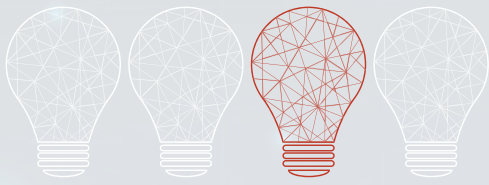


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www.westhighland.net





Winner: Most innovative AI / NLP / Machine learning initiative for pre-trade

Achieving an optimal execution strategy for order-driven markets entails mastering multiple challenges, such as reducing the market impact, achieving an execution price as close as possible to the working order benchmark and avoiding information leakage, just to mention a few.

In case the order benchmark is the Volume Weighted Average Price (VWAP), a crucial step in reducing the execution strategy risk is the accurate estimation of the expected intra-day trading volume curve, which helps defining the optimal child orders release times and size.

The Volume Predictor (VOP) module is a newly-released solution part of LIST's FastTrade trading platform designed to effectively forecast the shape of the next-day trading volume curve leveraging Machine Learning and Artificial Intelligent technologies. The component is fully integrated with FastTrade and may be seamlessly used in conjunction with the platform algo trading engine. The VOP module exploits a deep learning approach based on neural networks (NN), trained on a specific set of historical data for each security. The best prediction results are obtained using a long short term memory (LSTM), recurrent neural network, trained once per week on two to six months of historical data, depending on the security.

An additional challenge in the project is the long time required to train recurrent neural networks on historical data. To solve this issue LIST tested a vector implementation of the LSTM algorithm and set up a calibration infrastructure based on an array of GPU (graphic processing units).

This setup is capable of predicting both long time dependencies and short time effects like weekly seasonality in the data. Back testing procedures run on the Italian stock market data show very good predictive capabilities and a major improvement over standard econometric ARMA approaches.

The complexity of the prediction process is totally hidden from the final user. Once configured, the solution, fully integrated with LIST's execution engine, automates the daily trading volume forecast, allowing the trader to select the preferred curve directly from the user interface.

FastTrade's VOP module was released during the first quarter of 2020. One of the first clients to adopt the new solution is the brokerage desk of a large European bank, that started using the tool in March. The head of the trading desk that deployed the module first, reported that the quality of algorithmic order execution despite the turbulent market conditions experienced this year, improved greatly, registering measurable benefits both for clients and the bank.

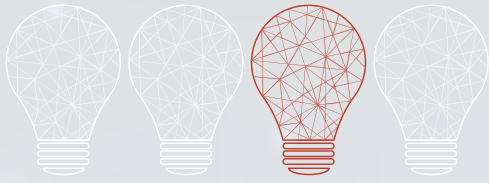


About LIST

LIST is a leading financial technology provider to the global trading community, including trading venues, market makers, brokers, asset managers, risk managers and compliance officers. LIST's innovative turnkey products and delivery, driven by customers' needs, together with a skilled and determined young team play a key role in supporting successful business growth in today's volatile times. Continuous innovation and client partnerships around the globe have built trust and reliance on LIST's unique real-time and data analytics capabilities.

www.list-group.com





Winner: Most innovative smart desktops

Winner: Most innovative ESG initiative

FactSet creates flexible, open solutions for investment professionals around the world, providing instant access to the data and analytics used to make crucial decisions.

As the market continues to be flooded with data, financial professionals must be better equipped to spend time on things that matter most. For FactSet's clients, it's about growing their businesses and interacting with clients, yet finding and analyzing accurate data can be time-consuming. To remedy this, we continuously enhance the FactSet workstation, including the release of Signals, which are meaningful market- and data-intelligence notifications based on business rules and/or machine learning. Signals proactively inform users about changes in data and predict future changes.

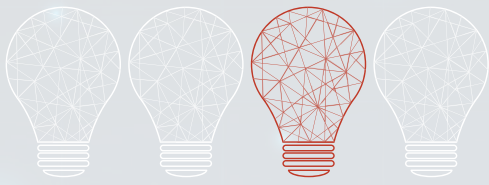
Another critical is aligning ESG investment strategies with client and investor demands, which requires access to transparent and timely data. To augment our offering, FactSet acquired Truvalue Labs, which leverages AI and complex algorithms to sift through millions of data points, helping users uncover ESG information in unstructured, third-party data (e.g., articles, social media, filings) from 100,000+ sources. The coverage generates short-term, long-term, and momentum scores that identify positive and negative ESG behavior, while the results show how companies are behaving pertaining to issues like carbon emissions, labor relations, and data security.

About FactSet

FactSet® (NYSE:FDS | NASDAQ:FDS) delivers superior content, analytics, and flexible technology to help more than 138,000 users see and seize opportunity sooner. For over 40 years, through market changes and technological progress, our focus has always been to provide exceptional client service. We give investment professionals the edge to outperform with informed insights, workflow solutions across the portfolio lifecycle, and industry-leading support from dedicated specialists.

www.factset.com

FACTSET



First Derivative

Winner: Most innovative solution for client lifecycle management

The First Derivative CLM practice partners with First Derivative clients to plan, execute, oversee and deliver complex and time critical programmes of work across the global regulatory landscape: Know Your Customer (KYC), Client Onboarding, Transaction Monitoring, Anti Money Laundering (AML) Data Remediation services and Client/Customer/Investor Outreach.

First Derivative CLM understands the speed of regulatory change and works as a trusted partner to deliver it.

With over twenty years' experience working with some of the world's leading financial institutions, the First Derivative CLM practice combines data and regulatory experts, technology optimisation and scalable managed services to support clients across the globe.

At present, the firm has approximately 250 consultants dedicated to the CLM practice delivering projects and managed services, on client sites and from its own near-shore delivery centre in Newry, Northern Ireland.

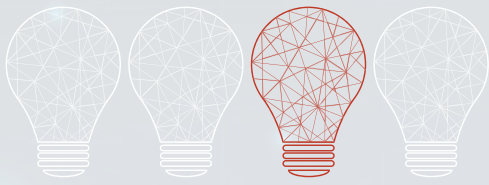


About First Derivative

Driven by people, data and technology, First Derivative is a managed services and consulting business, and one of the world's leading Capital Markets consultancies. It is part of FD Technologies plc, a group of data-driven businesses that unlock the value of insight, hindsight and foresight to drive organisations forward. Counting many of the world's leading investment banks as clients, First Derivative helps its clients navigate the data-driven, digital revolution that is both disrupting and transforming the financial services sector. The Group operates from 15 offices across Europe, North America and Asia Pacific and employs more than 2,500 people worldwide.

First Derivative – Delivering business agility for capital markets

FIRST DERIVATIVE



Enveil ZeroReveal

Winner: Most innovative KYC investigation & due diligence

Enveil is a pioneering data security company protecting Data in Use. Its business-enabling capabilities for secure data search, sharing, and collaboration protect data while it's being used or processed – the 'holy grail' of data encryption. Defining the transformative category of Privacy Enhancing Technologies (PETs), Enveil's homomorphic encryption-powered ZeroReveal® solutions allow organizations to securely derive insights, cross-match, and search third-party data assets without ever revealing the contents of the search itself or compromising the security or ownership of the underlying data.

Long thought to be computationally impractical, recent breakthroughs by Enveil are enabling homomorphic encryption to be used commercially for privacy-preserving computation in KYC and AML use cases. Every ZeroReveal-powered search remains encrypted throughout the processing lifecycle, ensuring that the sensitive/regulated content of the query is never exposed. And by leveraging Enveil's decentralized collaboration model, organizations never have to move or consolidate data assets, a requirement which is rarely feasible and often proves to be a barrier for data sharing and collaboration efforts. Enveil is a **2020 World Economic Forum Technology Pioneer** and its award-winning, market-ready solutions are delivering nation-state level protection to the global marketplace. Learn more at www.enveil.com.

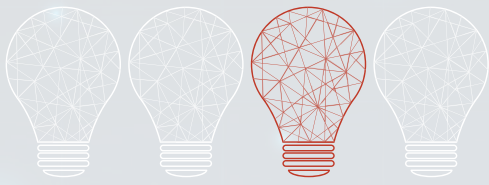


About Enveil

Enveil is a pioneering data security company protecting Data in Use for secure data search, sharing, and collaboration. The company's business-enabling and privacy-preserving capabilities protect data while it's being used – the 'holy grail' of data encryption. Powered by homomorphic encryption, Enveil ZeroReveal® allows financial institutions to securely derive insights, cross-match, and search third-party data assets without ever revealing the contents of the search itself or compromising the security or ownership of the underlying data.

www.enveil.com

EN|VEIL
ENCRYPTED VEIL



Data Virtuality

Winner: Most innovative data quality initiative

The Logical Data Warehouse is a unique enabler for modern data architectures by employing the “best-fit engineering” strategy in a single solution:

- **Data virtualization** alone offers flexibility. Data sources from various data sources in different data formats can be easily connected. The data can be accessed right away, even in real-time and used with SQL. But it cannot scale.
- **ETL** scales beautifully. It provides semantic business-friendly data element naming and modeling, thereby enabling flexible ingestion and modeling options. However, this approach is inflexible.

The combination of the two enables breakaway flexibility and performance and represents an entirely new paradigm in the way we think, manage, and work with data. It can be incorporated in the existing data infrastructure and thereby add the necessary flexibility and agility to meet the demand from regulators as well as the business. Many data related challenges such as data quality can be addressed with a holistic view on the entire data architecture.

The benefits are profound:

- Just one solution (instead of several)
- + Reduced maintenance work
- + Saving specialized staff as everything is SQL based
- => 5-times faster time-to-market and total cost savings of up to 80%

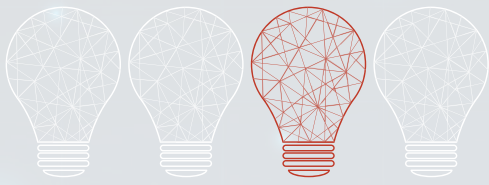


About Data Virtuality

Data Virtuality is a data integration solution provider that enables modern architectures by uniquely combining data virtualization and SQL based ETL. This hybrid approach gives financial institutions the flexibility and agility to meet the increasing regulatory and business requirements. Built on top of the existing system, organizations benefit from high data quality, 5-times faster time-to-market, and total cost savings of up to 80%. The international customer base includes Crédit Agricole, Vontobel, and PGGM.

datavirtuality.com





Winner: Most innovative data governance initiative

Operationalising data governance

The best data governance solution delivers simple, sustainable enterprise-wide inclusion, understanding and control: that solution, is Solidatus.

Solidatus enables organisations to accelerate their data governance programme by significantly reducing implementation and running costs, mitigating transformational and operational risk and achieving greater organisational alignment and control. Successful organisations utilise Solidatus to achieve their governance goals, whether for regulatory compliance, process automation and optimisation or for modernisation to reduce operating costs.

The Solidatus solution and methodology redefines and operationalises data governance, it easily federates and embeds within an organisation's data fabric rather than being another siloed data function. Data governance must be by default and by design enterprise-wide to fully achieve the data promise of efficiency, agility and competitive advantage.



To be effective, we need to understand the challenges

An organisation requires a complete understanding of its data estate, informed by the realities and constraints of the multiple contexts and temporalities in which their data will be used. The centralised single version of the truth model no longer addresses current or future data, change and regulatory complexity intersections. Solidatus provides the only viable framework for engineered, sustainable and adaptable data management.

Achieving collaborative data governance

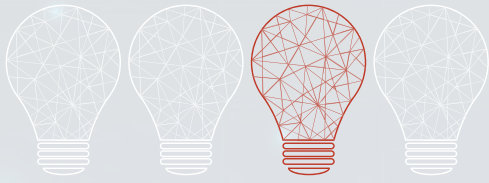
The unique collaborative mechanism built into the core of Solidatus was designed from its inception to solve these problems: organisations need to be able to quickly develop a data landscape, crowdsource metadata, agree terminology, document process and analyse data usage throughout their systems to deliver effective data governance.

About Solidatus

Solidatus empowers organisations to effectively map, manage and monetise their key asset – data. Businesses across the world are dealing with complex data points and the lineage-first approach championed by Solidatus offers up to 90% efficiency savings over traditional methods. Clients, including top-tier global financial, pharmaceutical and consulting firms, are using the software to visualise and understand their data estate, taking advantage of the ability to track data through their enterprise to drive business intelligence, digital transformation and regulatory compliance.

www.solidatus.com/data-governance





Arctic Intelligence

Winner: Most innovative data privacy by design

Arctic Intelligence exists to help the financial services sector identify and understand their risks and demonstrate compliance using a cost-effective smart workflow solution. Arctic is a multi-award winning global RegTech firm that has developed enterprise risk assessment software enabling regulated businesses to better assess, document and manage their financial crime risks. Arctic Intelligence solutions are suitable for all regulated businesses regardless of their size or complexity to carry out their financial crime risk assessment and manage vulnerabilities consistently across their entire organisation.



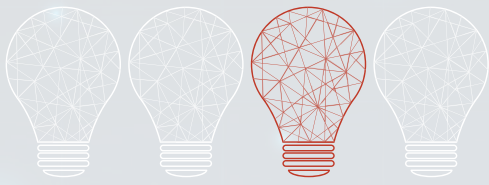
About Arctic Intelligence

Arctic Intelligence is a multi-award winning global RegTech firm that transforms how enterprise risk assessments are performed to protect businesses and society from financial crime matters such as anti-money laundering, anti-bribery and corruption, sanctions, fraud with more risk domains to come. The vision is to take what is often a laborious, manual process, into a dynamic fully automated, real-time assessment that that will generate analytical risk scores and create reports to evidence and defend those results. This gives you a comprehensive understanding of your risks and provides you with the reporting and analytics to demonstrate your compliance.

Arctic is well on the way to achieving this goal, with current solutions that aggregate and report risk outcomes across business units and risk areas in real-time. Solutions are affordable and designed by industry experts for industry experts.

www.arctic-intelligence.com





Winner: Most innovative trade surveillance solution

OneTick Trade Surveillance is a market leading solution used by the world's leading exchanges and top high frequency firms. Today's new levels of volatility require scalability and elasticity. OneTick Trade Surveillance offers instant scaling, dynamic resource allocation, reliability and auditability. Recently deployed by one of the leading US Exchanges to provide surveillance for their entire market system, OneTick has a proven track record and experience in successful configuration, provisioning and deployment of Trade Surveillance systems. OneTick Trade Surveillance is built on top of OneTick, the world's most advanced tick data management and streaming analytics platform. It has the capacity to handle global exchange data and massive order flow. In moments of exploding volumes and volatility, it is more essential than ever to choose a solution that offers high capacity, competitive reliability, and powerful customization that makes it simple to detect, investigate, and act on anomalies. We help compliance teams to proactively detect market abuse across multiple data sources every step of the way, from sourcing and capturing data to providing real-time and intraday detection alerts. Future-proof your surveillance program with OneTick Trade Surveillance

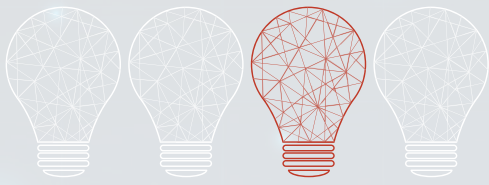


About OneTick

OneMarketData (aka OneTick) is a leading provider of software solutions for the financial industry. Built by Wall Street experts, the OneTick suite of products is an enterprise-wide tick data capture and storage solution offering analytical modelling tools, global history across equities and futures markets and reference data. In 2015, OneMarketData acquired Tick Data, LLC, the first and leading provider of historical intraday market data, to marry the industry's most powerful analytics platform with the cleanest, most reliable historical intraday data available.

www.onetick.com

ONETICK



UnaVista

An LSEG business

Winner: Most innovative trade & transaction reporting initiative

UnaVista, an LSEG business, part of our Post Trade offering, is a regulated platform that helps clients meet their reporting compliance obligations and reduce operational and regulatory risk through reporting, reference data and analytics solutions. UnaVista helps thousands of firms reporting more than 13 billion transactions annually for global regulations, including SFTR, EMIR and MiFID II. UnaVista also helps firms make more from their data, with analytics that help improve data quality assurance and provides peer-to-peer analytics. UnaVista is also the source for a range of unique reference data such as SEDOL and LEI and can help firms enrich their own data sources with eligibility files.

LSEG (London Stock Exchange Group) is more than a diversified global financial markets infrastructure and data business. We are dedicated, open-access partners with a commitment to excellence in delivering the services our customers expect from us. With extensive experience, deep knowledge and worldwide presence across financial markets, we enable businesses and economies around the world to fund innovation, manage risk and create jobs. It's how we've contributed to supporting the financial stability and growth of communities and economies globally for more than 300 years.



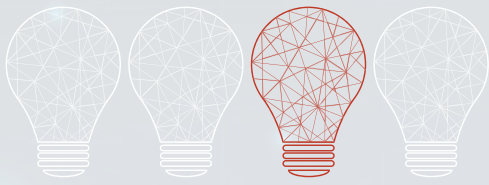
About UnaVista – An LSEG business

UnaVista, an LSEG business, part of our Post Trade offering, is a regulated platform that helps clients meet their reporting compliance obligations and reduce operational and regulatory risk through reporting, reference data and analytics solutions. UnaVista helps thousands of firms reporting more than 13 billion transactions annually for global regulations, including SFTR, EMIR and MiFID II. UnaVista also helps firms make more from their data, with analytics that help improve data quality assurance and provides peer-to-peer analytics.

www.lseg.com/unavista/unavista-solutions

UnaVista

An LSEG business



SS&C Algorithmics

Winner: Most innovative Covid-19 response

SS&C Algorithmics Scenarios as a Service: Pandemic Risk

Specialized macroeconomic stress testing service for global financial institutions.

The Covid-19 pandemic has had a significant impact on global economies and financial markets. Consequently, financial institutions are faced with the need to manage risk in highly volatile markets, and predict the impact on their holdings, particularly with respect to credit portfolios that are vulnerable to business closures and bankruptcies.

SS&C Algorithmics now offers financial institutions a service with pandemic stress testing scenarios to help them measure these risks. The first challenge is calibrating an epidemic model that incorporates variables to include the number of infected people, fatalities, and recoveries. The second challenge is linking the variables in the epidemic model to the variables used to value financial instruments.

SS&C Algorithmics Scenarios as a Service addresses both of these challenges by offering a service based on an innovative financial modelling framework for generating Pandemic Stress Testing scenarios.

The SS&C Algorithmics Scenarios as a Service provides stress testing scenarios on macroeconomic factors based on proprietary predictive models. Combining SS&C Algorithmics' more than thirty years of experience in financial engineering with the latest innovations in financial modelling, the service delivers specialized stress testing scenario content seamlessly to financial institutions.

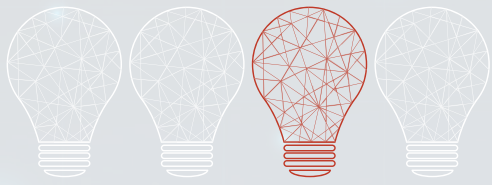


About SS&C Algorithmics

SS&C Algorithmics empowers financial services firms to manage exposures across a wide range of risk categories including market risk, credit risk, asset liability management, liquidity risk, economic capital and regulatory capital. Solutions incorporate sophisticated models and analytics and utilize modern technologies to deliver both the high performance and the superior user experience necessary to meet today's demanding business requirements.

www.ssctech.com/landing/ssc-algorithmics





Truphone for Finance

Winner: Most innovative operational resilience / business continuity initiative

About Truphone for Finance

Truphone believes there is now a requirement in the global financial markets for a global innovator and supplier of wireless communication technology. Truphone has launched Truphone for Finance to address this requirement.

Truphone for Finance is the complete communication solution for finance, providing mobile voice and SMS recording to over 150 financial institutions—including 10 of the world's 12 largest investment banks.

Truphone for Finance offers a unique global mobile network, providing banks and financial institutions with the ability to simplify their mobile estate by reducing suppliers, while improving customer service, increasing insight, removing uncertainty and reducing cost.

Unlike other 'international' mobile brands, Truphone for Finance operates as one company globally. One management team, one account management and support unit, one support environment, one billing platform, one security approach, one compliant approach and one network globally.

Truphone massively reduces the true cost of global mobility, all while providing an award-winning, unrivalled service. Headquartered in London, we have 16 offices across four continents and continue to expand globally.



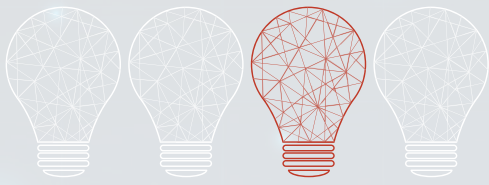
About Truphone

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 16 offices across four continents and continue to expand globally.

www.truphone.com





Precision Algos

Winner: Most innovative team

The electronic trading environment is competitive and complex. Trading firms need solutions that fit their unique requirements to help them optimize performance. Precision offers state-of-the-art algos that can be customized to match the needs of each clients' trading DNA. Leveraging the latest innovations in software, networking and hardware, Precision strategies provide traders the flexibility to execute as they need to and respond quickly to changing market conditions. The result is better execution, greater control, and superior performance.

- Fully Customizable Algos – Precision's framework is modular and easy to customize, allowing traders to react to changing market conditions as they occur. Precision offers the ability to create bespoke strategies using our extensive library of components and can be adapted for emerging asset classes and market structures.
- High-Performance Platform – Precision's algo platform provides anonymous, low latency algo execution with minimal market impact at a competitive price point
- Quality Executions – Precision ensures the best execution by connecting to a broad range of liquidity providers and using advanced analytics for venue selection, leveraging our enhanced order placement logic to find the best price consistently
- Reliable and Resilient – Precision prioritizes reliability and failover without compromising the quality of execution so that clients can trade with confidence and control

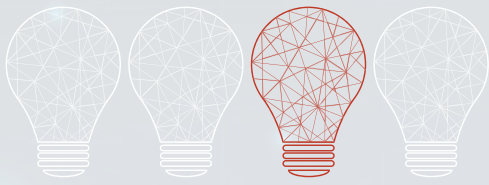


About Precision Algo

The Precision Algo team provides modern, competitive, and fully customizable execution solutions tailored to each clients' trading preferences. Similar to Precision Medicine (a medical model), where healthcare is customized according to each patient's DNA and treatments are tailored to achieve the best outcome while minimizing side effects, Precision Algos next-generation solutions target each client's trading DNA and optimize performance accordingly to achieve the best execution and minimize market impact.

www.precisionalgo.com

Precision
Optimized Trading DNA



Winner: Most innovative supply chain risk management / Know Your Vendor initiative

La Meer's **GRACE suite** is an **integrated by design, modular suite** of secure, scalable, reliable solutions that offers firms an extensible state-of-the-art custom product suite which will both meets their immediate business needs, while allowing additional modules to be switched on through configuration as required.

Built on the industry-standard Oracle stack, GRACE can be deployed on private/certified cloud, AWS, or on-premise, where Oracle is available, as well as hybrid cloud environments. GRACE can easily integrate with source systems to include internal data through the use of REST APIs and Automated File Loads.



Easy to use workflows, calendars, alerts, forms and dashboards help firms to implement collaborative processes across departments, locations, business lines, and even vendors to help Risk, Compliance and Data Officers and Senior Management to have visibility, proof of compliance and risk management from operational functions and business areas.

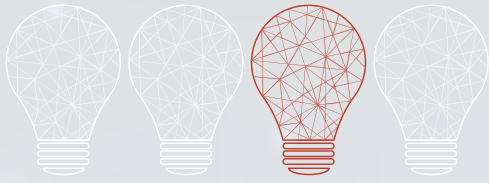
GRACE for IT and Vendor Risk Management is designed to help you manage your inventory of IT Assets and their data protection, conduct risk assessments and controls monitoring, vendor due diligence and ongoing monitoring and incident management, to ensure continuous oversight on IT and Vendor Risks. The platform includes a library of IT Best Practices Frameworks including COBIT, ITIL, ISO and NIST which can help set up proper policies, procedures and controls as also implement online attestation and training.

About La Meer Inc.

La Meer Inc. is a Silicon Valley California based Regtech that offers the GRACE suite of cloud based web-tablet-mobile solutions for worldwide financial institutions for Enterprise GRC, Compliance management, Client management for Reg BI, Trade monitoring, KYC/AML monitoring, IT GRC, Vendor Risk, SM&CR and Operational Due Diligence.

www.lameerinc.com





Winner: Most innovative data orchestration for regulatory reporting

IHS Markit's cloud-based, cross-regulation SaaS platform allows banks, brokers, hedge funds, asset managers, insurance companies and corporates to comply with global regulatory requirements. We offer customers a user-friendly web-based analytics dashboard to monitor multi-jurisdiction reporting for MIFID, EMIR, SFTR, ASIC, MAS and other global reporting regimes. Our platform is the most technologically advanced in the market, with the power to manage, process and analyse large quantities of data for reporting purposes and make it simple for compliance managers to have the transparency they need to achieve CAT (Complete, Accurate and Timely) reporting. Our flexible and customizable solution is designed to meet existing and future reporting requirements making sure our over 400 customers are compliant even when regulations change, or new regulations are introduced. As leaders in the industry, we are changing how financial market participants meet their compliance obligations. We believe in deriving insights from trading data to help customers both comply and improve decision-making. Our dashboard is the gold-standard in the industry for data visualization for regulatory reporting and analysis and have won multiple industry awards for our solution, technology and service.

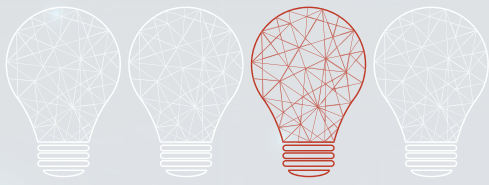


About IHS Markit

Global Regulatory Reporting from IHS Markit (NYSE: INFO) provides regulatory reporting, best execution analysis and business intelligence solutions that meet the fast-evolving needs of over 400+ buy and sell side clients. Our 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 CFTC, Canadian reporting, ASIC, MAS

[ihsmarkit.com](https://www.ihsmarkit.com)





Winner: Most innovative cloud-based market data delivery



MAYSTREET

MayStreet

MayStreet's market data infrastructure platform delivers the highest-quality, most complete capital markets data available. Combining ultra-low latency platform architecture with high-precision, full depth-of-book data, MayStreet allows its clients – which range from banks, market makers and quantitative investment firms to traditional asset managers, trading platform vendors and regulators – to gain deeper insights into how global capital markets operate. The platform delivers both real-time and “near-time” intraday historical data, supporting clients' firm-wide workflows including trade execution and surveillance, performance analysis, historical back testing, end-of-day reporting, risk and compliance and more.

www.maystreet.com

Winner: Most innovative hosted/managed enterprise data management: EDM-as-a-Service



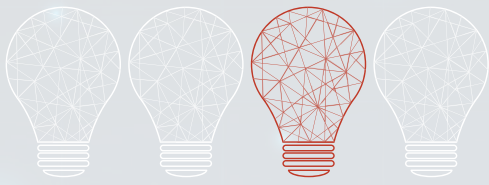
RFA

RFA is an award-winning technology partner, established 30 years ago and working with over 800 alternative investment clients. With a focus on excellent service we are long term, trusted advisors to our discerning, highly regulated client base.

With global operations in 9 offices over 3 continents, RFA is ideally placed to support alternative investment firms worldwide with a range of financial cloud, managed cybersecurity and data services, global support services, compliance and RegTech solutions, project management and delivery, unified communications and mobile solutions.

www.rfa.com





Winner: Most innovative trade data management & reconstruction



SteelEye

Simplify your compliance and generate value from your data with SteelEye.

Our data-centric SaaS platform consolidates all your data, both structured and unstructured, under a single lens and facilitates effortless compliance with MiFID II, MAR, EMIR, Dodd-Frank and more. This enables you not just to comply smarter but also harness your data for enhanced business insight.

SteelEye's solutions include record keeping, trade reconstruction, EMIR/MiFIR reporting, trade/communications surveillance, best execution, and advanced analytics.

steel-eye.com



Winner: Most innovative use of open source/cloud technologies



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 (including Options), Cryptocurrencies and Money Markets. Our solutions offer connectivity to over 130

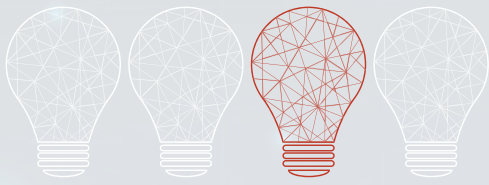
liquidity providers, aggregation, smart order routing, order management, pricing, distribution, risk management and fully customizable HTML5 user interface.

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: Most innovative financial data security solution

Winner: Most innovative use of distributed ledger technology/blockchain



Secretarium

Secretarium is at the heart of confidential computing. Our secure cloud technology uses a unique combination of secure hardware and cryptography to guarantee data protection during processing. It's powering a new wave of privacy-respecting products that keep data owners in control, securing sensitive data and enabling secure data collaboration.

secretarium.org



Winner: Most innovative AML / financial crime compliance initiative



GOST (Giant Oak Search Technology)

At Giant Oak, we build trusted tools at the frontiers of behavioral science and artificial intelligence which enable you to make both rapid and informed decisions in an increasingly dynamic security environment. GOST® (Giant Oak Search Technology) makes screening easy.

www.giantoak.com



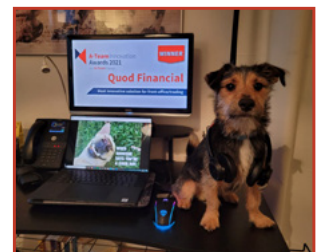
Winner: Most innovative solution for front-office/trading

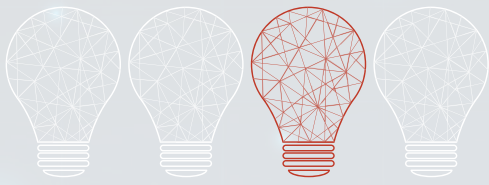


Quod Financial

Quod Financial is a multi-asset OMS/EMS trading technology provider, focused on automation and innovation - specialising in software and services such as algorithmic trading, smart order routing (SOR), and internalisation of liquidity. Quod leverages the use of its data driven architecture to support the demands of e-trading markets, by combining AI/ML-enabled decision-making tools and dynamic market access, with a non-disruptive approach to deployment

www.quodfinancial.com





Winner: Most innovative project 2021



Aquis Technologies

Aquis Exchange PLC is an exchange services group, which operates pan-European cash equities trading businesses (Aquis Exchange), growth and regulated primary markets (Aquis Stock Exchange/AQSE) and develops/licenses exchange software to third parties (Aquis Technologies). Aquis Exchange PLC is listed on the Alternative Investment Market of the LSE (AIM) market.

www.aquis.eu



Winner: Most innovative implementation of knowledge graph technologies

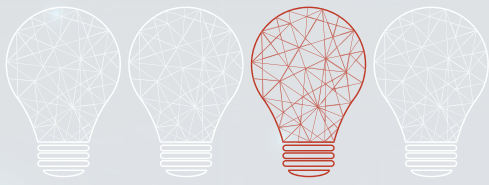


ClauseMatch

ClauseMatch looks to transform regulation into digital, machine-readable form with an easy-to-use, AI-powered smart document collaboration platform, making it easier for businesses to automate and manage their compliance and to keep up with regulations.

www.clausematch.com





A-Team Innovation Awards 2021 highly commended

Most innovative implementation of knowledge graph technologies

BearingPoint



Most innovative use of distributed ledger technology/blockchain

TreasurySpring



Most innovative data-driven transformation project

Reformis



Most innovative AI / NLP / Machine learning initiative for pre-trade

Liquidnet



Most innovative AI / NLP / Machine learning initiative for post-trade

Tookitaki



Most innovative use of open source/cloud technologies

FINOS



Most innovative cloud-based market data delivery

BCC Group International



Most innovative solution for front-office/trading

FXSpotStream



Most innovative cloud-based trading analytics initiative

BMLL Technologies



Most innovative KYC investigation & due diligence

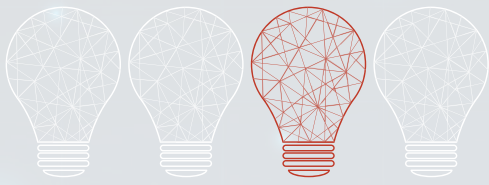
Deutsche Bank Innovation Network Americas



Most innovative supply chain risk management /
Know Your Vendor initiative

Kyckr





A-Team Innovation Awards 2021 highly commended

Most innovative unstructured data management project

TickSmith



Most innovative data orchestration for regulatory reporting

BR-AG (Business Reporting - Advisory Group)



Most innovative data quality initiative

BNY Mellon



Most innovative data standards initiative

Nivaura



Most innovative data governance initiative

Verint



Most innovative trade data management & reconstruction

Voxsmart



Most innovative regulatory compliance monitoring / management

Waymark Tech



Most innovative Libor transition management

Market Alpha Advisors



Most innovative ESG initiative

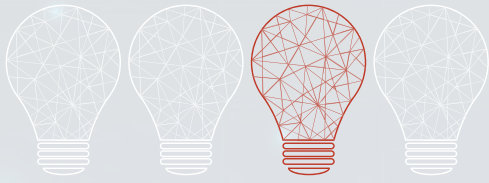
JUMP Technology



Most innovative project 2021

BestExHub





More A-Team Innovation Awards 2021 winners

Most innovative unstructured data management project

Shield

Most innovative data-driven transformation project

Leading Point

Most innovative API framework/microservices architecture for trading

Cloud9 Technologies

Most innovative cloud-based trading analytics initiative

AdvantageData

Most innovative buy-side trading workflow / STP

Enfusion

Most innovative regulatory compliance monitoring / management

Wolters Kluwer

Most innovative Libor transition management

Synechron

Most innovative young persons' education/recruitment ('academy') programme

Broadway Technology

