RegTech Insight
Awards USA 2025

RegTech Insight Awards USA 2025 Winners' Report

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About RegTech Insight Awards USA 2025

Congratulations to the winners of A-Team Group's RegTech Insight Awards USA 2025. 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 awards were announced on 20 November 2025.

This year's RegTech Insight Awards USA covered more than 30 categories including Best Financial Crime Solution, Best Solution for Buy-Side Regulatory Compliance, Best Compliance as a Service Solution, Best Sanctions and PEPs Solution, Best Solution for Records Retention, and more. The Editor's Recognition Award for USA RegTech Industry Professional of the Year was given to Erin Preston, Chief Compliance Officer, Wedbush Fund Advisers, LLC.

Thank you to all the vendors that entered A-Team Group's RegTech Insight Awards USA 2025, 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 against a backdrop of continued regulatory challenges.

If you would like your company to be considered for future RegTech Insight Awards in Europe or USA, **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.

Andrew Delaney
President & Chief Content Officer
A-Team Group

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

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

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

Stan Yakoff
Adjunct Professor of Law, Fordham Law School

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

Mary Kopczynski
Co-Founder, Women in RegTech New York (WIRNY)

Alex Ford
Director, The RegTech Association

Samantha Leventhal
Managing Director, Global Financial Crimes Executive, Bank of America

Chandrakant Maheshwari
FVP, Lead Model Validator, Flagstar Bank

Kenneth Lamar
Principal Partner, Lamar Associates LLC

Anand Narayanan
Executive Director, Regulatory Change Management
Sumitomo Mitsui Banking Corporation (SMBC)

Dessa Glasser
Independent Board Member, Oppenheimer & Co.
Principal, The Financial Risk Group

Kerry Gendron
Managing Director, Head of Product, Surveillance Innovation, JP Morgan Chase

FinScan,
an Innovative Systems solution

Winner: Best Financial Crime Solution (including AML/Fraud)

FinScan helps organizations strengthen their AML, KYC, and sanctions compliance programs through data intelligence, precision matching, and automated governance. Trusted by global institutions, FinScan empowers financial crime compliance teams to uncover hidden risks, reduce alert fatigue, and make faster, more defensible decisions.

The solution's FinScan Reveal and FinScan Enhance modules transform raw, inconsistent data into clean, structured records before screening begins—eliminating noise, uncovering hidden entities, and ensuring every customer or counterparty is accurately represented. Its cognitive, explainable matching framework provides field-level transparency for every match, showing analysts exactly why a record matched (or didn't), while embedded governance and audit controls preserve full lineage and regulatory defensibility in line with standards such as Wolfsberg, SR 11-7, and NYDFS 504.

Recent innovations in its FinScan Payments solution further expand its capabilities for high-volume transaction screening. With automated mapping for ISO 20022 and other emerging message formats, FinScan enables real-time analysis of richer, more complex payment data without adding latency or integration overhead.

By combining unmatched data quality heritage with configurable, scalable technology, FinScan helps organizations modernize compliance operations, strengthen detection accuracy, and reduce operational cost—all within a unified, future-ready platform built to evolve alongside global regulatory and data management demands.

About FinScan

FinScan®
an Innovative Systems Solution

FinScan®, an Innovative Systems solution, provides advanced Anti-Money Laundering (AML) compliance technology to hundreds of organizations worldwide. Built on decades of data management and proprietary matching expertise, FinScan provides a data-first, risk-based approach to ensure unparalleled accuracy and efficiency in detecting and reducing risk, accelerating AML compliance workflows, and optimizing team productivity. FinScan capabilities include superior KYC, sanctions and payments screening, risk scoring, data quality, and advisory services for implementing a holistic compliance program.

www.finscan.com

FinScan,
an Innovative Systems solution

FinScan Wins Best Financial Crime Solution (including AML/Fraud) at A-Team Group's RTI USA Awards 2025

Chris Ostrowski, CAMS, CRCM Product Management Leader, FinScan - an Innovative Systems Solution

FinScan has won the award for Best Financial Crime Solution (including AML Fraud) for its FinScan Enhance solution in the RegTech Insight USA awards 2025.

The awards recognise established providers and innovative newcomers who offer solutions that are providing leading regulatory technology solutions, services and consultancy to capital markets participants across the Americas. Winners are selected by A-Team Group's independent, expert advisory board in collaboration with its editorial team

We spoke with Chris Ostrowski, CAMS, CRCM Product Management Leader to find out more about their award winning solution.

What does winning A-Team Group's Best Financial Crime Solution (including AML/Fraud) mean for Innovative Systems and the FinScan team?

Winning A-Team Group's Best Financial Crime Solution award validates our leadership in redefining how financial institutions detect and manage risk. It recognizes our data-first, intelligence-driven approach that unites AML and sanctions compliance through transparency and explainability—delivering measurable impact by reducing false positives and uncovering hidden risks.

For the FinScan team, it's a celebration of years of innovation and collaboration with clients worldwide, affirming that our data-quality foundation drives stronger, more efficient compliance outcomes and meaningful progress in the fight against financial crime.

How does FinScan surface hidden entities (e.g., names in joint accounts/address lines) and turn them into sub records at scale?

FinScan preprocesses customer data using proprietary entity-extraction and resolution technology to identify hidden names buried in joint account fields, address lines, or free text. It distinguishes true entities from irrelevant text, ensuring only meaningful data is screened.

When a hidden entity is found, FinScan automatically creates a linked sub record and screens it independently against all watchlists—without manual intervention. In one global insurance deployment, this process uncovered 46,000 hidden names and 400 exact OFAC matches that would otherwise have gone undetected.

By surfacing these entities, FinScan strengthens risk detection and boosts efficiency, ensuring no entity is missed while reducing duplicate or irrelevant alerts.

What governance and audit trails underpin the 'single decision across duplicate alerts', and how does it cut workload without weakening defensibility?

When FinScan identifies records with hidden or duplicate names, each subentry remains linked to the original record, preserving full lineage and transparency. This ensures investigators and regulators can trace every decision back to the source. Data lineage and auditability are built into FinScan's architecture, governed by constant identifiers and duplicate link keys that maintain traceability and accountability.

By applying a single decision across verified duplicates, analysts avoid redundant reviews while every propagated action retains an explicit audit trail showing who authorized it and where it was applied—cutting workload without weakening defensibility.

What measurement framework do you use to evidence reductions in false positives/negatives (for example, the 3-8x claim) across varied client environments and datasets?

Our reduction claims are validated through client partnerships, pilot programs, and quantitative testing using each client's own data. We first establish a baseline false-positive ratio and analyst review volume from 1-5 million historical records. The same dataset is then re-screened through FinScan's data quality and matching workflows, and the differential in alerts, confirmed matches, and workload is calculated.

All results are statistically validated to ensure consistent thresholds and list parameters, then summarized in a validation report comparing baseline and FinScan outcomes. In production, clients track these metrics via built-in dashboards. Across environments, this standardized, data-driven approach consistently delivers 3-8X fewer false positives while improving true-positive detection without relaxing thresholds.

How do you operationalize regulatory data integrity expectations (Wolfsberg, Fed/OCC SR 117, NYDFS 504) in product controls, documentation and explainability?

At the core of most data integrity expectations is transparency, quality, and auditability. Specifically, Fed/OCC SR 11-7 and NYS DFS Part 504 focus on model validation and data quality. FinScan's models focus on data quality from the start. We then run the clean data through our models and provide the results. We provide our clients with access to all models details when requested and test them on a regular basis.

The other tenant of these regulations is the explainability of the scores. As part of the SR 11-7 and Wolfsberg guidance, there is an expectation of documented model logic, performance metrics, and the ability to justify threshold choices. FinScan's scoring and configurable thresholds meet these requirements while our testing environment allows our clients to test model adaptations before they use them in production.

How do you combine data quality remediation with KYC/PEP, sanctions and adverse media screening to enable a risk-based onboarding approach?

For an AML program to be successful, you must have clean data that you can easily understand. FinScan enables a risk-based onboarding approach that uses that clean data to screen against the various lists, verify data points against official sources, and analyse results. The outcome serves as the basis of a risk program that has reliable inputs to assess risk.

Once analysis of the parties and counterparties is completed, compliance teams can understand the risk they present to the organization, based on the program's risk principals. As they enter the next phase of the customer lifecycle, the clean data that started the process remains the constant for ongoing risk analysis and decision-making processes. This improves precision, reduces false positives, and uncovers hidden risks at the very start of the onboarding journey.

What makes your cognitive matching explainable in practice, and how are explanations exposed to analysts and auditors in day today casework?

FinScan's cognitive matching engine is fully explainable in daily operations, formal validations, and audits. Each match score is broken down by contributing fields—name, address, date of birth, nationality, organization ID—with field-level weights, confidence scores, and rationales shown in the analyst interface. Users can see exactly why a record matched or not, with transparency into data normalizations such as noise word or title removal.

FinScan's match simulator extends this transparency by letting auditors or QA teams test and visualize how two records compare, displaying field-by-field logic, thresholds, and rule outcomes for complete interpretability.

Looking ahead, how will you extend coverage (e.g., ISO 20022, additional languages/ identifiers) while preserving the time to value and cost advantages highlighted in your winning case?

FinScan continues to prepare for data-rich, high-volume compliance environments while enhancing speed and scalability.

In May 2025, we launched auto-mapping in FinScan Payments, enabling ISO 20022 and other modern payment formats to be parsed, normalized, and screened without added complexity. This allows seamless migration from legacy ISO 8583 or SWIFT MT formats, preserving precision while accelerating time to value.

FinScan also supports user-configurable dictionaries and alias libraries that adapt by region or industry. In sectors like trade finance, these capture context-specific terms (e.g., "trading as," "on order of," etc.). We're now advancing self-learning capabilities to automatically refine and expand these dictionaries, extending coverage while maintaining cost efficiency.

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

Erin Preston

Chief Compliance Officer, Wedbush Fund Advisers, LLC

Erin Preston is Chief Compliance Officer at Wedbush Fund Advisers, LLC, Onward Advisors, and Alpha One Asset Management. She also serves as Senior Vice President and Chief Compliance Officer at Wedbush Securities, where she is the AMLCO and enterprise head of AML. Erin has significant experience engaging and partnering with senior leadership and multiple business lines to create a strong, flexible, and innovative regulatory compliance environment.

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Winner: Best Risk Calculation Engine for Regulatory Compliance

AML Partners

RegTechONE is an all-in-one platform for Institutions to manage their entire KYC / AML Compliance Program, deployed either On-Prem on in the Cloud. RegTechONE has functionality for Client Lifecycle Management, KYC / CDD / EDD workflows, 1lod, 2lod, Risk Models, 40+ Agent connectors, Entity Sourcing, Client Outreach Portal, Periodic or Perpetual pKYC, AML Behavior (TMS) Monitoring, Global Sanctions - PEP - Media Screening, Real-Time Payment Screening (SWIFT, ACH, FED, IAT etc), FinCEN314(a) Screening, Subpoena Screening, and offers a Dynamic Case Management module for investigations.

amlpartners.com/platform

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RegTechONE
by AML Partners

Winner: Best Solution for Cybersecurity Regulatory Compliance

Apexon

Apexon is a technology services firm specializing in accelerating business transformation and **engineering intelligent enterprises**. For over two decades, the company has been helping clients outperform their competition through speed and innovation by solving their toughest technology problems. The company focuses on **Artificial Intelligence**, **Data and Analytics**, **Digital Engineering** and **Experience**, and has deep expertise in **Banking and Financial Services**, **Healthcare**, and **Life Sciences**. Apexon is backed by Goldman Sachs Asset Management and Everstone Capital. To learn more about Apexon AgentRise, visit **here**. Learn more about Apexon **Agentic AI** and **Generative AI** capabilities.

www.Apexon.com

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Apexon

Winner: Best Regulatory Data Solution

Bloomberg

To succeed today, financial institutions must respond to challenges that are not addressed by traditional approaches. They require world-class solutions that integrate people, processes, information and technology for the front office, middle office and operations. Bloomberg Professional Services – the Bloomberg Terminal and our enterprise data management and integration services – provide real-time data, breaking news, in-depth research and powerful analytics to help financial professionals make smarter, faster and more informed decisions.

www.bloomberg.com/professional

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Bloomberg

Winner: Best Regulatory Consultancy - North America

Capco

Capco, a Wipro company, is a global management and technology consultancy redefining transformation across the energy and financial services industries. Capco leverages the power of AI and our deep domain expertise to help our clients move faster, make smarter decisions, and drive greater impact. Our award-winning Be Yourself at Work culture and diverse talent drive bold, forward-thinking ideas and lasting change.

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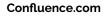
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CAPCO
a **wipro** company

Winner: Best Solution for Buy-Side Regulatory Compliance

Confluence

Confluence Technologies, Inc. is a global leader in enterprise data and software for compliance, regulatory, analytics, and investor communications. For over 30 years, we've empowered asset managers, fund administrators, asset owners, and investment consultants with fast, efficient reporting and insights. Headquartered in Pittsburgh, PA, our 700+ employees across five continents serve 1,000+ clients in 40+ countries. With expert teams and innovative tools, Confluence delivers speed, accuracy, and forward-looking solutions.

Confluence.com

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Confluence

Winner: Best Compliance as a Service Solution

LeapXpert

LeapXpert, the leader in responsible business communication, provides enterprises with peace of mind through governed, compliant, and secure communication solutions. The LeapXpert Communications Platform enables governed and efficient communication between employees and clients through consumer messaging channels, while boosting productivity and decision-making with Communication Intelligence. Hundreds of enterprise customers, with hundreds of thousands of users in more than 45 countries, depend on LeapXpert daily for Digital Communications Governance & Archiving (DCGA) solutions.
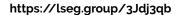
leapxpert.com

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 and account verification– you can trust us to help you manage risk.

https://lseg.group/3Jdj3qb

Winner: Best Solution for Records Retention

MCO

MCO (MyComplianceOffice) provides compliance management software that enables companies around the world to reduce risk and effectively oversee regulatory obligations.
Our singular and 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.

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 Regulatory Alert Management Solution

NICE Actimize

NICE Actimize is a provider of financial crime, risk, and compliance management solutions for global financial services organizations. NICE Actimize's Compliancentral is a cloud-based platform that consolidates communications monitoring, archiving, and trade compliance into a single solution for financial services firms. It supports buy-side, sell-side, online trading, insurance, and wealth management organizations by capturing and analyzing employee communications alongside trade and behavioral data to identify conduct risks.

www.niceactimize.com

Winner: Best Regulatory Reporting Solution

S&P Global Market Intelligence - Cappitech

S&P Global Market Intelligence Cappitech provides regulatory reporting, reconciliation and consulting services 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, CSA, ASIC, MAS, JFSA, HKMA, FSCA and others.

www.cappitech.com

Cappitech

S&P Global
Market Intelligence

Winner: Best AI Solution for Regulatory Compliance

Saifr

Saifr®, an AI company focusing on AI agents for compliance, was built within Fidelity Labs. Saifr 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 their firms. Our advanced, AI-powered risk prevention and management solutions include capabilities for marketing compliance review, adverse media monitoring, and electronic communications surveillance.

https://saifr.ai/

More RegTech Insight Awards
USA 2025 winners

Best Conduct Risk Solution
ACA Group

Best Client On-Boarding Solution
Fenergo

Best Tax Compliance Solution
Regnology

Best KYC Surveillance Provider
RepRisk

Best e-Comms Surveillance Solution
Smarsh

Best Liquidity Risk Solution
Wolters Kluwer

Best Climate Risk Solution
BlackRock

Best RegTech Solution for Digital Assets Compliance
Chainalysis

Best Data Privacy Solution
Cypago

Most Innovative Technology for Regulatory Compliance
Datactics

Best Controversy Monitoring Solution for ESG
Dow Jones

Best Solution for CFTC Reporting
Droit

Best Post Trade Solution
DTCC

Best KYC Data Solution
Encompass

Best Trade Surveillance Solution
Eventus

Best Solution for Digital Transformation in Regulatory Compliance
Finastra

Best Cloud Solution for Regulatory Compliance
FundApps

Best Solution for Operational Resilience
Fusion Risk Management

Best Operational Risk Solution
Infosys

Best Regulatory Change Management Solution
Kaizen

Best Transaction Cost Analysis Solution for Best Execution
KX

Best Solution for Stress Testing
Moody's

Best ESG Carbon Accounting Provider
Persefoni

Best Transaction Reporting Solution
Qomply

Best Distributed Ledger Technology (DLT) for
Regulatory Compliance
R3

Best Regtech Start Up for Institutional Markets
SnippetSentry

Best ESG Data and Reporting Solution
Sustainalytics

Best Regulatory Intelligence Solution
Vixo

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