



RegTech Insight Awards USA 2023 Winners' Report

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About RegTech Insight Awards USA 2023

Congratulations to the winners of A-Team Group's RegTech Insight Awards – USA 2023. These awards celebrate vendors of leading RegTech solutions, services and consultancy, and are designed to recognise both start-up and established providers offering creative solutions to regulatory challenges.

The awards were presented during a lively drinks reception after the close of A-Team Group's 16 November 2023 RegTech Summit in New York City.

The awards included 28 categories ranging from Best Sanctions and PEPs Solution to Best Post-Trade Solution, Best Know Your Customer Solution, Best Solution for Records Retention, Best Solution for Sell-Side Regulatory Compliance, Best Solution for Buy-Side Regulatory Compliance, Best e-Comms Surveillance Solution, Best Regulatory Intelligence Solution and more.

An editor's recognition award for RegTech Industry Professional of the Year was presented to Mary Kopczynski, CEO at RegAlytics, and Co-Founder of Women in RegTech New York.

Thank you to all the vendors that entered A-Team Group's RegTech Insight Awards – USA 2023, 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 closely fought and highly competitive contest.

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

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
Managing Director, Head of Monitoring
and Screening Controls, Morgan Stanley

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

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

Dow Jones

Winner: Best Sanctions and PEPs Solution

Dow Jones Risk & Compliance is a global provider of best-in-class risk data, web-based software applications and scalable due diligence services that help organizations manage risk and meet regulatory requirements related to financial crime, third-party risk management, sanctions and international trade. Built on the legacy of one of the world's most trusted newsrooms, Dow Jones Risk & Compliance combines the expertise of a multilingual research team with industry-leading data scientists and technologists to provide actionable content structured specifically for compliance needs. Our solutions were developed in partnership with top legal and political advisors — including former regulators — to help our clients maintain consistency across global business units and teams.



About Dow Jones



<http://dowjones.com/risk>



Dow Jones is a global provider of news and business information, delivering content to consumers and organizations around the world across multiple formats, including print, digital, mobile and live events. Dow Jones has produced unrivaled quality content for more than 130 years and today has one of the world's largest news-gathering operations globally. It is home to leading publications and products including the flagship Wall Street Journal, America's largest newspaper by paid circulation; Barron's, MarketWatch, Mansion Global, Financial News, Investor's Business Daily, Factiva, Dow Jones Risk & Compliance, Dow Jones Newswires, OPIS and Chemical Market Analytics. Dow Jones is a division of News Corp.

Saifr

Winner: Best AI Solution for Regulatory Compliance

Saifr®, a Fidelity Labs company, is a RegTech provider enabling marketing, legal, and compliance teams within financial services companies to reduce friction in their content creation, approval, and filing processes. Saifr's AI "understands" content as it is created, highlights potential marketing and compliance risks in text, images, video, and audio, explains why the risk was flagged, proposes alternative language, and can suggest relevant disclosures. Clients can generate compliant content up to 10x faster while reducing risk exposure. Saifr is noteworthy for its robust AI made possible by unique access to data—millions of documents representing 20+ years of work by thousands of marketing and compliance experts in various lines of business. These documents, and those from other independent sources, were validated by former regulatory staff attorneys and feed the natural language processing models. By using this massive amount of labeled and unlabeled data, Saifr's AI models are well equipped to handle new scenarios, unlike rule-based methods. Saifr also includes a feedback loop allowing its AI to learn from users and become more effective over time. With Saifr's workflow tool and/or add-ins, clients can experience cost savings, quicker time to market, and reduced risk exposure.



About Saifr



Saifr®, a RegTech incubated by Fidelity Labs, streamlines the content creation and review process to help mitigate brand, reputational, and regulatory risk. Saifr leverages its unique access to millions of documents representing 20+ years of work by thousands of marketing and compliance experts in various lines of business to create deep-learning AI models. Saifr's AI helps make content creation, approval, and filing processes easier, faster, less expensive, and more accurate.

www.saifr.ai



www.regtechinsight.com

RegTech Industry Professional of the Year

Mary Kopczynski, CEO, RegAlytics

Most people do not think of regulation as “fun,” but RegAlytics with its maverick leader, Mary Kopczynski, is ushering in something the world has never seen before. They are relentless in their mission to make regulation easier. Covering over 8,000 regulators in 50 sectors, RegAlytics strives to be the most comprehensive, coherent and customizable regulatory alerts tool in the world. And while Mary certainly raises eyebrows with her casual exuberance when dishing on the previous week’s regulatory updates, most people get drawn into her vision of a future world of simplified compliance. Mary is also proud to be the co-founder of Women in RegTech New York.



Winner: Best Post Trade Solution

Adenza

Adenza provides customers with end-to-end, trading, treasury, risk management and regulatory compliance platforms which can be delivered on-premises or via the 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 Client On-Boarding Solution

AML Partners

AML Partners’ innovative AML and GRC software fights financial crime and supports client success. Clients prize the API-driven RegTechONETM platform for its no-code workflows, comprehensive AML options, API integrations, and rich Risk tools available platform-wide. Areas of expertise include AML Compliance, AI integrations on RegTechONE, Perpetual KYC, eKYC Golden Record technology, centralized-control options, and digital transformation solutions. AML Partners operates as a self-funded, founder-owned company that enjoys strong strategic partnerships and serves clients around the world.

<https://amlpartners.com>



Winner: Best Solution for CFTC Reporting

Droit

Droit builds mission-critical, breakthrough products to advance global regulatory compliance and real-time controls. 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.

<https://droit.tech>



droit

Winner: Best Solution for Operational Resilience

Fusion Risk Management

Fusion Risk Management is a leading industry provider of cloud-based operational resilience software, encompassing business continuity and disaster recovery, risk management, information technology and security risk management, crisis and incident management, and more. Its solutions empower organizations to make data-driven decisions with a holistic, agile approach and enable them to deliver on their brand promise through disruption.

www.fusionrm.com



FUSION
RISK MANAGEMENT

Winner: Best Know Your Customer Solution

ID-Pal

ID-Pal is an award-winning provider of global digital identity verification solutions for customer onboarding. Trusted by organisations worldwide our platform provides real-time identity and address verifications with a comprehensive range of advanced biometric, document, and database checks. Its solution can be set up in a day and streamlines the Know Your Customer (KYC) and Anti-Money Laundering (AML) processes while offering flexible deployment options, including an out-of-the-box solution, API/SDK integration, and as a Salesforce AppExchange.

www.id-pal.com



iDPal
Identity Verification. Made Simple.

Winner: Best North America RegTech Start Up for Institutional Markets

KOR Financial

KOR is an independent global derivatives regulatory platform focused on user-centric design and innovation. We offer licensed trade repositories and reporting services covering data management, processing, pre-validations, submission, reconciliation, and analytics. With top experts and advanced technology, KOR delivers high compliance with minimal effort.

www.korfinancial.com



Winner: Best Solution for Records Retention

LeapXpert

The LeapXpert Communications Platform enables, captures, and manages business conversations conducted over consumer messaging applications and voice channels. It enables enterprises to achieve regulatory compliance and meet strict governance policies through its comprehensive data recordkeeping and unrivalled data security and control capabilities. Users benefit from choosing the right communication channel for best efficiency and client satisfaction while meeting their enterprise compliance, governance and security needs.

www.leapxpert.com



Winner: Best Conduct Risk Solution

MyComplianceOffice (MCO)

MCO provides powerful compliance management software that companies around the world use to reduce the risk of misconduct and effectively oversee regulatory obligations

It is the only fully integrated compliance management platform that uses a global company and security master dataset to identify conflicts across firm transactions (deals, research, and trades), employees, and third parties and provide evidence of regulatory compliance.

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. 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 e-Comms Surveillance Solution

NICE Actimize

NICE Actimize's X-Sight DataIQ ClarityKYC is a SaaS workflow solution designed to simplify KYC for financial services organizations. The solution facilitates compliance with KYC/Anti-Money Laundering (AML) requirements by integrating disparate datasets and streamlining the customer identification, due diligence and credit investigation process. Leveraging advanced AI, the solution has successfully helped many financial institutions address those needs by collecting and aggregating information from ever-automated manual processes and reducing user errors. For more information, please go to the website.

www.niceactimize.com/brochures/x-sight-dataiq-clarify-kyc-100



Winner: Best Solution for Buy-Side Regulatory Compliance

**S&P Global Market Intelligence
Cappitech**

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, CFTC, Canadian reporting, ASIC, MAS, JFSA, HKMA and others.

www.cappitech.com



Winner: Best Transaction Reporting Solution

Kaizen Reporting

Kaizen are regulatory and data 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 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



Some of the team at Kaizen celebrate their win for Best Transaction Reporting Solution



Winner: Best Data Privacy Solution

LightBeam.ai

LightBeam is on a mission to create a secure privacy-first world. By tying data privacy, data security and AI governance together, LightBeam empowers compliance and InfoSec teams to help their organizations take advantage of AI responsibly, and transform themselves from cost centers to business drivers.

www.lightbeam.ai



Erin Smith, Head of Marketing



Winner: Best Trade Surveillance Solution

S3

Global Regulatory Compliance Reporting & Trade Analytics Software
S3 is a full-service compliance reporting 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 MiFID II / MiFIR transaction reporting.

<https://s3.com>



Mark Davies, CEO



Winner: Best Regulatory Intelligence Solution

SmartKYC

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.

<https://smartkyc.com>



Binh Dang, Marketing Executive



More RegTech Insight Awards USA 2023 winners

Best Solution for FRTB

Bloomberg

Best Regulatory Data Solution

Moody's Analytics

Best Analytics Solution to Address Capital
Requirements/Liquidity Risk

Moody's Analytics

Best Regulatory Reporting Solution

REGnosys

Best Regulatory Consultancy – North America

ACA Group

Best Compliance as a Service Solution

COMPLY

Best Cloud-Based Solution for Regulatory Compliance

ComplyPortal

Best Solution for Regulatory Change Management
DTCC

Best Financial Crime Solution
Fenergo

Best Risk Calculation Engine for Regulatory
Compliance
Shufti Pro

Best Solution for Digital Transformation in Regulatory
Compliance
Wolters Kluwer

A-TEAMGROUP

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