

# RegTech Insight Awards – Europe 2021 Winners’ Report



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# About RegTech Insight Awards – Europe 2021

Many congratulations to the winners of A-Team Group's RegTech Insight Awards – Europe 2021.

Although we are still unable to hold our usual lively reception to celebrate our winners, their achievements are no less significant for that, and we extend our heartfelt congratulations to all those voted top of their game on their well-deserved success.

The annual RegTech Insight Awards – Europe 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.

This year's awards were overseen by our independent advisory board who helped shape the categories and review the nominations alongside A-Team Group's editorial team. Jointly they considered the depth of involvement in the capital markets, relevance of a solution or service to a selected award category and the potential interest of a solution or service to our **RegTech Insight** community.

Two editor's recognition awards were also presented. Nitzan Solomon, VP, EMEA Head of Surveillance and Financial Crime Technology at Nomura received the award for Best RegTech Practitioner and Ron Finberg, Business Development – Global Reporting at IHS Markit received the award for Best RegTech Vendor Professional.

Thank you to so many of you in our RegTech Insight community for taking the time to vote for their preferred RegTech solutions and services providers - your opinion is critical to the success of our awards.

Finally, our compliments to all our winners, who should be deservedly proud of their achievement in such a closely fought and highly competitive contest.

If you would like to be considered for future RegTech awards (including our inaugural RegTech Insight Awards – APAC 2021) visit <http://bit.ly/RTIAwards> and enter your details to be notified when we open for nominations.

Andrew Delaney  
President & Chief Content Officer  
A-Team Group



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

**Chris Beevor**

Head of Compliance – Regulatory & Development Group, GAM Investments

**Chad Giussani**

Head of Transaction Reporting Compliance, Standard Chartered

**Dawd Haque**

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

**Nitzan Solomon**

VP EMEA Head of Surveillance and Financial Crime Technology, Nomura

**Richard Maton**

Executive Board Member and Strategic Initiatives Lead, International RegTech Association

**Paul Clulow Phillips**

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

**Lorraine Waters**

CDO, Compliance, Former HSBC

**Nireesh Rajah**

Board Advisor, NED – FinTech, Regulatory Change, Chief Data Office and RegTech

**Colin Ware**

Global Head of RegTech, BNY Mellon

**Dr Ruth Wandhofer**

Global FinTech 50 Influencer

**David Cowland**

Independent RegTech Advisor



# 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**



# SmartStream Technologies

## Winner: Best Data Management Solution for Sell-Side Regulatory Compliance

Data fuels digital transformation. Handled well, data can be pure gold, empowering organisations to make more informed decisions, increase efficiency, and boost profitability.

SmartStream's cloud-native, AI-based solutions are creating a revolution in the way firms study data, allowing large sets of data to be compared within seconds, regardless of format and complexity. Meanwhile sophisticated machine learning observes the users' actions and once the neuronal network is trained, it acts as a virtual user to support businesses dealing with large amounts of data – the more it observes, the more efficient it becomes.

We're also leading the way with our reference data services, ensuring that even companies with the most complex requirements can access the high quality, reliable data they need to trade successfully and meet reporting obligations accurately.

Our technology allows customers to create flexible, agile data strategies for their digital and cloud-based operating models. By working with our Innovation Lab, they are achieving best practice implementation for AI and machine learning.

Powered by sophisticated analytics, SmartStream's data solutions help establish strong data management foundations, lifting operational efficiency, enhancing customer experience, improving regulatory compliance, and facilitating digital transformation.



**Nathan Gee**  
Marketing Director

## About SmartStream Technologies

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

By helping its customers through their transformative digital strategies, SmartStream provides a range of solutions for the transaction lifecycle with artificial intelligence and machine learning technologies embedded – which can also be deployed in the cloud or as managed services.

[www.smartstream-stp.com](http://www.smartstream-stp.com)

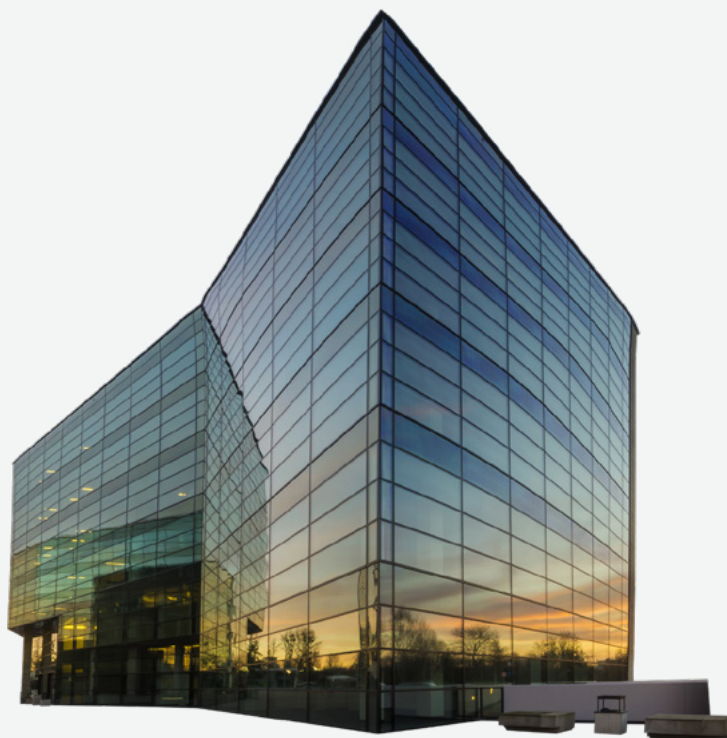




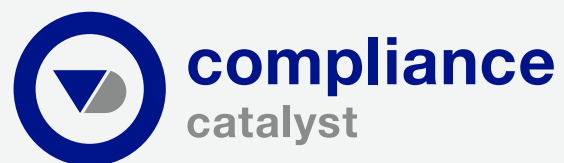
**BUREAU VAN DIJK**

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 two PEPs,  
and 'sanctioned by extension'



Welcome to the business of certainty

Register for your free trial:

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[bvd@bvdinfo.com](mailto:bvd@bvdinfo.com)

# Bureau van Dijk, a Moody's Analytics Company

## Winner: Best Data Solution for KYC

### Welcome to the business of certainty

We capture and treat private company information for better decision-making and increased efficiency.

With information on some 400 million companies across all countries worldwide, we are the leading resource for entity data.

We do all we can to add certainty to your KYC (know-your-customer) decision-making by delivering information derived from rigorous processes and a huge variety of sources.

Data defines who we are and what we do. We are committed to providing the best breadth and depth of information on the market.

Bureau van Dijk's entity data resource Orbis supports state-of-the-art compliance with its decision-making risk platform Compliance Catalyst, and its smarter screening tool powered by Grid, a risk database of adverse media, sanctions, PEPs and other watchlists.

Grid helps you screen more effectively. Its combination of comprehensive data and categorization means you can filter content by risk type, risk stage and risk age, based on relevance and your own risk profiles, resulting in fewer false positives and increased efficiency.

Our Review solution, powered by Grid, helps you comply with global AML (anti-money laundering) KYC (know-your-customer) regulations, empowering your decision-making to protect your business from association with financial crime.



**Keith Berry**  
General Manager – KYC/KYS

## About Bureau van Dijk, a Moody's Analytics Company

Bureau van Dijk, a Moody's Analytics Company, captures and treats entity data from hundreds of sources to deliver Orbis, which offers information on close to 400 million companies and 349 million people.

Orbis helps customers make better decisions, allowing them compare entities globally, understand complex ownership structures, and identify risk. Orbis can be accessed via Compliance Catalyst, which tailors the data for know-your-customer (KYC) and compliance checks, including screening against sanctions, PEPs and other watchlists.

[www.bvdinfo.com](http://www.bvdinfo.com)



**BUREAU VAN DIJK**  
A Moody's Analytics Company



## Future proof your risk data management, calculation, and regulatory compliance with us.

Do you struggle with complexity, jurisdictional nuances, ever-changing requirements?

Are you frustrated with wrangling disparate, siloed data sources?

How much are legacy manual processes slowing you down?

Is audit defense sapping too much time and resources?

**Let AxiomSL – proud winner of the Best Risk Calculation Engine for Regulatory Compliance Award – work with you to deliver the outcomes you need.**

Our platform – the antithesis of a black box – with its broad solution suite enables you to seamlessly manage global risk and regulatory requirements within a flexible end-to-end SaaS ecosystem.

AxiomSL serves national, regional, and global financial institutions comprising banks with \$45 trillion in total assets including 80% of G-SIBs; investment managers with \$13 trillion in assets under management; and 30% of the top 60 US broker-dealers representing \$44 billion in shareholder equity. It covers 110 regulators across 50 jurisdictions and ranks in the top 20 of the Chartis RiskTech100<sup>®</sup>.

[www.axiomsl.com](http://www.axiomsl.com)



## Winner: Best Risk Calculation Engine for Regulatory Compliance

AxiomSL ControllerView® – Risk Control platform for data management, analytics, and reporting – provides a holistic framework – including a comprehensive suite of risk calculations and the ability to establish seamless processes – that enables financial firms to:

- Monitor capital/credit/liquidity risks;
- Foresee the impacts of evolving stress scenarios;
- Make appropriate, data-driven decisions;
- Corroborate FRTB Calculations with ISDA Benchmarking.

On a single platform, AxiomSL's risk ecosystem delivers the processes, calculations, and controls that empower organizations to improve risk management and data governance and strengthen transparency and disclosures across evolving Basel requirements regionally and globally. And with secure SaaS offering, firms can achieve compliance, operational, and cost benefits of the cloud.

The platform, the antithesis of a black box, futureproofs financial firms against technology and regulatory changes.



**Richard Moss**  
*Head of Global Risk Solutions*

## About AxiomSL

AxiomSL, a leading global provider of solutions and managed services, delivers efficient risk and regulatory data-management and reporting outcomes for financial institutions. Clients leverage AxiomSL's SaaS ecosystems solutions across financial, liquidity, capital and credit, shareholding disclosure, trade and transaction, and tax mandates. AxiomSL's client base spans national, regional, and global financial institutions. These comprise banks with \$45 trillion in total assets including 80% of G-SIBs and investment managers with \$13 trillion in assets under management.

[www.axiomsl.com](http://www.axiomsl.com)

# AXIOMSL®





# Hassle-Free, Global Reporting with IHS Markit

*Automate and streamline your transaction  
reporting using a single platform*

- Easy transfer to IHS Markit;  
no need to change your reporting format
- Single dashboard for monitoring all your  
reporting activity
- Savings in cost & time
- Subject matter experts to guide you

SFTR | EMIR | MiFID/MIFIR | ASIC | MAS  
FINFRAG | CANADIAN REPORTING ...and more

**Contact us: [IntegratedReporting@ihsmarkit.com](mailto:IntegratedReporting@ihsmarkit.com)**

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

**Winner:** Best Compliance as a Service Solution

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.



**John Barratt**  
*Director, Sales Specialist*



**Igor Kaplun**  
*Executive Director, Head of North America Business Development*

## About IHS Markit

Global Regulatory Reporting Solutions 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.

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



**IHS Markit®**

# Derivatives Service Bureau (DSB)

## 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.

From Q3 2022, the DSB also expects to be providing Unique Product Identifiers (UPIs) for over-the-counter (OTC) derivatives to enable global regulatory authorities to aggregate data on OTC derivatives transactions to help assess systemic risk. This follows designation by the Financial Stability Board (FSB) in 2019 as the sole service provider for the future UPI system, performing the function of issuer of UPIs as well as operator of the UPI reference data library.

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 website at [www.anna-dsb.com](http://www.anna-dsb.com)



**Emma Kalliomaki**  
Managing Director

## 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 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. Serving over 3,100 users spanning 420 institutions, the DSB issued ISINs are now used in at least 33 countries for identifying OTC derivatives.

[www.anna-dsb.com](http://www.anna-dsb.com)



## Winner: Best Software Solution for FRTB

Through our managed services, we ensure that clients can smoothly onboard, prepare and validate data for use in operations, trading, investment management, pricing, risk, reporting and machine learning. We service a global client base and our award-winning technology provides easy integration into business user workflows and a proven platform for advanced analytics. Through combining deep domain expertise with the latest open-source technologies, we help financial institutions ensure high-quality data, optimize market data cost and maximize productivity.



Mark Hepsworth  
CEO

## About Alveo

Alveo is the leader in market data integration and analytics solutions for financial services. Focused on optimizing data flows for business user self-service, we provide cloud-native data aggregation and data quality management that enables clients to easily access trusted data while maximizing their data ROI.

Through our managed services, we ensure that clients can smoothly onboard, prepare and validate data for use in operations, trading, investment management, pricing, risk, reporting and machine learning.

[www.alveotech.com/solutions/frtb-taking-the-risk-out-of-your-market-risk-data/](http://www.alveotech.com/solutions/frtb-taking-the-risk-out-of-your-market-risk-data/)





## Winner: Best Data Solution for FRTB

Effective FRTB implementation requires banks to enhance their risk architecture and governance processes, as well as reconsider the ways in which they acquire, align and use their market data. Bloomberg enables banks to confidently feed multiple systems across the firm from the same data source providing a reliable frame of reference and the consistency that FRTB requires. Bloomberg also provides high-quality, complete, consistent and transparent data to help banks gain approval of their models and minimize add-on capital changes.

From award-winning reference and pricing data to regulatory datasets, Bloomberg's One Data solution transforms the way our clients consume data by providing simplified discovery, access and distribution of consistent data across the enterprise. With solutions designed to help you meet the challenges posed by every FRTB workflow, including the bucketing of exposures under the Standardized Approach, or Risk Factor Eligibility Test (RFET) data to assist with IMA's Modellability requirements, Bloomberg can help.



**Bradley Foster**  
*Head of Content (Enterprise Data)*

## About Bloomberg

Bloomberg, the global business and financial information and news leader, gives influential decision makers a critical edge by connecting them to a dynamic network of information, people and ideas. The company's strength – delivering data, news and analytics through innovative technology, quickly and accurately – is at the core of the Bloomberg Terminal. Bloomberg's enterprise solutions build on the company's core strength: leveraging technology to allow customers to access, integrate, distribute and manage data and information across organizations more efficiently and effectively. For more information, visit

[www.bloomberg.com](http://www.bloomberg.com) or [request a demo](#).

[www.bloomberg.com](http://www.bloomberg.com)

# Bloomberg

## **Winner:** Best Vendor Solution for Managing Operational Risk

### **About ComplianceAlpha®**

ACA's ComplianceAlpha® is the award-winning regulatory technology platform transforming risk and compliance management for over 800 leading financial services firms worldwide. By bringing together risk and compliance activities, surveillance, testing, and analytics in one platform, ComplianceAlpha provides risk and compliance officers with a unified view of risks and behavior across their firm.

<https://info.acaglobal.com/aca-technology-awards-2021>



**Marc Salter**  
*Director of Client Development*

## **About ACA Group**

ACA Group ("ACA") is the leading governance, risk, and compliance (GRC) advisor in financial services. We empower our clients to reimagine GRC and protect and grow their business. Our innovative approach integrates consulting, managed services, and our ComplianceAlpha® technology platform with the specialized expertise of former regulators and practitioners and our deep understanding of the global regulatory landscape.

<https://info.acaglobal.com/aca-technology-awards-2021-a-team>



## Winner: Best Regulatory Reporting Solution

UnaVista Analytics is a suite of modules that allows you to unlock the value of your MiFIR transaction reporting data with the use of interactive dashboards and alerts.

Our Data Accuracy module uses the power of UnaVista's community to provide peer group benchmarking on your reporting – so you can see if your firm is reporting trades differently to the rest of the market.

Why do firms need Data Accuracy?

- Reduce reporting and operational costs
- Use advanced analytics to identify error trends in your reporting data and fix issues at the source, reducing the need to do back reporting at a later date.
- Detailed peer group analysis
- Understand where your data is an outlier in the industry. Identify where you are reporting differently to your counterparties.
- Be alerted on data accuracy issues
- Receive alerts when data accuracy issues are detected – so you can take swift action to address them.

For a Data Quality Review email us at [unavista@lseg.com](mailto:unavista@lseg.com)



**Georgina Valente**  
Sales Director – Head of Buy-Side and Retail

## 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 advanced analytics that helps 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.

[www.lseg.com](http://www.lseg.com)

# UnaVista

An LSEG business

## Winner: Best AI Solution for Regulatory Compliance

smartKYC's technology drives faster, better and more cost-effective KYC at every stage of the relationship – liberating human effort to focus on decision-making rather than laborious research. smartKYC fuses artificial intelligence with linguistic and cultural sensitivity and deep domain knowledge to set new standards for KYC quality, whilst transforming productivity and hardwiring compliance conformance.

smartKYC applies AI to extract precise open source intelligence (OSINT) from vast corpuses of information – internet and deep web, news archives, watchlists and corporate databases. All of this happens at speed and at scale creating new possibilities such as straight through processing, batch remediation and continuous KYC risk monitoring.



Hugo Chamberlain  
COO

smartKYC - the world's most advanced enterprise solution for KYC due diligence automation.

## About smartKYC

smartKYC is the world's most advanced enterprise solution for KYC due diligence automation. Founded in 2014, smartKYC's technology applies AI to extract precise open source intelligence (OSINT) from a vast corpuses of information – internet and deep web, news archives, watchlists and corporate databases. smartKYC clients use information that has been robotically analysed, with semantic precision in native language, to identify potential risks triaged for human review. This happens at speed and at scale.

[www.smartkyc.com](http://www.smartkyc.com)

smartKYC 



## **Editor's Recognition Award:** Best RegTech Practitioner

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### **Nitzan Solomon, VP, EMEA Head of Surveillance and Financial Crime Technology, Nomura**

Nitzan Solomon is the Head of Surveillance and Financial Crime Technology, EMEA at Nomura. She is also a member of the A-Team Group RegTech Industry Advisory board and has recently been named one of the UK Top 100 Women In Tech by WeAreTheCity. As the head of Surveillance and Financial Crime Technology, Nitzan is responsible for the technology, systems, and data across multiple compliance areas including Trade, E-comms & A-comms Surveillance, Control Room Surveillance, Transaction Monitoring and Sanctions Screening. Nitzan is a thought leader and a frequent speaker at industry events. She is a strong advocate of using innovative technology to improve effectiveness and efficiency and is always looking to keep up with the latest industry trends.



## **Editor's Recognition Award:** Best RegTech Vendor Professional

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### **Ron Finberg, Director of Global Regulatory Solutions, IHS Markit**

Ron is a Regulatory Specialist and Director at IHS Markit's Global Regulatory Solutions division where he specializes in supporting clients with compliance of EMIR, MIFID II, SFTR, MAS and ASIC derivative reporting obligations.



## Winner: Best Data Management Solution for Buy-Side Regulatory Compliance

**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. For more information about Moody's Analytics, visit our website.

[www.moodyanalytics.com](http://www.moodyanalytics.com)



**Domitille de Coincy**  
*Director of Financial Engineering*

## Winner: Best Data Privacy Solution

**OneTrust**  
PRIVACY, SECURITY & GOVERNANCE

### OneTrust

OneTrust is the #1 **fastest-growing** company on Inc. 500 and the category-defining enterprise platform to **operationalize trust**. More than 9,000 customers, including half of the Fortune 500, use OneTrust to make trust a competitive differentiator, implementing central agile workflows across privacy, security, data governance, GRC, third-party risk, ethics and compliance, and ESG programs.

Learn more: [OneTrust.com](http://OneTrust.com) and [LinkedIn](#).

[Onetrust.com](http://Onetrust.com)



**Blake Brannon**  
*Chief Technology Officer*

## **Winner:** Best Regulatory Compliance Solution for IFR / IFD



### **Wolters Kluwer**

Wolters Kluwer Finance, Risk & Regulatory Reporting (FRR), which is part of Wolters Kluwer's Governance, Risk & Compliance division, is a global market leader in the provision of integrated regulatory compliance and reporting solutions. It supports regulated financial institutions in meeting their obligations to external regulators and their own board of directors. Wolters Kluwer, headquartered in the Netherlands, serves customers in over 180 countries, maintains operations in over 40 countries and employs 19,000 people worldwide.

**[www.wolterskluwer.com/en-gb](http://www.wolterskluwer.com/en-gb)**



**Kwame Frimpong**  
*Regulatory Product Manager*

## **Winner:** Best Regulatory Compliance Solution for LIBOR



### **Numerix**

Numerix is the leading provider of innovative capital markets technology solutions and real-time intelligence applications for trading and risk management. Committed to out-of-the box thinking, the exploration and adoption of the latest technologies, Numerix is dedicated to driving a more open, fintech-oriented, digital financial services market. Built upon a 20+ year analytical foundation of deep practical knowledge, experience, and IT understanding, Numerix is uniquely positioned in the financial services ecosystem to help its users reimagine operations, modernize business processes and capture profitability.

**[www.numerix.com](http://www.numerix.com)**

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

# DTCC

ADVANCING FINANCIAL MARKETS. TOGETHER.™

### **DTCC**

DTCC is the premier post-trade market infrastructure for the global financial services industry. From 21 locations around the world, DTCC, through its subsidiaries, automates, centralizes and standardizes the processing of financial transactions, mitigating risk, increasing transparency and driving efficiency.

**visit [www.dtcc.com](http://www.dtcc.com)**



**Mark Steadman**

*Executive Director, Repository and Derivatives Services (RDS)*

## **Winner:** Best Vendor Solution for Tax Compliance



### **TAINA Technology**

Transform your tax validation process from a costly and risky compliance burden into a competitive advantage with TAINA's fully automated FATCA and CRS Validation Platform, that's helping financial institutions save costs, reduce risk and improve their customer and investor experience.

At TAINA we provide our clients with a competitive edge by delivering the highest return on investment and degree of automation for any commercially available or in-house tax validation platform.

**[www.taina.tech](http://www.taina.tech)**



**Maria Scott**  
*CEO & Founder*



## Winner: Best ESG Regulatory Solution



### 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/esg](http://www.solidatus.com/esg)



Philip Miller  
Co-CEO

## Winner: Best Transaction Cost Analysis Solution for Best Execution



### SteelEye

We simplify trade and communications oversight and regulatory reporting through a unique, fully integrated, and cloud-based platform. By connecting large volumes of data from multiple sources, SteelEye enables firms to meet regulatory obligations more quickly, efficiently, and accurately than any other solution. With SteelEye, you gain full visibility and control of your trading and compliance operations, with cutting-edge analytics that provide timely insights on risks and opportunities.

[www.steel-eye.com](http://www.steel-eye.com)



Matt Smith  
CEO

## Winner: Best Vendor Solution for Benchmark Regulation



### SIX

SIX operates and develops infrastructure services for the Swiss and Spanish Stock Exchanges, for Post-Trade Services, Banking Services and Financial Information with the aim of raising efficiency, quality and innovative capacity across the entire value chain of the Swiss and Spanish financial centers. The company is owned by its users (121 banks).

With a workforce of some 3,500 employees and a presence in 20 countries, it generated operating income of CHF 1.38 billion and Group net profit of CHF 439.6 million in 2020.

**[www.six-group.com](http://www.six-group.com)**



**Christian Bahr**  
Head Index Services

## Winner: Best Vendor Solution for Managing Conduct Risk



### MCO MyComplianceOffice

MCO (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](http://mycomplianceoffice.com)**



**Brian Fahey**  
CEO

## Winner: Best Regulatory Alert Management Solution



### NICE

NICE Actimize, an industry-leading provider of solutions for Financial Markets Compliance applications for nearly two decades, provides the complete compliance coverage required by today's financial regulations, offering technology that serves the total capital markets market ecosystem from buy-side trading desks to sell-side banks, from global exchange groups to emerging fintechs and regulators. Core to these offerings, NICE Actimize's SURVEIL-X Holistic Conduct Surveillance Suite offers unparalleled risk coverage and enables accurate detection and rapid, thorough investigation of market abuse, inappropriate sales practices, conduct risk and otherwise undetectable compliance risks to insulate firms from fines and reputational damage.

[www.niceactimize.com/financial-markets-compliance/](http://www.niceactimize.com/financial-markets-compliance/)



**Lee Garf**  
General Manager,  
Compliance

## Winner: Best Solution for Records Retention



### 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](http://www.list-group.com)



**Alvise Insalaco**  
CEO

## Winner: Best Trade Surveillance Solution for MAD/MAR



### Eflow Global

For over 15 years, eflow has provided regulatory compliance solutions to the financial services industry. As of 2021, they service over 70 clients across 4 different continents, providing both buy-side and sell-side firms with fast, efficient software designed to keep them compliant in this ever-changing global regulatory landscape. Their offerings include post-trade surveillance, best execution and transaction cost analysis, custom and bespoke regulatory reporting, transaction reporting, MiFID II record keeping and more.

<https://eflowglobal.com/>



**Ben Parker**  
CEO and Founder

## Winner: Best Regulatory Consultancy - Europe

### FIRST DERIVATIVE 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**



**Alan Shannon**  
UK Head of Consulting



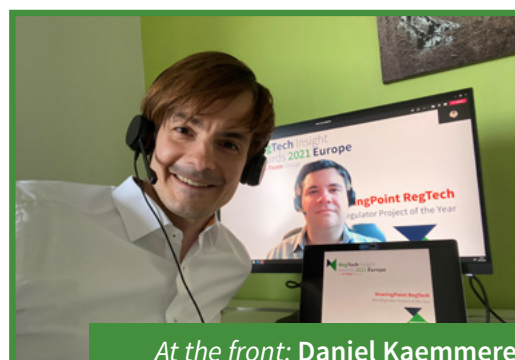
## Winner: Best Regulator Project of the Year

# BearingPoint®

## BearingPoint RegTech

**BearingPoint RegTech** is a leading international provider of innovative regulatory, risk, and supervisory technology solutions (RegTech, RiskTech, and SupTech) and services along the Regulatory Value Chain for financial services. Customers representing 6,000 firms worldwide, among them large international banks, a major part of the largest European banks, leading insurance companies as well as supervisory authorities and central banks, trust BearingPoint RegTech's products and services. BearingPoint RegTech works closely with regulators and, as a member of standardization bodies such as XBRL, actively contributes to the standard-setting process. BearingPoint RegTech combines regulatory know-how with a proven, reliable, and forward-looking RegTech solution suite, expert consulting capabilities, managed services, and training seminar.

**www.reg.tech**



*At the front: Daniel Kaemmerer  
Senior Product Manager  
On the Screen: Robert Binder  
Product Manager Abacus Regulator*

## Winner: Best Innovative Technology for Regulatory Compliance



## MAP FinTech

Founded in 2013, MAP FinTech is a leading and award-winning regulatory technology provider for the financial services industry, specialising in reporting solutions arising from the requirements of a number of complex and challenging international regulations such as EMIR, MiFID II/ MiFIR, SFTR, FATCA, DAC6 and CRS. MAP FinTech also provides innovative and comprehensive solutions for Best Execution Monitoring, RTS 27/28 reporting, AML Transaction Monitoring and Screening, Trade Surveillance (Market Abuse), and eKYC (Screening, eIDV, Document Authentication).

**www.mapfintech.com**



*Costantinos Malialis  
Commercial Director*

## Winner: Best Vendor Solution for Financial Crime



### SIX

SIX operates and develops infrastructure services for the Swiss and Spanish Stock Exchanges, for Post-Trade Services, Banking Services and Financial Information with the aim of raising efficiency, quality and innovative capacity across the entire value chain of the Swiss and Spanish financial centers. The company is owned by its users (121 banks). With a workforce of some 3,500 employees and a presence in 20 countries, it generated operating income of CHF 1.38 billion and Group net profit of CHF 439.6 million in 2020.

**[www.six-group.com](http://www.six-group.com)**



**Oliver Bodmer**  
*Senior Product Manager*

## More RegTech Insight Awards – Europe 2021 winners

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Best Buy-Side Regulatory Data Solution

**NeoXam**

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Best KYC Solution for Client On-Boarding

**Kyckr**

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Best Analytics Solution to Address Capital Requirements/liquidity Risk

**Regtify**

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Best e-Comms Surveillance Solution

**Behavox**

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