RegTech Insight
Awards USA

RegTech Insight USA Awards 2022 Winners' Report

About RegTech Insight
USA Awards 2022

Congratulations to the winners of A-Team Group's 2nd annual RegTech Insight Awards - USA 2022. The awards recognise both established solution providers and innovative newcomers providing RegTech solutions that throughout the year have successfully improved firms' ability to effectively respond to evolving and ever more complex regulatory requirements across the global financial services industry.

The winners of this year's RegTech Insight Awards - USA were presented by Sarah Underwood, Editor, A-Team Group during a lively drinks reception following A-Team Group's 16 November 2022 **RegTech Insight Summit in New York**.

The awards included 30 RegTech categories ranging from Best North America RegTech Start Up to Best Data Solution for Regulatory Compliance, Best Reporting Solution for the Consolidated Audit Trail, Best KYC Data Solution, Best Transaction Cost Analysis Solution for Best Execution, Best Risk Calculation Engine for Regulatory Compliance, Best Trade Surveillance Solution, and more!

Thank you to all the vendors that entered A-Team Group's RegTech Insight Awards - USA 2022, to our RegTech Insight community that voted for its favoured solutions, and to our independent, expert advisory board that worked in collaboration with our editorial team to select this year's winners.

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

If you would like your company to be considered for future RegTech Insight Awards in the USA, Europe or Asia-Pacific, **click here**, where you can either enter your details to be notified when we open for nominations, or submit your entry if we are already open for nominations.

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

Robin Doyle
Finance & Risk Executive/Leader

David Ehrich
Executive Director, Alliance for Innovative Regulation (AIR)

Raymond Hanson
Managing Director, IB Regulatory and Global Liquidity Platform and Program Delivery, Credit Suisse

Kai Schrimpf
Transaction Monitoring Product Owner, 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)

Brett Utnick
Director – Head of US Regulatory Services, BMO Financial Group

Stan Yakoff
Head of Americas Supervision, Citadel Securities
Adjunct Law Professor, Fordham University School of Law

Julian Horky
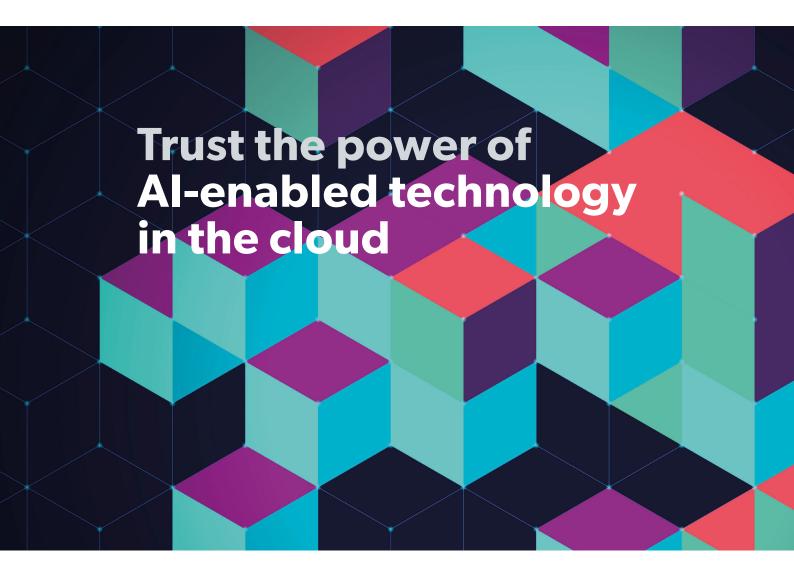Head of Risk Controlling BCM, Berenberg Capital Markets LLC

Joseph Sabelja
Executive Director - AI/ML Product Strategy, JP Morgan

Andrew Delaney
President & Chief Content Officer
A-Team Group

SMARTSTREAM

Trust the power of AI-enabled technology in the cloud

SmartStream's fully integrated suite of solutions and platform services for middle- and back-office operations are more relevant than ever – allowing 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.

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

SmartStream Technologies

Winner: Best Solution for Regulatory Change Management

SmartStream's 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 many 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 or in cloud environments.

About SmartStream

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.

www.smartstream-stp.com

As a result, more than 2,000 clients - including the majority of the world's top 100 banks, rely on SmartStream Transaction Lifecycle Management (TLM®) solutions to deliver greater efficiency to their operations.

Winner: Best Solution for Digital
Transformation in Regulatory Compliance

+SUBSCRIBE

+SUBSCRIBE is a provider of enterprise software solutions for allocators, sponsors, and service providers that enable the digital transformation of the alternative investments industry. The company is the leading order management system and electronic subscription document technology for alternative product transactions. +SUBSCRIBE is Powering Alternative Investments® for GPs, LPs, and Service Provider organizations.

+SUBSCRIBE

Winner: Best Conduct Risk Solution

ACA Group

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

www.acaglobal.com

Winner: Best Risk Calculation Engine for
Regulatory Compliance

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.

https://adenza.com/

Winner: Best Data Solution for FRTB

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.

www.bloomberg.com

Bloomberg

Winner: Best Transaction Reporting Solution

eflow Global

For over 20 years, eflow global 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

e f l o w

Winner: Best Solution for Operational Risk Management

Fusion Risk Management

Fusion Risk Management is a leading industry provider of cloud-based software solutions for operational resilience, encompassing risk management, third-party risk management, information technology and security risk, business continuity and disaster recovery, and crisis and incident management. Its products and services take organizations beyond legacy solutions and empower them to make data-driven decisions with a flexible approach through one system. Fusion and its team of experts are dedicated to helping companies achieve greater operational resilience.

www.fusionrm.com

FUSION
RISK MANAGEMENT

Winner: Best Software Solution for FRTB

GoldenSource

GoldenSource's enterprise data management platform enables investment managers to make more informed decisions to facilitate better outcomes for their clients. The cloud-based GoldenSource platform sources, standardizes, validates, and delivers mission critical financial data to whoever needs it in real time to any team globally. Leveraging this centralized data store gives firms the ability to speak a consistent language which allows firms to manage risk more effectively, meet regulatory requirements, and optimize operating models.

www.thegoldensource.com

Collected by A-Team Group on behalf of GoldenSource

GoldenSource®

Winner: Best Reporting Solution for CFTC Reporting

Kaizen Reporting

Kaizen Reporting are regulatory specialists on a mission to transform the quality of regulatory reporting in the financial services industry.
By combining regulatory expertise with advanced technology, we've developed our multi-award winning automated services for assurance, shareholding disclosure and our Single Rulebook digital platform.
It's our forensic focus on data accuracy that sets us apart and we are proud to call many of the world's largest banks, asset managers, hedge funds and brokers as our clients. Whether it's the global shareholding disclosure rules, or reporting under MiFIR, EMIR, CFTC, SFTR or another G20 regulation, Kaizen exists to help our clients reduce costs, improve quality and increase confidence in their regulatory reporting.

www.kaizenreporting.com

KAIZEN®
R E P O R T I N G

Winner: Best Regulatory Reporting Solution

KOR Financial

U.S.-based KOR Financial is a fintech company that develops future-minded technology innovations tailored specifically for the derivatives markets. KOR is CFTC-licensed and the first independent Swap Data Repository ("SDR"), delivering solutions that enable market participants to meet reporting mandates for OTC derivative trades and lifecycle events. KOR provides a Reporting-as-a-Service (RaaS) offering to complement its SDR, which together replace many common reporting functions and solve numerous systemic reporting challenges. The KOR team comprises former trade repository heads, SMEs and technology pioneers, creating the first intelligent transactional derivatives platform. The CFTC SDR license is issued to and operated by KOR Reporting Inc., an affiliate of KOR Financial Inc.

www.korfinancial.com

KOR

Winner: Best Sanctions and PEPs Solution

KYC Hub

KYC Hub enables organizations to mitigate the risk of financial crime and reduce costs by an automated and configurable risk ops infrastructure and better data insights. Our RPA-powered workflow engine enables onboarding and due diligence workflows for any use case. Powered by hundreds of AI-enabled verifications and our proprietary knowledge graph of individuals and entities, we empower organizations to tailor their onboarding and risk assessment and reduce costs, friction, and risk.

www.kychub.com

Collected by A-Team Group on behalf of KYC Hub

Winner: Best Innovative Technology for
Regulatory Compliance

LeapXpert

LeapXpert provides enterprises peace of mind by creating an accessible digital record of all business interactions carried out over mobile messaging and voice applications. The LeapXpert Communications Platform is the first Federated Messaging Orchestration Platform to provide visibility into data from instant messaging channels, as well as unparalleled governance and control. This enables enterprises to embrace a customer-centered communication approach while maintaining professional conduct and ensuring compliance. The award-winning company is headquartered in New York with 6 global offices.

www.leap.expert

Winner: Best North America RegTech Start Up

LightBeam.ai

A leader in the data security & privacy automation category, LightBeam has rapidly gained customers' trust by pioneering a unique identity-centric and automation-first approach to data security and privacy compliance. LightBeam's self-learning AI platform natively secures sensitive data by redacting/deleting/archiving objects with sensitive information, and keeps you in continuous compliance for audits. Unlike siloed solutions, LightBeam ties together sensitive data discovery, cataloging, access, and data loss prevention (DLP).

www.lightbeam.ai

Winner: Best Data Solution for Regulatory Compliance

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

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

n-Tier

n-Tier is an innovative financial technology company that couples deep industry expertise with a unique software platform to help institutions minimize the risks and costs associated with regulatory reporting. Our Compliance Workbench is the only platform that has proven to programmatically unwind the complexity of trade flows across all front- and back-office environments globally to produce accurate regulatory reports while providing the independent monitoring and controls needed to manage critical reporting obligations.

www.ntierfs.com

Winner: Best KYC Data Solution

Refinitiv, an LSEG business

Refinitiv delivers trusted Customer and Third-Party Risk solutions that encompass regulatory change, anti-bribery and corruption, third-party and supply chain risk, AML, financial crime, KYC, and digital transformation. Our products and solutions include World-Check®, Due Diligence, and Qual-ID. We draw on cleaner, richer, more accessible data to support the use of advanced technologies like AI and machine learning – helping our customers gain greater insight, fuel more rapid innovation, and successfully navigate this time of unparalleled change.

www.refinitiv.com/en/risk-and-compliance

Winner: Best Transaction Cost Analysis
Solution for Best Execution

S3

Global Regulatory Compliance & Trade Analytics Software
S3 is a full-service compliance and trade analytics software company that serves many of the world's largest financial institutions and exchanges. S3's sleek, easy-to-use platform features trade analysis tools such as Global Best Ex & TCA for Options, Equities, and Fixed Income, as well as regulatory reporting tools for Trade Surveillance, SEC Rules 605 and 606 reporting, Consolidated Audit Trail (CAT) reporting, and MiFIR reporting. LinkedIn: S3 | Twitter: @S3Bestex

https://s3.com

Winner: Best KYC Solution for Client On-Boarding

Shufti Pro LTD

Shufti Pro is an identity verification service provider offering AI-powered KYC, KYB and AML solutions to help organizations across the World onboard and manage qualified and legitimate customers. Its fully automated, global and highly configurable solution can be installed in the cloud or onprem. With the ability to verify over 9000 ID documents in 150+ languages, Shufti Pro is serving organizations in 230+ countries and territories.

https://shuftipro.com

Winner: Best Financial Crime Solution

smartKYC

smartKYC's AI software is used by banks to automate customer due diligence whether for remediation, onboarding, refresh or continuous monitoring; our 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 screening and research. smartKYC presents facts about risks like adverse media, but also provides insights into information like source of wealth, network risk and ESG misdemeanours.

www.smartkyc.com

Winner: Best Regulatory Solution for FATCA / CRS

TAINA Technology

TAINA is the market leading FATCA & CRS Validation Platform that is revolutionizing the way that financial institutions of all types manage FATCA, CRS and QI compliance. Our fully automated platform is being used at scale by the world's largest and most sophisticated financial institutions to validate FATCA and CRS forms in all formats, saving our clients costs and time, reducing their risk and radically improving their customer experience.

www.taina.tech

Winner: Best Trade Surveillance Solution

Trillium Labs

Trillium Labs is a fintech company and creator of Surveyor, trade surveillance and best execution software designed to detect and analyze potential market manipulation. Surveyor delivers actionable insights in real-time across equities, derivatives, fixed income, and crypto markets, allowing organizations to adhere to evolving regulations without disrupting business growth objectives. We are the only patented solution to use a full depth-of-order book to reduce false positives.

http://trlm.com/surveyor

More RegTech Insight USA
Awards 2022 winners

RegTech Insight
Awards USA

Best Buy-Side Data Management Solution for
Regulatory Compliance
AML Partners

Best Regulatory Consultancy – North America
Deloitte

Best Data Privacy Solution
Enveil

Best Regulatory Compliance Solution for LIBOR
Numerix

Best Sell-Side Data Management Solution for
Regulatory Compliance
Smarsh

Best Analytics Solution to Address Capital
Requirements/Liquidity Risk
Solve Advisors

Best Compliance as a Service Solution
Theta Lake

Best e-Comms Surveillance Solution
VoxSmart

Best Operational Risk Solution
Wolters Kluwer

A-TEAMGROUP

For Marketing: **www.a-teamgroup.com**

For Content: **www.a-teaminsight.com**