RegTech Insight Awards 2021 USA

from **A-Team** Group

RegTech Insight Awards – USA 2021 Winners' Report

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www.regtechinsight.com

About RegTech Insight Awards – USA 2021

Congratulations to the winners of A-Team Group's RegTech Insight Awards USA 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 congratulations to all those with best-in-class RegTech services and solutions.

The annual RegTech Insight Awards – USA 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 award categories ranged from Best ESG Regulatory Solution, to Best KYC Solution for Client Onboarding, Best Compliance as a Service Solution, Best Financial Crime Solution, Best Data Privacy Solution, Most Innovative Technology for Regulatory Compliance, and more.

The awards were overseen by our independent advisory board, which helped shape the categories and review the nominations alongside A-Team Group's editorial team. Jointly they considered the depth of involvement in 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.

Thank you to our RegTech Insight community for taking the time to vote for your preferred RegTech solutions and services providers – your opinions are 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 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.

Robin Doyle
Finance & Risk Executive/Leader

David Ehrich
Co-Founder and Executive Director
Alliance for Innovative Regulation (AIR)

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

Kai Schrimpf
Global Product Manager – AML Transaction Monitorin
UBS

Martha Cummings
Senior Global Risk Compliance and Regulatory Executive

Joshua Beaton
Head of Americas Trade & Transaction Reporting
Morgan Stanley

Hayden Boilini
Trade & Investment Associate
Department for International Trade (DIT)

RegTech Insight
Awards **2021 USA**
from **A-Team** Group

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

SmartStream has become a trusted partner that deliver automation and control the world's leading 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.

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

Nathan Gee
Marketing Director

About SmartStream

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

SMARTSTREAM

ACA Group

At ACA, we bring together the best people, technology, and services to deliver holistic GRC solutions to over 3,000 clients worldwide. Firms partner with ACA to help 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.

Our size and reach mean we can advise on the broadest range of scenarios, while our independence and specialism mean we never lose our focus on exemplary client service as we grow. It allows us to quickly respond and help our clients navigate disruption, change, and evolving risks.

With ACA, firms get a one-stop-shop for their governance, risk and compliance needs. Our services and solutions are designed to support our clients from start-up to established to help them protect and grow their business throughout. We provide clients with access to insights, trends, and benchmarking gathered from the largest network of GRC clients in the Financial Services. We pride ourselves in being specialists in our field, not generalists.

Carlo di Florio
Chief Services Officer

About ACA Group

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

ACA™

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

Datactics provides its award-winning self-service data quality and matching platform in partnership with the UK Home Office and national police forces, to develop a nationwide, highly scalable, private cloud-based system for crime classification and reporting. Large volumes of crime reports logged by UK police forces are analysed and classified according to government standards in order to create consistent national reporting for specific crime types.

Key features:
- Data quality + fuzzy matching across hundreds of millions of structured and semi-structured data elements
- Web-based workflow management enabling manual review of data falling below confidence thresholds
- Exposes a library of rules and associated dictionary to business analysts that works in conjunction with a mature data governance process and systems for data lineage etc.
- Benefits:
- Reduced manual processing and data preparation time
- Increased accuracy of matching a crime report to the correct crime type
- Increased automation means reduced psychological impact for analysts

Matt Flenley
Head of Marketing

About Datactics

Datactics specialises in self-service data quality and matching software designed for non-technical business users in financial services firms. The platform helps to eliminate roadblocks common in data management where firms are typically heavily reliant on IT to interpret and hard-code rules into core systems. Solutions ensure compliance with data-driven financial regulations; deliver a true "single customer view"; and increase the accuracy, and reduce the cost, of AML & KYC functions.
www.datactics.com

DATACTICS™

Winner: Best Reporting Solution for Consolidated Audit Trail (CAT)

n-Tier's CAT offering couples our deep regulatory experience with our unique software platform to provide firms with a comprehensive solution for meeting their CAT reporting obligation. Our technology – combined with our team's extensive knowledge of brokerage covering trading, middle-office, and settlement across all asset classes – allows us to provide clients with the support, guidance, and the automation needed to comply with these critical regulatory reporting requirements. Our Compliance Workbench is the only platform that has been proven to programmatically unwind the complexity of trade flows across all front- and back-office environments to produce accurate regulatory reports while providing the independent monitoring and controls needed to manage reporting obligations. The next reporting obligation on the horizon is CAT Customer & Account Information System (CAIS) Phase 2e whereby broker-dealers must start submitting their full customer and account reference data to FINRA CAT beginning July 11, 2022. Firms can prepare for CAIS Phase 2e by leveraging our existing reconciliation, validation and reporting framework. At n-Tier, we specialize in helping firms manage the accuracy and completeness of their critical business data associated with regulatory reporting. If you are interested in discussing our validation and reporting capabilities, please reach out.

Peter Gargone
Founder & CEO

About n-Tier

n-Tier is an innovative technology company that couples deep industry expertise with a unique software platform to help institutions minimize the risks and costs associated with regulatory reporting. n-Tier's clients range from global leaders to small and mid-size companies in various industries including finance, healthcare and insurance. Our platform is highly configurable, has low IT impact and can be installed locally or used as part of our cloud offering.

www.ntierfs.com

RegTech Insight
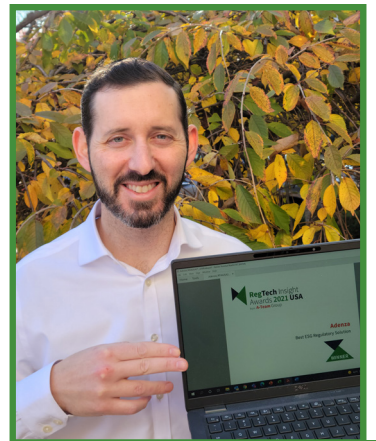Awards **2021 USA**
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Winner: Best ESG Regulatory Solution

Adenza

Adenza provides customers with end-to-end, trading, treasury, risk management and regulatory compliance platforms which can be delivered on-premise or on-cloud. Adenza enables financial institutions to consolidate and streamline their operations with front-to-back solutions integrated with data management and reporting, benefitting from a single source of truth across the business. With headquarters in London and New York, Adenza has more than 60,000 users across the world's largest financial institutions spanning global and regional banks, broker dealers, insurers, asset managers, pension funds, hedge funds, central banks, stock exchanges and clearing houses, securities services providers and corporates.
www.adenza.com

Ed Probst
Chief Product Officer

Winner: Best KYC Solution for Client On-Boarding

BlackSwan Technologies

BlackSwan Technologies is reinventing enterprise software through Agile Intelligence for the Enterprise – a fusion of data, AI, and cloud technologies that generates billions of dollars in economic value for renowned global brands. Our multi-tiered enterprise offerings include the ELEMENT of Compliance™ application, which dramatically improves screening accuracy and reduces the CapEx and OpEx of end-to-end KYC, financial fraud and anti-money laundering monitoring for organisations with extensive regulatory and reputational demands.
https://blackswantechnologies.ai/

Harinder Singh Sudan
Senior Vice President of the Financial Intelligence Unit

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www.regtechinsight.com

Winner: Best Vendor Solution for Sanctions and PEPs data

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.
www.moodysanalytics.com

Nikki Landes
Managing Director of KYC Operations

Winner: Best Data Solution for KYC

eClerx

eClerx provides business process management, automation and analytics services to a number of Fortune 2000 enterprises, including some of the world's leading financial services, communications, retail, fashion, media & entertainment, manufacturing, travel & leisure, and technology companies. Incorporated in 2000, eClerx is today traded on both the Bombay and National Stock Exchanges of India. The firm employs 13,000 people across Australia, Canada, Germany, India, Italy, Netherlands, Philippines, Singapore, Thailand, UK, and the USA.
www.eclerx.com

Brian Kurkjian
Senior Product Manager

Winner: Best Transaction Cost Analysis Solution for Best Execution

eflow Global

For over 15 years, eflow has provided regulatory compliance solutions to the financial services industry. They service over 100 clients across 5 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 trade surveillance for market abuse, best execution and transaction cost analysis, custom and bespoke regulatory reporting, transaction reporting and MiFID II record keeping.
https://eflowglobal.com/

Ben Parker
CEO & Founder

Winner: Best Risk Calculation Engine for Regulatory Compliance

ElysianNxt

ElysianNxt is a fast-growing RegTech company focused on developing the most technologically advanced, user-friendly, real-time Risk and Finance solutions. Comprised by seasoned industry veterans and subject matter experts, the company was established to provide an alternative solution to the traditional, outdated, monolithic applications that the financial industry is accustomed to in their quest to automate their back-end financial calculation obligations.
www.elysiannxt.com

Chris Puype
CEO & Founder

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Winner: Best Vendor Solution for Managing Operational Risk

INTELLIGO

Intelligo

Intelligo is a leading Risk Intelligence company fusing AI and Big Data to digitalize the background check industry, enabling organizations to take secure and informed business decisions. Intelligo's AI-powered solution suite Clarity, allows stakeholders including investors, financial institutions, and corporations to make fast, accurate intelligence-driven decisions, providing a 360° view of a person's or a company's reputation, legal and financial backgrounds, and its broader impact on trust and business risk.

www.intelligo.ai

Dana Rakovsky
Chief Research Officer & Co-Founder

Winner: Best Reporting Solution for CFTC Reporting

KAIZEN®
REPORTING

Kaizen Reporting

Formed in 2013, Kaizen has built a network of services to help organisations navigate and meet their global regulatory needs. From transforming the quality of regulatory reporting and simplifying global shareholding disclosure to providing a digital platform for managing regulatory rules, Kaizen is pioneering the digitisation of compliance and regulation. As an award winning RegTech company, we combine regulatory expertise with advanced technology to provide services that reduce the regulatory burden and improve workflows for our clients. Our core services cover trade and transaction reporting assurance, shareholding disclosure and our new Single Rulebook digital platform. Whether it's MiFIR, EMIR, Dodd Frank, SFTR, another G20 regulation, or the global shareholding disclosure rules, we exist to help our clients reduce costs, improve quality and increase confidence in their regulatory compliance.

www.kaizenreporting.com

John Kim
Head of Business Development, North America

Winner: Most Innovative Technology for Regulatory Compliance

KX

KX, the leading technology for real-time continuous intelligence, is part of FD Technologies plc. KX Streaming Analytics, built on the kdb+ time-series database, is an industry leading high-performance, in-memory computing, streaming analytics and operational intelligence platform. It delivers the best possible performance and flexibility for high-volume, data-intensive analytics and applications across multiple industries. The Group operates from 15 offices across Europe, North America and Asia Pacific and employs more than 3,000 people worldwide.

Driving business decisions with real-time continuous intelligence | KX

John Dalton
SVP Financial Services

Winner: Best Sell-Side Regulatory Data Solution

Moody's Analytics

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

www.moodysanalytics.com

Arthur Kleyneman
Senior Director

Winner: Best Vendor Solution for Managing Conduct Risk

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

Brian Fahey
CEO

Winner: Best Data Privacy Solution

OneTrust

OneTrust is the #1 **fastest-growing** company on 2020 Inc. 500 and the category-defining enterprise platform to **operationalize trust**. More than 10,000 customers, including half of the Fortune Global 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.

OneTrust.com and LinkedIn

Blake Brannon
Chief Strategy Officer

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Winner: Best Regulatory Alert Management Solution

Red Box

Red Box is a dedicated voice specialist, empowering organisations to capture, secure and unlock the value of customer and employee conversations. With the most open and connected platform, we capture and transcribe voice communications from all major platforms to support compliance, fraud/risk detection, customer and employee experience, sales performance, and more. Our open API philosophy ensures organisations retain complete data sovereignty and can connect to a broad ecosystem of applications to maximise the value of captured voice data.

www.redboxvoice.com

Nadine Edmondson
Director of Product and Marketing Operations

Winner: Best Data Solution for FRTB

Refinitiv

Our Refinitiv Trade Discovery solution supports our customers with the Risk Factor Eligibility Test (RFET) and provides you with evidence of "real" observations across a range of asset classes. Our web-based interface makes it easy to explore the data, refine your risk factor to instrument mapping rules and enrich your existing internal datasets. Our mission is to help you source regulatory-compliant "real" price observation data on a broad range of instruments to aid you in completing the RFET compliance requirement.

www.refinitiv.com/en/fundamental-review-of-the-trading-book

Mark Gonzalez
Head of Enterprise Sales – Americas, Data & Analytics

Winner: Best Regulatory Compliance Solution for LIBOR

SS&C

SS&C Technologies provides industry-leading technology and operational solutions to support investment managers transitioning from LIBOR to alternative reference rates for all asset types. From our Intralinks Virtual Data Room platform for contract review and new contract development to our Algorithmics risk, analytics and advisory services to Geneva, our portfolio and investor accounting solution, our solutions are designed to be flexibly and easily deployed, implemented, and configured for your needs.
www.ssctech.com

Winner: Best Software Solution for FRTB

TickSmith

TickSmith, with its Enterprise Data Web Store, simplifies the online data shopping and distribution experience for data buyers and provides the necessary tools for data producers to connect, package, unify and monetize their data. Currently enabling the world's leading exchanges and financial institutions to generate new revenue streams and increase their customer base, the Enterprise Data Web Store provides a proven, secure, end-to-end solution that removes the complexities of selling and buying data. By leveraging modern distribution channels, data producers can attract data buyers eager to consume new sources of data on a daily basis. Deployed in a Single-Tenant SaaS, TickSmith's out-of-the-box Enterprise Data Web Store is built on a scalable modular platform that can grow with your business.
www.ticksmith.com

David Cote
COO & Co-founder

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www.regtechinsight.com

Winner: Best Regulatory Reporting Solution

Wolters Kluwer

Wolters Kluwer Finance, Risk & Regulatory Reporting (FRR), which is part of Wolters Kluwer's Governance, Risk & Compliance (GRC) 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 (AEX: WKL) is a global leader in information services and solutions and reported 2020 annual revenues of €4.6 billion.

www.wolterskluwer.com/en/solutions/ onesumx-for-finance-risk-and-regulatory- reporting

Natascha Eastes
Director, Product Management Regulatory Reporting Americas

Winner: Best Buy-Side Regulatory Data Solution

Bloomberg

Bloomberg LP

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.

www.bloomberg.com/professional/product/ regulatory-reporting

Brad Foster
Head of Enterprise Data Content

More RegTech Insight Awards – USA 2021 winners

Best e-Comms Surveillance Solution
Shield

Best Solution for Records Retention
ActiveNav

Best Analytics Solution to Address Capital Requirements/Liquidity Risk
AQ Metrics

Best Compliance as a Service Solution
Compliance Solutions Strategies

Best AI Solution for Regulatory Compliance
Cynopsis Solution

Best Vendor Solution for Financial Crime
Duality Technologies

Best Solution for FATCA / CRS
Trans World Compliance, Inc.