

RegTech Insight Awards USA 2024 Winners' Report

About RegTech Insight Awards USA 2024

Congratulations to the winners of A-Team Group's RegTech Insight Awards USA 2024. The awards recognise both established providers and innovative newcomers providing RegTech solutions to capital market participants that significantly improve their ability to respond effectively to evolving and ever more complex regulatory requirements. The winners were announced on 21 November 2024.

This year's RegTech Insight Awards USA covered more than 30 categories including Most Innovative Technology for Regulatory Compliance, Best Solution for Records Retention, Best Sanctions and PEPs Solution, Best Regulatory Change Management Solution, and more.

The Editor's Recognition Award for USA RegTech Industry Professional of the Year was given to Joseph Sabelja, Executive Director - AI/ML Strategy, JP Morgan.

Thank you to all the vendors that entered A-Team Group's RegTech Insight Awards USA 2024, to our RegTech Insight community that voted for its preferred 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 a competitive contest. If you would like your company to be considered for future RegTech Insight Awards in Europe or APAC, **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.

Raymond Hanson

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

Kai Schrimpf

Managing Director, Head of Monitoring and Screening Controls
Morgan Stanley

Martha Cummings

Senior Global Risk Compliance and Regulatory Executive

Joshua Beaton

Head of Non-Financial Regulatory Reporting (NFRR)
Wells Fargo

Hayden Boilini

Trade & Investment Associate
Department for International Trade (DIT)

Brett Utnick

Director – Head of US Regulatory Services
BMO Financial Group

Stan Yakoff

Adjunct Professor of Law
Fordham Law School

Julian Horky

Head of Risk Controlling BCM
Berenberg Capital Markets LLC

Joseph Sabelja

Executive Director - AI/ML Product Strategy
JP Morgan

Mary Kopczynski

Co-Founder
Women in RegTech New York (WIRNY)



Andrew Delaney

President & Chief Content Officer
A-Team Group

S&P Global - Cappitech

Winner: Best Regulatory Reporting Solution

S&P Global Market Intelligence Cappitech provides regulatory reporting, best execution analysis and business intelligence solutions that meet the fast-evolving needs of the largest and most complex financial and non-financial institutions. Our cloud-based, cross-regulation SaaS platform fully automates the reporting process and provides a comprehensive view on a single, intuitive dashboard for reporting regimes such as EMIR, MiFID, SFTR, FinfraG, SEC 10c-1a, CFTC, Canadian reporting, ASIC, MAS, JFSA, HKMA and others.

Cappitech's best-in-class technology solution is data source, data format and endpoint agnostic. Cappitech can integrate data from proprietary trade capture and risk systems to dozens of third-party vendor solutions across order management, trade execution, confirmation platforms and risk management applications.

Led by a team of experts with a 20+ year track record in reg reporting and technology, and servicing more than 600 leading global banks, brokers, asset managers, hedge funds, and corporations, Cappitech is consistently recognized for its leading-edge technology, future-proof services, thought leadership and constant innovation.

By working collaboratively with the industry to anticipate and prepare for changing regulatory reporting requirements, we ensure our solutions are based on the right expertise to deliver cost-effective and efficient services for our customers.

For more information, please visit www.cappitech.com.



About S&P Global - Cappitech

Cappitech

S&P Global

Market Intelligence

www.cappitech.com



S&P Global Market Intelligence Cappitech provides regulatory reporting, best execution analysis and business intelligence solutions that meet the fast-evolving needs of the largest and most complex financial and non-financial institutions. Our cloud-based, cross-regulation SaaS platform fully automates the reporting process and provides a comprehensive view on a single, intuitive dashboard for reporting regimes such as EMIR, MiFID, SFTR, FinfraG, SEC 10c-1a, CFTC, Canadian reporting, ASIC, MAS, JFSA, HKMA and others.

Editor's Recognition Award for USA RegTech Industry Professional of the Year

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

Joe joined JP Morgan in 2011 and leads the enablement of the Generative AI platform firmwide. The Generative AI platform enables easy, trusted and efficient enablement of Gen AI use-cases. A key focus is the support for Agentic AI to enhance productivity, especially for RegTech. Prior to joining JP Morgan, he worked at Bloomberg, Two Sigma Investments, Bank of America, and LSEG Reuters. Joe is also the professor of Machine Learning at CUNY.



Winner: Best Solution for Digital Transformation in Regulatory Compliance

AML Partners

AML Partners specializes in digital transformations, KYC on-boarding, and AML solutions that facilitate best practices and provide competitive advantage to our clients. We serve financial institutions around the globe, and we work extensively with U.S. branches of foreign financial institutions. A founder-driven firm, AML Partners delivers peak innovation and flexibility on our no-code RegTechONETM platform. Our clients' success and satisfaction drives the work of AML Partners, and we remain steadfastly committed to helping prevent financial crime.

www.amlpartners.com



RegTechONE
by AML Partners

Winner: Best Data Privacy Solution

Cypago

Cypago's SaaS-based Cyber GRC Automation (CGA) platform transforms the three lines model by automating GRC processes, enhancing visibility, streamlining enforcement, and cutting costs. Leveraging technologies like advanced analysis, GenAI, and NLP, it supports any security framework across cloud and on-premises environments. Founded in 2020 by experienced tech and cybersecurity veterans, Cypago bridges gaps between management, security, and operations for seamless, efficient governance.

www.cypago.com



CYPAGO

Winner: Most Innovative Technology for Regulatory Compliance

Datactics

Datactics specializes in custom data quality, data matching and compliance solutions for organizations with complex data needs. Unlike off-the-shelf platforms, Datactics combines a powerful, flexible platform with hands-on support from data experts to deliver trusted, regulatory-ready data that meets the unique demands of financial services, government, and regulated industries. Our tailored solutions empower clients to achieve complete data confidence, streamline compliance processes, and uncover hidden insights—all with a focus on accuracy, security, and operational efficiency.

www.datactics.com



Winner: Best Solution for CFTC Reporting

Droit

Droit Adept is the innovative, patented platform that drives intelligent decision-making in a complex rule-driven landscape. The Adept platform provides an implementation of regulatory rules reflecting industry consensus. Institutions rely on Adept to provide solutions for pre-trade and post-trade controls, evaluating the permissibility of transactions, compliant regulatory reporting, and more. Adept generates decisions directly from digitized rules, regulations, and internal policies, visually represented in intuitive logic diagrams and linked back to the original sourced text. This complete traceability empowers users to act right with confidence.

droit.tech



Winner: Best Client On-Boarding Solution

Encompass

Encompass enables fast, accurate identity validation and verification of corporate customers, and a gold standard approach to KYC. Our award-winning **Corporate Digital Identity (CDI) platform** incorporates real-time data and documents from authoritative global public data sources and private customer information to create and maintain a holistic view of customers with digital risk profiles. With Encompass, the world's leading banks improve customer experience and increase business opportunities through consistent regulatory compliance and risk mitigation.

encompasscorporation.com



 **DATACTICS**



droit



 **encompass**
the full picture. fast

Winner: Best KYC Data Solution

Fenergo

Fenergo is the leading provider of AI-powered Client Lifecycle Management (CLM) solutions that digitally transform how financial institutions, asset management and fintech firms and corporates onboard and manage clients throughout their client lifecycle. Its software digitally orchestrates every client journey from initial Know your Customer (KYC) and client onboarding, automating regulatory compliance and enabling continuous monitoring throughout the client lifecycle (transaction monitoring, perpetual KYC), all the way to client offboarding.

www.fenergo.com



fenergo

Winner: Best Transaction Reporting Solution

Kaizen

Kaizen are regulatory specialists on a mission to revolutionise compliance and make it easier for financial firms to work with regulation. By combining regulatory expertise with advanced technology, we've developed our multi-award winning automated services for trade and transaction reporting assurance, research and surveillance, shareholding disclosure and our Single Rulebook digital platform. Kaizen exists to help our clients reduce costs, improve data quality and meet their compliance obligations.

kaizenreporting.com



KAIZEN®

Winner: Best Solution for Records Retention

LeapXpert

The LeapXpert Communications Platform is the premier Digital Communications Governance & Archiving (DCGA) solution, allowing fully-governed communications between employees and clients using consumer messaging applications -- such as WhatsApp, iMessage, WeChat, Signal, Telegram, and LINE -- as well as SMS and voice. It enables organizations to meet regulatory compliance and adhere to strict governance policies through comprehensive enterprise controls and unparalleled data security.

www.leapxpert.com



**LEAP
XPERT**
Responsible Business Communication

Winner: Best Sanctions and PEPs Solution

LSEG Risk Intelligence

LSEG Risk Intelligence provides a suite of solutions to help organisations efficiently navigate risks, limit reputational damage, reduce fraud and comply with legal and regulatory obligations around the globe. From screening solutions through World-Check, to detailed background checks on any entity or individual through due diligence reports, and innovative identity verification, account verification and digital onboarding services – organisations can trust LSEG Risk Intelligence to help them effectively manage their risk.

www.lseg.com/risk-intelligence



Winner: Best Regulatory Change Management Solution

MCO (MyComplianceOffice)

MyComplianceOffice (MCO) provides compliance management software that enables companies around the world to reduce their risk of misconduct and effectively oversee regulatory obligations. Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of the company, employees and third-parties and provide evidence of regulatory compliance. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get firms up and running quickly and cost-effectively.

www.mycomplianceoffice.com



Winner: Best Solution for Sell-Side Regulatory Compliance

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. The 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 AI Solution for Regulatory Compliance

Saifr

Saifr, a RegTech within Fidelity Investment's innovation incubator, Fidelity Labs, is committed to safeguarding organizations from pervasive AI and regulatory risks. Using intelligent technology that efficiently and effectively navigates complex compliance and regulatory requirements, Saifr helps clients save time, reduce costs, and improve accuracy while protecting the firm. Our advanced, AI-powered risk prevention and management solutions include capabilities for marketing compliance review and adverse media screening and monitoring.

saifr.ai



Winner: Best e-Comms Surveillance Solution

Smarsh

Smarsh enables companies to transform oversight into foresight by surfacing business-critical signals in more than 100 digital communications channels. Regulated organizations of all sizes rely upon the Smarsh portfolio of cloud-native digital communications capture, retention, and oversight solutions to help them identify regulatory and reputational risks within their communications data before those risks become fines or headlines. Smarsh serves a global client base spanning the top banks in North America, Europe, and Asia, along with leading brokerage firms, insurers, and registered investment advisors and U.S. state and local government agencies. To discover more about the future of communications capture, archiving and oversight, visit www.smarsh.com

www.smarsh.com



Winner: Best Risk Calculation Engine for Regulatory Compliance

Wolters Kluwer

Wolters Kluwer (EURONEXT: WKL) is a global leader in information, software solutions, and services for professionals in healthcare; tax and accounting; financial and corporate compliance; legal and regulatory; corporate performance and ESG. We help our customers make critical decisions every day by providing expert solutions that combine deep domain knowledge with technology and services. OneSumX for Finance, Risk & Regulatory Reporting (FRR) is a solution of the company's Corporate Performance and ESG division, supporting regulated financial institutions in meeting their obligations to external regulators and their own board of directors.

www.wolterskluwer.com



More RegTech Insight Awards USA 2024 winners

Best Regulatory Intelligence Solution

RegAlytics

Best Regulatory Data Solution

Bloomberg

Best Regulatory Consultancy - North America

Capco

Best Solution for Buy-Side Regulatory Compliance

Confluence Compliance Services

Best Transaction Cost Analysis Solution for Best Execution

KX

Best Cloud Solution for Regulatory Compliance

Regnology

Best Trade Surveillance Solution

S3

Best Regtech Start Up for Institutional Markets

4CRisk.ai

Best Operational Risk Solution

Axoni

Best Distributed Ledger Technology for Regulatory Compliance

Chainalysis

Best Financial Crime Solution

ID-Pal

Best Solution for Operational Resilience

Imandra

Best Liquidity Risk Solution

ION

Best Conduct Risk Solution

Kroll

Best Transaction Monitoring Solution

Napier AI

Best Post Trade Solution

Broadridge

Best Compliance as a Service Solution

Nasdaq

Best Tax Compliance Solution

Taxbit

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For Content: www.a-teaminsight.com