

- Your Guide to the Industry -



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2016 has been the year of RegTech!

Finally, RegTech has received the attention it deserves and we think that the future will be even brighter. Hailed as the new FinTech at times, we think RegTech is actually more a part of the wider FinTech universe, similar to the FCA's definition as a sub-set of FinTech though.

Why RegTech and why now though? Regulatory Technology, in the sense of information technology that is employed to help complying with financial services regulation, has been around for a while, so sometimes it gets criticised for simply being a buzzword for another hype. Not until recently though - and probably thanks to the increased use of the term RegTech, too - has it been recognised by the financial industry as the great opportunity it is. Recent technological developments in the field of data analytics and machine learning have made a new form of regulatory technology possible and today's solutions are much more powerful than its predecessors.

However, RegTech is still in its infancy - or adolescence depending how you count the years - and there remains a lot to do to get it to the next level. Most of the RegTechs in this Directory are still relatively small and, as this report will show, several serious obstacles need to be overcome for a widespread adoption. We also try to present the situation from the viewpoint of Regulators – after all, they play a crucial role in this process, but are among those to potentially benefit from RegTech, too. We will share some of the conclusions we have gained putting this Directory together. And then we present you detailed information on 167 RegTechs.

We researched the information on which this Directory is based upon with great care and diligence, but we appreciate that despite our best efforts some of the information may not be accurate. So, we are looking forward to your comments and feedback, particular, since it is our intention to make the Directory to be a living document: something that further develops over time as we aim to implement as soon as possible changes we notice or are made aware of, with the latest and most up-to-date version always available at <u>www.planetcompliance.com/regtech/</u>

Therefore, please do get in touch with us if you have any comments, questions or simply like to talk about RegTech at <u>info@planetcompliance.com</u>!

Jochen Heussner Editor, PlanetCompliance



Introduction

Before we get to the list of RegTechs itself, a few words about our selection process and the different criteria in general, but also in particular with regard to the information on each RegTech. Hopefully, it will become clearer why we did things the way we did and help you understand the Directory better.

General selection criteria and process

The selection focuses on RegTechs that, at least to an extent if not exclusively, aim at helping with financial services regulation. Hence, solutions for tax compliance, vendor management or contract management, for example, which are not part of a wider offering that has the aforementioned in mind, are not included.

We appreciate it may not be an exact science since we have included some firms that do offer such services, but not solely or where it is at least apparent that the service is transferable and will be applied to a wider compliance remit. Take for example Data Warehousing: in this category in particular, the number of firms offering access and management of data goes way beyond the selection we have made. The reason. why we have included only the firms you will find in this Directory, is that we tried to draw a line between those that have an application foremost in respect of the management of data relevant for regulatory purposes or at least have a strong focus on Financial Services amongst their customers combined with technology that allows the use of their service for compliance needs through, for instance, advanced data analytics for this objective.

We appreciate it's not an exact science since we have included some firms that do offer such services, but not exclusively or where it is at least apparent that the service is transferable and will be applied to a wider compliance remit.

While RegTech has gained traction only recently, it doesn't matter per se if a company has been around for many years nor does it have to be a start-up to be selected.

Some RegTechs listed in this Directory are actually part of a company or a group of companies: some are displayed as separate entries, others as one. Differentiation is difficult, but we tried to do it along the lines of whether an offering is an independent entity or appearing as a different brand but under the umbrella of a group. Aspects of incorporation in that sense where less

important than, say, the offerings themselves and how they differentiate from the other solutions and services.

Company Description

The company description is based on publicly available information, mostly from the companies' websites and presentations, or a summary provided by the company itself.

Services

Trying to classify the different solutions and services of RegTech firms is a bit like a Sisyphean task: you role that proverbial boulder up the hill and believe you've finally come up with the perfect categories for the different activities, only to talk to someone else (or even yourself) who tells you that you got it all wrong, watching the boulder rolling back down. So, at some point during our quest to find a satisfying way to put them in different boxes to get a better understanding of who does what, we published a post and reached out to the community. The result is the following seven categories of RegTech services:

1) Reporting

Includes solutions that focus on traditional transaction reporting obligations such as regulatory reporting obligations. Trade and Transaction Reporting rules compel financial firms to submit data to exchanges and regulatory authorities. Regulatory Reporting is necessary to monitor the safety and soundness of the financial system and the compliance of its participants with its rules.

2) Monitoring

Covers checks to determine whether transactions breach Anti-Money Laundering (AML), Market Abuse or Payments regulations as well as for the purpose of Fraud prevention and detection. Rules with regard to AML and Combatting the Financing of Terrorism (CFT) require firms to employ software to prevent and report such activities like Currency Transaction Reporting systems that monitor large cash transaction. Other systems are used for the surveillance of other suspicious activities, for example, in relation to insider dealing or market manipulation. RegTech aims to automate these processes and provide better analytics, for instance using artificial intelligence and machine learning to do so.

3) Training

Consists of products and services that aim at the education of staff on subjects like laws and regulations, governance, internal policies, which apply to their day-to-day responsibilities. Regulators expect financial firms to train their employees on a wide range of topics including AML, Financial Crime, Compliance-related aspects like Conflicts of Interest, Market Abuse regulations, Anti-Bribery and Corruption, or IT and Cybersecurity. Of course, this list is not comprehensive and depends on the nature of the business of a financial institution. This is mostly achieved through online platforms in different formats, but gamification of learning, i.e. the attempt to package the content of training into the form of a game, is one of the latest trends to motivate participants to study by using video game design and game elements in learning environments.

4) Legal and Regulatory Analysis

Deals with the identification and interpretation of laws and regulations applicable in the financial services industry. Solutions could also identify gaps in existing systems and controls, assessing and highlighting risks for an institution. Laws, regulations or guidelines oblige firms to maintain internal controls and governance systems as well as established policies and procedures that define and describe these. An example would be a Personal Account (PA) dealing policy in combination with the recent Market Abuse Regulation (MAR) of the European Union: financial firms are required to establish a PA dealing policy and with the introduction of MAR significant aspects have changed. A RegTech solution could not only analyse the new regulation and alert the user to required changes to a policy but also advise on impact in respect of staff training.

5) Client and Counterparty Identification

Focuses on the gathering and processing of the necessary information of a financial firm's clients and counterparties for Know-Your-Customer (KYC), Anti-Money Laundering (AML) and Due Diligence purposes. The process of client on-boarding for banks is often burdensome and time consuming. It can take from several days to (more often) weeks and months before checks are completed and a client can be approved for business. It is, for example, also one of the areas where the application of blockchain technology promises to bring significant time and cost savings.

6) Data Warehousing

Regards the access and management of data. The simple storage of the massive amounts of data that financial firms create, receive and have to collect is a challenge by itself, either through onsite database centres or cloud computing. With many offerings in the sector, there is an overlap with other categories, in particular with the reporting and monitoring of data as it is only logical to attempt to combine data management with analytics, but in this category the focus is on storing and making data accessible.

7) Compliance General

Deals with all solutions that can't be classified in one of the other categories. Regulatory risk modelling, scenario analysis and forecasting could be such activities or all actions to evaluate and oversee a firm's internal culture and behavior, but not limited to, so just to give an idea.

<u>Since</u>

Refers to the year the company was founded. In some cases, the year of incorporation differs from the year the company has actually started its activity based on the company's own representation, but we've decided to go with the first option for sake of accuracy.

Key People

Key People are in most cases the decision makers and founders such as the Chief Executive Office and the Chief Operating Officer (COO) and the Chief Technolgy Officer (CTO), but you will also find the Chief Financial Officer (CFO) and the Chief Technolgy Officer (CTO), Chief Science Officer (CSO), Chief Information Officer (CIO) or other key team members, for example, for marketing or business development and the list doesn't end there. Important is only the role the person plays for the success of the company rather than the job title.



<u>Staff</u>

The number of nerd smileys a company has received indicates the number of employees on its books:

	= more than 1000
	= more than 200
	= more than 50
00 00 00 00	= more than 10
00 00 00 00 00	= up to 10

Not counted as staff are Non-Executive Directors (NED), Advisors to the Board etc. Though it's hard to draw a line in some cases how a NED or Advisors contributes to the companies activities, the focus for the sake of the Directory is on the day-to-day operations of RegTechs.

<u>Funding</u>

To calculate the funding we have consulted information from the companies themselves and several other independent sources to gain the best possible picture. The amount of total funding shown may not be exhaustive though as firms may have raised money but not disclosed amounts.

Financing is included from seed rounds to venture funding as well as loan and debt financing where relevant. Investments from accelerators and incubators have only been considered when significant in respect of amounts and company control in contrast, for example, to start-up programs that solely provide office space or early cost covering. Again, it is difficult to draw a clear line and the process is rather fluid, so it should be considered indicative and we'd advise to double check where necessary. However, we're more than happy to discuss and provide our thoughts upon request.

Key Investors

Key Investors are those investors that have played the most active role in the different funding rounds of company and since in some cases we couldn't list every single one that has contributed in a financing round, we sometimes chose the first group over an investor that may have invested more in absolute terms. Again, accelerators and incubators are only listed when their

investment is significant in respect of amounts and company control.

Social Media Score

The Social Media Score is based on a company's activity across the various channels like Twitter, LinkedIn, Facebook, and Google+, but isn't limited, for instance, to the number of followers or posts, but other factors like frequency, reach, industry involvement etc. as well.

You might not consider it important, so feel free to disregard it, but we believe that a company's success isn't solely build on its products and services, but also how well it sells itself and for that social media is an indispensable tool. In any case, a low score does not necessary need to be a bad thing though; it could simply be down to the fact that the company has only recently started business and does not have the necessary resources. However, in a field like RegTech interaction is vital and we would encourage any StartUp or established company to use these tools. Having said that, as we all know, more is not always better and quality should come before quantity.



RegTech in Numbers



X Analytics Ltd or the average RegTech

The average RegTech was founded 2011, is based in London or - less likely though - in New York. Its main activity is probably Client and Counterparty Identification or Monitoring. The company has about 15 full time staff members and has raised a total of approximately \$5.15M.

Obviously, our average RegTech X Analytics Ltd is a very generalised picture (though a couple of companies come pretty close) considering the variables and the variety of models in the RegTech industry. Having said that, RegTech and its cousin FinTech are living examples of the power of data, so we wanted to share some conclusions and insights we have gathered from the data we have collected.

Location

London is the centre of the RegTech world with almost half of the companies included in this report are headquartered or have an office there. The explanation is easy given London's attraction as one of the financial centres of the world and the support innovation has received there. New York is a similar case, but the US RegTech market is more distributed, naturally towards the San Francisco Bay Area because of the Sillicon Valley tech and financial support, but also with several firms being based in Chicago and Boston. There is no such rivalry in Europe yet though in light of the Brexit decision there has been a lot of talk about having a piece of London's cake. The reality is different though: Dublin continues to be more attractive; Zurich and Luxembourg somewhat surprise, but their strong links to the wealth management and fund industry respectively are likely to be key drivers; the other European financial centres like Paris and, in particular, Frankfurt have little to show for, which could, however, be also a case of less visibility. We would be happy to be proven wrong and see more firms coming from there, too. Singapore appears to be more attractive that Hong Kong, but only very few firms are headquartered their

with instead only a hub for the region. Its rival for dominance in the Asia-Pacific region is likely to be Sydney, which together with other Australian cities, is home to a couple of excellent RegTech firms already.



Staff

The 167 RegTechs in this report employ about 11.000 people with almost everyone we spoke to saying that they intend to add to their staff in the near to medium term. The adjusted average number of staff discounting the few big players that we have included in the Directory is more around ten though with more than two-thirds having less than 30 employees on their books. The use of technology explains a lesser need for headcount and it is truly impressive what some firms have created with limited resources. Though there is not necessarily a correlation between number of staff and funding, obviously the headcount increases after successful funding, as it is often the main reason for seeking external financing.

Funding

Talking about financing, the RegTechs listed in this directory have so far raised \$1.2 billion, though the actual number is likely to be significantly higher: many firms do not disclose the amount they have raised or the funding rounds at all as they are predominantly privately held companies.

Activity

Out of the seven categories, General Compliance is the most frequent, which shows that many offerings cannot be squeezed into one of the traditional areas or qualify for new developments and wider offerings. However, client and counterparty identification, mostly in the form of KYC and AML services, and Monitoring are close on its heels. They are the key areas, where RegTech has had the biggest impact so far, but with the rise of artificial intelligence application to the other areas is likely to increase as well.



Diversity

Lastly, something that is not really surprising, but worth mentioning all the more: women are the clear minority among key staff members, but there a couple of great examples, so hopefully we're going to see more of it.





To give a better understanding how RegTechs work in practice, we at PlanetCompliance have already presented in the past some companies in more detail. We want to continue this tradition with a case study that presents in-depth information on the firm, its story, the people behind the name and what makes them great.





Case Study: CUBE

The story so far

CUBE was established only in 2011 as a software company to provide a next generation information



compliance solution for global financial institutions. 5 years later the company now operates globally with a follow-the-sun model with top tier global banks amongst its customers and offices in London, Melbourne and New York. Its engineering and service teams operate in both UK and Australia providing 24/7/365 product and implementation support.

The people behind CUBE

CUBE was founded by serial entrepreneur Ben Richmond, who is also the company's CEO. Ben previously formed The Content Group in 1998 based on a vision of what was to become Enterprise Content Management. After successfully growing the business to over 100 people worldwide, Ben used that global footprint to establish CUBE in 2011, with a focus on transforming how financial institutions manage their regulatory compliance challenges.

What CUBE is about

CUBE's mission is to manage the cost and compliance of every record in every system, both structured and unstructured, through one service, one capability, every minute of every day.

What makes them great

The CUBE Value Proposition is two-fold:

- Provides an always up-to-date **policy** service to identify and map all global regulatory requirements to all records and data across the Enterprise:
 - Ensuring visibility of requirements at a jurisdiction, business unit, process and product level to reduce time and costs of research and mapping of requirements;
 - Links policy to record inventory and holds within a single solution, removing many manual and individual systems, reducing IT costs and processes.
- Provides an on-going **governance** capability:
 - Connects policy to repositories, allowing for automated policy implementation and governance at a record and data level;
 - ✓ Delivering an automated and auditable governance process that is defensible and implemented in real-time, minimizing regulatory risk.



CUBE's flagship solution: CUBE Regulatory Data Service (RDS)

CUBE's Regulatory Data Service (RDS) solution enables financial institutions to take a holistic and automated approach to managing their records compliance requirements within a multi-regulatory environment, and is scalable regardless of regulatory or data growth.

Delivering a seamless connection of the right regulatory requirements to the right records across the enterprise, CUBE RDS manages the cost and compliance of every record in every system, both structured and unstructured, through one service, every minute of every day.



Benefits

- Provides <u>a single view of all global regulations</u> for your records always up-to-date and always available;
- Delivers <u>real-time notifications of any regulatory changes</u> and their relationship to specific areas of your business;
- <u>Automated policy management</u> enabling auditable governance and execution of records compliance;
- <u>Scalable</u> independent of repository size and content;
- Provides *improved visibility* with analytics identifying sub-optimal retention areas.

For foresight of how regulatory changes will impact your business, and to learn more about CUBE's transformational approach to managing your records compliance needs, contact CUBE at <u>enquiries@cube.global</u>.

www.cube.global

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The Regulator's Angle

The key objective of RegTech is to facilitate regulatory compliance in Financial Services and consensus is that RegTech will increase efficiency and reduce costs when dealing with regulatory obligations for financial institutions. It has been praised as the silver bullet for banks dealing with a regulatory tsunami. While this report gives evidence of the efforts of over 150 RegTechs to help financial firms dealing with regulatory requirements, it is also important to understand where regulators themselves stand since they are critical for the development and success of RegTech. The following summary of regulators' activity in the field of RegTech shows an overall positive trend towards RegTech innovation; using the example of one regulatory authority though that stands out shows us the complexity of the situation and further underlines the work that lies ahead.



An Opportunity for Regulators

RegTech is not helping only financial firms though; it may equally be a unique opportunity for regulators themselves. For example, regulatory technology could be used to monitor automatically whether firms comply with certain rules. Take blockchain technology which has been touted as means of alerting authorities in real-time by using smart contracts that automatically trigger a notification if a certain requirement is fulfilled could be one way to employ RegTech directly for regulatory oversight.

The use cases aren't limited to direct implementation of regulatory technology though. RegTech could also be used to help with designing future regulatory structures itself. For example, something that often comes

up in our conversations with financial firms and RegTechs alike is that, as a first step, the authorities could provide regulations and other documents in machine-readable form. This would make it significantly easier to automate and track regulatory change. Just to give you an idea of the potential, imagine a scenario where lawmakers amend existing rules in the form of regulatory data that is directly processable by the systems of financial firms who in turn could amend their internal setups, update policies and reporting mechanisms automatically and so on.

Starting points

First, the key issue though is that compliance is often seen either or both as an entrance barrier or burden to conduct business. The good news is that more and more regulators realise that this shouldn't be the case and understand RegTech as an opportunity as Christopher Woolard, Director of Strategy and Competition at the FCA had stated at the London FinTech Week 2016 in July this year

(https://www.fca.org.uk/news/speeches/london-fintech-week-2016innovation-regtech).

The UK's Financial Conduct Authority (FCA) has been the first regulator to embrace the FinTech and, subsequently, RegTech movement. In October 2014, the FCA had launched Project Innovate, which initially aimed to unlock the benefits of FinTech. Based on the experience of the first stage, the FCA in early 2015 started to gather information on how regulatory requirements and technology could come together through RegTech. The regulator then published a Call for Input in November 2015 and published a summary of the feedback it had



received through written responses and at several roundtables it had organized with industry participants. In its report the FCA highlighted three main themes that where at the center of the discussion:

- A regulator that's fully engaged with the FinTech community could enable greater innovation and competition.
- A regulator that encourages and supports flexible, efficient and effective technology could enable a more efficient regulatory environment.
- Understanding the regulatory position could speed up the adoption of RegTech.

From these themes the FCA also deducted what kind of role participants wished the regulatory authorities to play, namely:

- clarify the regulator's expectations and help to drive industry standards and guidance, so it would be possible for firms to better integrate their internal data and processes, which in turn can reduce costs, increase quality and help drive improved effectiveness and efficiencies for the regulator and the firms it regulate;
- improved collaboration and engagement could encourage the development of RegTech to address existing as well as forward looking challenges and improve the overall relationship and interface between the regulator and the regulated firms;
- the certification by a regulator of RegTech firms that meet relevant criteria could build credibility. This could increase the acceptance of, and therefore investment in, new regulatory tools. In turn, this could make guidance and standards easier to understand, reducing costs while improving compliance.

Where next for Regulators

The FCA concluded its report with the promise to play an active role in RegTech. It also declared its intention to concentrate its efforts on increasing the FCA's engagement and collaboration with the RegTech community; using its convening authority to help bring together market participants to work on shared challenges; and to act as a catalyst for change that helps to unlock the potential benefits of technology innovation. The report, however, made it also clear that there is only a limited role for the regulator to play in supporting the industry to define standards and guidelines in order to provide more certainty for firms purchasing new technology capabilities. Further, the FCA highlighted the limitations to the role a regulator in general can play. The complexity, scale and diversity of legacy infrastructure and existing systems within some

financial services firms, makes the implementation of new technologies challenging, pointing out that some firms will continue to choose to invest in legacy systems rather than new technologies is a matter for their leadership not the regulator. In any case, the FCA has stood true to its word as is shown by its continued efforts for an open dialogue with the industry. The recent November 2016 TechSprint

(<u>https://www.fca.org.uk/firms/project-innovate-innovation-hub/regtech</u>), which focused on unlocking regulatory reporting, is a perfect example.



The Rest of the World

Similar to the developments in the wider FinTech world, RegTech and the example of the supportive stance of the FCA was repeated by other regulators around the globe.

The Australian Securities and Investments Commission (ASIC) has launched its own Innovation Hub in April 2015, which it later expanded to assist RegTech businesses focused on the delivery of regulatory requirements more efficiently and effectively than existing capabilities. ASIC not only appreciates that RegTech has enormous potential to help organisations build a culture of compliance, identify learning opportunities and save time and money relating to regulatory matters. The Australian financial regulator also grasped the potential of RegTech to support ASIC in the way it undertakes its regulatory work, including engaging with the industry (http://asic.gov.au/for-business/your-business/innovation-hub/regtech/).

The Monetary Authority of Singapore (MAS) announced the formation of a new FinTech & Innovation Group (FTIG) within its organisation structure starting in August 2015. MAS co-hosted the Singapore FinTech Festival in November 2016 with a series of events that aim to portray the future of a financial industry transformed by innovation and technology to underscore its ambition, which also concentrated on RegTech and the opportunities and challenges it presents.

Other regulatory authorities like the Japanese FSA, which has set up a panel of experts and a support desk, or several US agencies, which are trying to figure out how to respond to the developments, are in comparison still in their infancy, but seem to move in the same directions.

The other Regulator

Not all regulators follow the FCA's lead though. The German financial regulator, Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin), had already rejected the idea of a regulatory sandbox, the concept established by the FCA and adopted by other regulators globally. Just to recap, the regulatory sandbox aims to create a 'safe space' in which businesses can test innovative products, services, business models and delivery mechanisms in a live environment without immediately incurring all the normal regulatory consequences of engaging in the activity in guestion. No wonder it proved successful since it seemed to bridge the gap between traditional financial watchdogs, which seemingly only told firms what they couldn't do, to an authority that actively sought to foster innovation and encourage competition. While the BaFin's approach may surprise, it is important to understand the difference in the setup of the German regulator in contrast to other authorities like the FCA. When we talked to Mario Kyriasoglou, Press Officer at BaFin, in order to get a better understanding, he pointed to BaFin's role as port of call for FinTechs: if, on one hand, a firm's business model and activities are already subject to regulations and the firm seeks to guarantee and optimise its regulated activity; on the other hand, BaFin also advised firms who are not sure if and how regulations apply to their products or services. He stressed that especially in the field of FinTech several examples show that successful unregulated business models exist that add value for their clients.

RegTech is different though, as Kyriasoglou pointed out, since in most cases the business models of RegTechs are not subject to regulatory supervision. "The responsibility for ensuring that when employing one or more RegTech solutions the principles of proper business conduct are respected remains with the supervised institution", he said. BaFin, in its function as a financial market supervisory authority, is not responsible for RegTechs and would therefore only act against the regulated financial firm; theoretically though, it would be conceivable that the BaFin would also act against an external RegTech company, for example, if the prompt dissemination of a faulty RegTech solution would need to be prevented in order to avoid numerous regulatory violations.



While Kyriasoglou emphasized that BaFin is however going to deepen its dialogue with the RegTech industry in order to develop an even better understanding of the potential for meeting reporting requirements, he also made it clear that BaFin's setup differs from regulatory authorities in other countries. Unlike the FCA, for instance, the German financial watchdog has no mandate to promote innovation in the same manner. This also explains why a regulatory sandbox would be unthinkable in Germany given the current circumstances and legal structure. "In Germany, the promotion of innovation in the sense of technical development is traditionally more a matter of research and development centres", he explained. At the same time, however, BaFin aims to closely monitor the development and not hindering meaningful solutions. "A RegTech solution is, in any case, sensible if it has a tangible practical value for the supervised or supervisory

authorities and is in accordance with the relevant supervisory practice", the press officer added.

Kyriasoglou also pointed out that "a larger portion of RegTech's development does not necessarily stem from start-ups, but more often from large IT companies, audit firms (e.g. Big 4) or other consulting houses". Something that is also highlighted by IBM's recent acquisition of Promontory, the financial consultancy, which it wants combine with cognitive capabilities of Watson, its artificial intelligence system.

He made it clear though that BaFin is generally supportive: "Whenever there will be functional and market-capable RegTech solutions that require the involvement of supervisory authorities and regulators, e.g. By RegTechcompatible design of reporting requirements, BaFin will be glad to participate in the concrete discussion."

When asked about BaFin's on whether RegTech presents a unique opportunity for regulators as well, Kyriasoglou agreed that supervisory authorities might use innovative RegTech solutions in the extraction and analysis of their own data stocks. "On the whole supervised financial firms are going to be the main beneficiaries", the Press Officer added. Thus, RegTech would also have an impact on BaFin's regulatory practices. In this respect, there is also an opportunity for the supervisory authorities to ensure that RegTechs lead to a quality increase in the reported data sets and thus increase their meaningfulness and usability.

While the technology development in RegTech is remarkable, the development is, according to Kyriasoglou, when viewed realistically, however, still at an early stage and he pointed to the European Commission's establishment of a Task Force on Financial Technology as recent as November 2016. He went on to say that the expectation that RegTechs can solve the regulatory requirements practically by means of a "button" for the supervised companies might certainly be unrealistic. "While RegTechs offer to analyse and implement regulations, extract, analyse and store data, monitor employees and customer behaviour, such as solutions that provide information for stress tests, aggregation of data on risk, KYC requirements, and monitoring of traders." He also stressed that eventually the supervised firms themselves have to assess whether and at what point it is appropriate for them to be supported by a RegTech.

Obstacles of RegTech implementation and development

Regulatory Technology may have been around for a while, but RegTech powered by innovative technologies like artificial is still at a relatively early stage of its development. So what are the areas that present the main obstacles for its implementation and development?



When we spoke to the German financial regulator, Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin), we were pointed towards the following four areas:

- Privacy and IT regulations
- Lack of data harmonization
- Short deadlines for the implementation of IT updates
- Unclear requirements in connection with reporting requirements

The FCA concluded in its summary of the feedback it had received on its RegTech Call for Input that firms are cautious in light of regulatory uncertainty the stance of the regulator and credibility of unproven technology. Also, firms – regardless the potential upsides of RegTech – may

continue to choose to invest in maintaining legacy systems and not engage in new technologies.

As general barriers for RegTech adoption the report recognized that legislation has placed restrictions on accessing, processing and storage of data. This combined with a lack of accompanying standards, especially regarding data storage and processing, is impeding the development and adoption of new technologies. The report further stated that though the FCA in its own view provides fair notice of regulatory changes, publishing consultation papers on proposed regulations ahead of their implementation, and takes notice of the feedback provided, the feedback suggested that accessibility for system and technology professionals and those who assess operational impacts appears difficult, raising a call for the regulator to investigate alternative ways of engaging with these groups.



These findings – at least in part - reflect the reasons given to us as part of our own dialogue with RegTech firms and financial institutions, which were mainly Data Protection and IT regulation; poor data quality; insufficient time windows given by new regulations for system implementation; legacy systems and silo mentality within financial institutions. Members of the industry however frequently also stressed that a key stumbling block may sit with the regulators themselves: while they generally recognise the vital importance of regulators in the process, authorities were often not tech savvy enough. Though many acknowledged the efforts made so far, still much needs to be done.





Financial Markets Data Management through content intelligence

COMPANY DESCRIPTION

3d innovations (3di) is a new breed of data management consultancy specialising. Its product DCDM is the future of effective market data and reference data management as buy and sell-side institutions cannot license and manage data distribution in a compliant and efficient fashion without a clear, holistic view of where the data is and how it is being used in every part of the organization.





Translating complex information into simple solutions

COMPANY DESCRIPTION

Planet Compliance

8of9 is a next generation RegTech company that translates complex information into simple solutions. 8of9 uses specialized tools developed by subject matter experts to demystify confusing regulations. 8of9 identify and manage regulatory change and its impact on our clients while seamlessly implementing focused and cost-effective strategies at the intersection of regulation and technology. Translation: 8of9 turns regulatory chaos into opportunity.





Regulatory Reporting Solutions

COMPANY DESCRIPTION

Abide Financial is a leading regulatory reporting provider with proven solutions across all regulatory regimes. An Approved Reporting Mechanism (ARM) for MiFID, a reporting hub for EMIR and Regulatory Reporting Mechanism (RRM) for REMIT, Abide Financial is helping a diverse range of market participants meet regulatory reporting obligations in the most efficient way.





Meet the demands of distribution and regulatory reporting with ease – all of your data, from one trusted source

COMPANY DESCRIPTION

Accudelta (part of the MoneyMate Group) is a platform for the management of data required to support distribution and client driven regulatory reporting. Accudelta offers a range of services, that facilitate flexible and cost-efficient access to high quality data from one, centralised and trusted source.

SERVICES

Reporting Data Warehousing

SINCE

2015

KEY PEOPLE

Conor Smyth, Managing Director Oonagh O'Mahoney, SVP Business Development Europe

FUNDING

n/a





LOCATION

Dublin / Ireland London / United Kingdom New York and Boston / USA



KEY INVESTORS

Part of the MoneyMate Group

WEBSITE

http://accudelta.com/



Artificial Intelligence Driven Analytics

COMPANY DESCRIPTION

AIDA Technologies AI Driven Analytics provides solutions addresses the key challenge of automation of knowledge work by augmenting human experts ability to make decisions when confronted with huge amounts of heterogeneous information from diverse sources. AIDA's unique IP and methodology enables rapid solution development, a faster convergence to predictive models our customers can use and a more accurate prediction of the final outcome.





Information and Workflow Solutions for Financial Institutions & Professional Service Firms

COMPANY DESCRIPTION

Alacra develops workflow applications that enable over 200 financial institutions, professional service firms and corporations to find, organize, analyze and present mission-critical business information. With almost 200 unique databases available to its clients, Alacra has under license the largest collection of premium business information in the world. that bring an efficient, consistent and thorough process to client onboarding, client screening, vendor risk management and front office business research.

SERVICES

Client and Counterparty Identification General Compliance

LOCATION

OWNERSHIP

-0-0-

KEY INVESTORS

Private

STAFF

00

New York, USA London, United Kingdom

-0-0-

Owned by Opus Global

-0-0-

-0-0-

SINCE

1996

KEY PEOPLE

Steve Goldstein, Vice Chairman Emanuele Conti, CEO

FUNDING

n/a









www.alacra.com



Deep data portfolio risk solutions for asset managers

COMPANY DESCRIPTION

AlgoDynamix is an innovative risk analytics company that detects disruptive events in global financial markets and anticipates price movements hours or days in advance of the event. AlgoDynamix software provides advance warning enabling asset managers to improve portfolio metrics including lower volatility and higher risk adjusted returns. Clients include fund and wealth managers, investment banks, and trading houses.




COMPANY DESCRIPTION

Algorithmica Research AB has been developing sophisticated software applications for the financial markets since 1993, and continues to provide its clients with innovative software solutions using the latest developments within the area of quantitative finance. Its Algorithmica Risk Management System (ARMS) implements comprehensive Stress-testing and Value at Risk using all the latest analytics.





Rediscover Investment Research

COMPANY DESCRIPTION

Alphametry is the premier investment research community for market professionals and enable asset managers and vetted analysts to efficiently engage and collaborate worldwide. Alphametry's next-generation research platform helps producers to improve their product delivery in full digital format. It provides highly granular analytics to enable them to better understand the reach and usage of their investment research.





Cyber Security, Risk Management and Compliance as a Service

COMPANY DESCRIPTION

Alyne is a content centered, RegTech, next generation Software as a Service. Alyne enables organisations of all industries and sizes mature their cyber security, risk management and compliance capabilities and cost effectively measure maturity in their extended enterprise.





Meet your regulatory and compliance obligations with confidence.

COMPANY DESCRIPTION

Ancoa provides contextual surveillance and insightful analytics for exchanges, regulators, buy & sell-side firms. Its highly sophisticated, yet easy to deploy and simple to use, monitoring and surveillance platform helps firms take full control of their regulatory, reputational and operational risks across markets, functions and asset classes.





Complete Data Privacy. Seamless information and communication security for the financial services industry.

COMPANY DESCRIPTION

Planet Compliance

Aprivacy provides the banking and finance industry with an information security and tracking service anywhere, any time and on any device. APrivacy's enabling technology allows banks to drive new revenues, reduce risk and support compliance efforts. APrivacy's patented solution empowers bankers to communicate and share information with their clients using the devices they prefer via the channels they prefer and the medium they prefer.





Know Your Risk.

COMPANY DESCRIPTION

AQMetrics provides integrated compliance and risk management software to fund administrators, asset managers, investment managers and broker/ dealer companies. Its consolidated platform delivers data management, risk profiling and monitoring, compliance workflows and reports all in one place. With AQMetrics, customers understand their risks whilst complying with regulations in a way that has never before been possible.

SERVICES

Legal & Regulatory Analysis Monitoring Reporting

SINCE

2012

KEY PEOPLE

Geraldine Gibson, CEO Claire Savage, COO

FUNDING

\$3.25 Million early stage VC in February 2016

SOCIAL MEDIA







KEY INVESTORS

Frontline Ventures, Bluff Point Associates, and Enterprise Ireland

WEBSITE

http://www.agmetrics.com/



Intelligent Risk & Compliance Technology

COMPANY DESCRIPTION

Arachnys is a technology company that simplifies the process of conducting enhanced due diligence. Its clients use the Arachnys technology to manage their regulatory and reputation based risk in-house, going far above and beyond basic sanctions and PEP list screening. Arachnys saves time and money on expensive and ineffective processes – removing the cost of outsourcing research or finding sources manually.

SERVICES

Client and Counterparty Identification

SINCE

2010

KEY PEOPLE

David Buxton - CEO Harry Waye - CTO Suezann Holmes - CFO

FUNDING

\$3.5 million in November 2016 Undisclosed Seed A in November 2011

SOCIAL MEDIA





LOCATION

London, United Kingdom New York, USA



KEY INVESTORS

Tom Glocer and Martlet Martlet, Cambridge Capital Group and Cambridge Angels

WEBSITE

www.arachnys.com



Compliance. Simplified.

COMPANY DESCRIPTION

In an era of expanding regulation, *Ascent* helps financial services firms keeping their businesses compliant. After all, you don't know what you don't know. The Ascent platform analyzes clients' business activities, informs clients about potential compliance obligations, and assists them in tracking and complying with relevant requirements. Its cloud-based solutions include issue tracking and management, industry reference and research materials, and compliance manual documentation.





COMPANY DESCRIPTION

AssetLogic is a web-based service that allows any member of the fund industry to create an online central data and documents repository in just a few days. AssetLogic aggregates data and documents from any internal or external system into one, online location. Once the "golden source" information is in AssetLogic you can share that data with anyone inside or outside your company.





COMPANY DESCRIPTION

Athena Portfolio Solutions is a real-time Dark Data Analytics Engine that helps investment firms find trading opportunities (Alpha) and mitigating compliance risk. Athena processes, filters and analyzes in real-time data from public sources such as news, market data from the stock exchanges and then cross-analysis our insights with that investment firms internal data.





Intelligent Risk & Compliance Technology

COMPANY DESCRIPTION

Ayasdi helps companies around the world to use AI and Big Data to make employees hundreds of times more productive and to drive fundamental breakthroughs that are beyond the capabilities of humans. Its revolutionary machine intelligence platform leverages automation, machine learning and topological data analysis to simplify the extraction of knowledge from even the largest and most complex data sets and to facilitate the deployment of intelligent, AI-based applications across the enterprise.

SERVICES

General Compliance

SINCE

2008

KEY PEOPLE

Brian Clark, CEO Aaron Droba, COO Jon Alderman, CFO

FUNDING

Total funding \$106 million in 7 rounds since Sep 2010. Latest \$55m Series C in March 2015.



OWNERSHIP

Private

LOCATION



Menlo Park and New York, USA

London, United Kingdom

KEY INVESTORS

Kleiner Perkins, IVP, Khosla Ventures, Floodgate

WEBSITE

www.ayasdi.com





COMPANY DESCRIPTION

Planet Compliance

Bancalis thinks that analysing and implementing regulations should be easy, but instead it's confusing, costly and time consuming. This is where Bancalis can help. Thanks to its automated analysis of legal texts on your enterprise, based on a cognitive, self-learning system, legal requirements are schematically analysed for their impacts and implementation. This enables clients to assess as quickly as possible, which business processes and products are affected by new regulatory requirements.





COMPANY DESCRIPTION

Banker's Toolbox provides software-based solutions, professional and consulting services to give financial institutions confidence in their BSA/ AML and fraud prevention. The company helps its partners save time and money by providing efficiencies, expertise and unparalleled personalized support along the way.





Manual review isn't the problem. The problem is how much you're using it.

COMPANY DESCRIPTION

BehavioSec provides a layer of security that lets customers authenticate themselves through the unique ways they type, swipe and hold their devices. You can stop fraud, prevent account takeover, and keep user experiences safe, all without getting in your customers' way. Behavioral biometrics uses continuous machine learning and realtime feedback to create a risk score, allowing you to separate good users from bad actors by detecting anomalies in behavior



Monitoring

SINCE

2006

KEY PEOPLE

Neil Costigan, CEO Olov Renberg, COO /Co-Founder Peder Nordström, VP R&D / Co-Founder

FUNDING

Total funding of \$8.4Million in three rounds Latest Series B in Dec 2014

SOCIAL MEDIA





LOCATION

Stockholm and Lulea, Sweden; London, United Kingdom; Hong Kong; and Palo Alto, USA



KEY INVESTORS

Northzone Octopus Ventures Conor Venture Partners

WEBSITE

www.behaviosec.com



Compliance 2.0

COMPANY DESCRIPTION

Behavox is an enterprise compliance software company which provides holistic employee surveillance solutions. Its solutions allow Senior Management, Risk & Compliance Officers to detect cases of market abuse, insider threat, collusion and reckless behavior in real time. By linking internal communication (voice, email, chat etc) data with other internal data, its solutions allow users to discover, visualise and quantify relationships between people, organizations and content





Stop Throwing Millions of Dollars Away! Minimize Your Compliance Risk Exposure.

COMPANY DESCRIPTION

BIGcontrols transforms your incentives compliance processes and propels you into the future. BIGcontrols proprietary technology is based on over 20 years of experience implementing business incentives for 100s of corporations. It is a software company with a business incentives subject matter expert at the helm, not a consulting firm masquerading as a software provider. As a cloud-based solution, it's focus is to create the bestin-class suite of tools to Take Ownership of Your Business Incentives.





COMPANY DESCRIPTION

Biocatch is a leading provider of Behavioral Biometric, Authentication and Malware Detection solutions for mobile and web applications. Available as a cloud-based solution, BioCatch proactively collects and analyzes more than 500 parameters to generate a unique user profile. Organizations use the platform to continuously authenticate users during their online sessions, protecting against cyber threats and fraudulent activity, such as account takeover and RAT-in-the-Browser (RitB).

SERVICES

Monitoring Client and Counterparty Identification

SINCE

2011

KEY PEOPLE

Eyal Goldwerger, CEO Avi Turgeman, Co-founder / CTO Uri Rivner, Co-Founder/ Cyber Strategy

FUNDING

Total \$ 11.6M in 3 rounds Latest \$10M Series A in June 2014







http://www.biocatch.com/



AML Compliance for Bitcoin Companies

COMPANY DESCRIPTION

BitAML, established in 2015 by AML experts, offers world-class compliance services to bitcoin companies. Its compliance professionals work closely with clients to develop and integrate a custom written AML program designed to meet regulatory requirements. When your program is up and running, BitAML experts are here for you with on-demand compliance support. In short, we allow bitcoin companies to remain focused on their business with peace of mind.



SINCE

2015

KEY PEOPLE

FUNDING

n/a

Joe Ciccolo, Founder

Client and Counterparty Identification

OWNERSHIP Private STAFF OO OO OO OO KEY INVESTORS n/a

LOCATION

Bloomington, USA

http://www.bitaml.com/



SOCIAL MEDIA



The Power of Foresight

COMPANY DESCRIPTION

BlackSwan Technologies is a Big Data, Cognitive Computing and technology software house, specializing in the design, build and execution of sophisticated Risk Mitigation and Value Generation, Intelligence based systems for Financial Institutions, Governments, and Large Multi-National Organizations. With applications for Economic Crime, multifaceted Risk Management, Forensic Accounting, Enhanced Due Diligence, and High Yield Lead Generation.



Client and Counterparty Identification Data Warehousing General Compliance

SINCE

2014

KEY PEOPLE

n/a

FUNDING

n/a







http://blackswan-technologies.com



COMPANY DESCRIPTION

Compliance As A Service is an innovative company that seeks to improve the in-effeciencies in operational regulatory management systems and to mitigate the subsequent risk impact and compliance exposure for investment banks, trading firms and hedge funds. Providing a service that efficiently and economically manages regulatory risk and meets the complex operational and logistical compliance obligations, that everchanging compliance legislation requires



Legal & Regulatory Reporting Reporting

SINCE

2012

KEY PEOPLE

Alessandro Rabbiosi – CEO Adam Swartz – CTO Lilia Severina – Sales and Marketing

FUNDING

n/a







WEBSITE

http://caas-ltd.com/



Compliance. Change. Collaboration.

COMPANY DESCRIPTION

Capnovum introduces a new chapter by empowering clients to manage change self-sufficiently. A RegTech startup challenging global consulting through use of artificial intelligence and automation. Capnovum was founded on the belief that clients can be more cost effectively served by an asset based engagement model and cognitive solutions. Embracing disruptive technology to effect change, Capnovum offers compliance management and advisory services for financial institutions.



SINCE

2014

Legal & Regulatory Analysis General Compliance

OWNERSHIP Private

London, United Kingdom

LOCATION

STAFF

(a) (a)

n/a

KEY PEOPLE

Niclas Nilsson, Founder/Managing Partner Scott Grant, Founder/Partner Inga Jovanovic, Head of Services

FUNDING

n/a





WEBSITE

KEY INVESTORS

http://www.capnovum.com/



Come Partner With Us

COMPANY DESCRIPTION

Cappitech is a Financial Technology Boutique firm where we believe in using technology to increase efficiency in finance.

We do this by offering financial customers Professional Services such as: Software Development, QA and Project Management. We also provide an automated and low cost solution for handling EMIR reporting requirements through our Capptivate product.





Payments compliance for innovative companies.

COMPANY DESCRIPTION

CCOBOX brings payments compliance into the fintech era. It is an end-toend solution featuring an intuitive workflow and a modern whole-team dashboard powered by proprietary machine learning algorithms and interactive analytics. CCOBOX's standardized metrics and one-click preformatted reports will put companies in a stronger position with regulators, save money, and free critical technical resources.





Protecting the integrity of digital assets

COMPANY DESCRIPTION

Chainalysis Inc. is a New York based startup considered the leading provider of Anti-Money Laundering (AML) solutions for blockchain businesses, financial institutions that provide banking services to the blockchain industry as well as blockchain search tools for government agencies.

SERVICES

Monitoring Client and Counterparty Identification

SINCE

2014

KEY PEOPLE

Michael Gronager, CEO & co-founder Jan Moller, CTO & co-founder Jonathan Levin, CRO & co-founder

FUNDING

Total of \$1.7M in 2 rounds Latest \$1.6M Seed in Feb 2016









WEBSITE

www.chainalysis.com



Prevent commercially sensitive emails being sent to the wrong people

COMPANY DESCRIPTION

CheckRecipient is a next-generation email security technology to prevent highly sensitive information being sent to the wrong people. CheckRecipient uses artificial intelligence and machine learning to analyse historical email data and automatically identify anomalies and mistakes on outgoing emails which may result in inadvertent data loss. Some of the world's largest organisations rely on CheckRecipient's technology across the financial, legal, professional services and biotech sectors.

SERVICES

General Compliance

SINCE

2013

KEY PEOPLE

Tim Sadler, Co-Founder & CEO Tom Adams, Co-Founder & COO Ed Bishop, Co-Founder & CTO

FUNDING

Total of \$1.125M in 5 rounds Latest \$400k Seed in July 2016





LOCATION

London, United Kingdom



Winton Ventures CyLon (Cyber London) Various Angel Investors

WEBSITE

http://www.checkrecipient.com



Everyone Deserves Identity Theft Protection

COMPANY DESCRIPTION

Civic is a free identity management service and an identity theft protection service that allows banks, financial institutions and other merchants to confirm the usage of social security numbers with the true owner of that number before creating new accounts.



ClauseMatch

Documents Reinvented

COMPANY DESCRIPTION

Due to ever-increasing regulatory pressure across the globe, financial institutions need to understand, report on and update documentation. ClauseMatch provides banks and businesses with an end-to-end document discovery, authoring, governance, analytics and search platform. CM platform is built using the latest technologies and web standards to deliver granular document authoring, management and workflow collaboration process.

SERVICES

General Compliance

SINCE

2012

KEY PEOPLE

Evgeny Likhoded, Founder, CEO Andrey Dokuchaev, COO Carl-Henrik Thorsen, VP Sales

FUNDING

Total of \$745k in 3 rounds Latest \$500k Seed in May 2015

SOCIAL MEDIA







London, United Kingdom

KEY INVESTORS

LOCATION

Tom Glocer, Jason Boud, SparkLabs Global Ventures, Techstars, ,Paul Buitink

WEBSITE

www.clausematch.com

ClearMash

Realizing Knowledge to enhance your customer relationships

COMPANY DESCRIPTION

ClearMash's solutions ensure employee compliance with minimal efforts and increased awareness, in real time. They allow its clients to handle regulatory content and gather regulatory intelligence easily by providing a common framework of templates, search, workflows, analytics and best practices. The solution identifies employee working processes in real time and pops up relevant regulation information, alerts in case of potential mistake and produces evidence to investigate compliance violations.

SERVICES

Legal & Regulatory Analysis General Compliance

SINCE

2008

KEY PEOPLE

Shalom Suissa, CEO Ofer Segev, Managing Director Tamir Zaslavsky, CTO

FUNDING

n/a







www.clearmash.com



One global platform for recording, storing and analyzing all your voice, video and text communications

COMPANY DESCRIPTION

Cognia helps organizations address some of their most pressing compliance, service-assurance and productivity challenges. Used by businesses in sectors such as finance, energy, healthcare and retail, Cognia's global communications-intelligence platform transforms the cost and ease of capturing, storing and analyzing mobile, fixed-line and digital interactions.

SERVICES

Data Warehousing

SINCE

2005

KEY PEOPLE

Stewart Holness, CEO Andrew Dunn, Chief Technology Officer Ian Hook, Chief Operating Officer

FUNDING

Total of \$7.6M in 5 rounds Latest \$3M VC in July 2015







https://www.cognia.com



Verify blockchain transactions Manage risk and streamline compliance

COMPANY DESCRIPTION

With an easy to use Compliance as a Service platform, Coinfirm solves the AML/CTF/Sanctions and counterparty risk management problem for entities operating around blockchain and digital currencies. Blockchain agnostic, the platform applies its algorithms and complex queries that structure data into clear actionable insights for clients and users, eliminating the need to dedicate major resources to compliance.



Client and Counterparty Identification Monitoring LOCATION London, United Kingdom

OWNERSHIP

-00

KEY INVESTORS

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-00

Private

STAFF

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n/a

SINCE

2016

KEY PEOPLE

Paweł Kuskowski, CEO & Co-Founder Paweł Aleksander, COO & Co-Founder Jakub Fijołek, CTO & Co-Founder

FUNDING

n/a



Planet Compliance

WEBSITE

www.coinfirm.io/



Award Winning Integrated Commission Management Solution

COMPANY DESCRIPTION

Commcise is an integrated cloud-based Commission Management and Share-of-Wallet reporting solution built to meet the needs of Investment Managers. Commcise provides clients with an automated Reconciliation, Invoice Management, Commission Targeting, Broker Voting, Commission Management and Reporting solution.





Better AML Data & Insight meets More Intelligent Technology

COMPANY DESCRIPTION

ComplyAdvantage helps firms make intelligent choices when complying with regulations relating to sanctions, AML & CFT, bribery and corruption. Its unique proprietary database of individuals, organisations and associated entities provides dynamic real-time insight into financial crime risks. It uses AI, machine learning and big data analytics combined with a tailored riskbased approach to help firms not only to manage their compliance and risk obligations but to prevent the occurrence of financial crime.

SERVICES

Monitoring Client and Counterparty Identification General Compliance

SINCE

2014

KEY PEOPLE

Charles Delingpole, CEO & Founder Stephen Ball, VP Sales & Marketing Chris Leow, Head of Data

FUNDING

\$8.2m Series A funding





LOCATION

London, United Kingdom Latham, USA Cluj, Romania



https://complyadvantage.com/



COMPANY DESCRIPTION

ComplySci provides strategic governance, risk and compliance solutions to the financial services and professional services community. Led by pioneers in the GRC space, the Complysci platform uses web-based corporate compliance technology that leverages a robust data network and innovative forensic analytics to monitor employee risk and automate code of ethics compliance. ComplySci focus is on data quality, its deep domain expertise and award winning "white glove" concierge service.

SERVICES

Monitoring Reporting General Compliance

SINCE

2003

KEY PEOPLE

Jean-Marc Levy, CEO Michael D'Angelo, COO George McKevitt, CTO

FUNDING

Total of \$11.25M in two rounds Latest in July 2016 \$3M Series B





http://www.complysci.com/

CONCEPTONE.

COMPANY DESCRIPTION

ConceptONE is a uniquely positioned financial technology firm that specializes in Regulatory Reporting, Risk Management, and Middle and Back Office Services. Its solutions include a cloud based software solution that when combined with its advisory capabilities set its offering apart from competitors when it comes to regulatory filings, new transparency reporting standards and risk reporting. ConceptONE can cross purpose aggregated data to ensure consistency across all forms of reporting.

SERVICES

Reporting Data Warehousing

SINCE

2010

KEY PEOPLE

Ken Grant, Chairman & Co-Founder Michael S. Rosen, Co-Founder William C. Livingston, COO

FUNDING

Partially acquired in March 2016





LOCATION

New York and Garden City, USA London, United Kingdom



WEBSITE

http://www.conceptonellc.com/



COMPANY DESCRIPTION

Contego is the only comprehensive risk scoring platform that can handle complex multi-source fraud detection and compliance checks at high speed. We enable our clients to manage the complexity of onboarding and monitoring customers, checking both people, companies and ID documents simultaneously. All delivered in real-time via a single API, with a full audit trail. Contego helps clients reduce the risk of fraud and makes compliance checks and processes as frictionless as possible.

SERVICES

Client and Counterparty Identification Monitoring

LOCATION

London and Abingdon, United Kingdom

SINCE

2011

KEY PEOPLE

Adrian Black, Founder & CEO Vanessa Richards, COO Matt Law, CTO

FUNDING

Total of \$2.93 in four rounds Latest in Dec 2014 \$700k Seed investment

SOCIAL MEDIA







KE9 INVESTORS

Various Angel Investors, Cass Entrepreneurship Fund, Rainbow Seed Fun, the Angel CoFund

WEBSITE

http://contego.com/



Introducing a smarter solution to compliance management.

COMPANY DESCRIPTION

Continuity is a leading provider of RegTech solutions that automate compliance management for financial institutions of all sizes. By combining regulatory expertise and cloud technology, Continuity provides a proven way to reduce regulatory burden and mitigate compliance risk at a fraction of the cost. Its solutions are designed to automate all aspects of compliance management, from interpretation of regulatory issuances through intuitive task delegation, vendor management and board reporting

SERVICES

Legal & Regulatory Analysis Monitoring General Compliance

SINCE

2008

KEY PEOPLE

Michael Nicastro, Chief Executive Officer Jim Kisch, Chief Product Officer Alan Hurwitz, Chief Financial Officer

FUNDING

Total of \$16.5M in five rounds Latest in March 2016 \$5M Debt Financing

SOCIAL MEDIA





LOCATION

New Haven and Boston, USA



KEY INVESTORS

Connecticut Innovations River Cities Capital Funds Trinity Capital Investment

WEBSITE

http://www.continuity.net/


COMPANY DESCRIPTION

Cordium is the leading global provider of regulatory compliance consulting, software and accounting and tax services to the asset management and securities industry. Its asset management and securities sector focus means Cordium always brings direct, relevant experience to advising its clients, helping them to meet their compliance and regulatory challenges and turning regulatory compliance into a must-have business advantage.

SERVICES

Data Warehousing Training General Compliance

SINCE

1997

KEY PEOPLE

Doug Morgan, Group CEO Andrew Insley, Group CFO

FUNDING

Undisclosed Private Equity investments for majority stake

SOCIAL MEDIA





LOCATION

London, United Kingdom; NY, San Francisco and Boston, USA; Malta; Hong Kong





Uncover and understand regulatory risk

COMPANY DESCRIPTION

Corlytics is the Risk focused Financial Regulatory Intelligence Company. Corlytics is making regulatory enforcement data a science and using advanced data science to predict, plan and transform the regulatory footprint of financial firms. Corlytics provide a forensic understanding of the root causes leading to regulatory fines and consequences for regulated financial firms. Corlytics aids regulated financial firms, regulators and their professional advisers in uncovering and predicting regulatory risk.

SERVICES

Legal & Regulatory Analysis General Compliance

SINCE

2014

KEY PEOPLE

John Byrne, CEO Elmarie Van Breda, Client Service Director

FUNDING

\$1M Seed financing in June 2015 and \$5M Debt Financing in March 2016

SOCIAL MEDIA





LOCATION

Dublin, Ireland Boston, USA London, United Kingdom



WEBSITE

http://www.corlytics.org/



Making Compliance Simple

COMPANY DESCRIPTION

CoVi Analytics makes compliance simple, reducing the cost of compliance and helping insurers make business decisions faster. CoVi unifies the entire compliance value chain, simplifying and automating on-going regulatory workflow. CoVi combines regulatory data with AI technologies and superfluid visualisations, allowing insurers to extract value from information which otherwise goes unused.





Collective Intelligence for Global Finance

COMPANY DESCRIPTION

Credit Benchmark, a financial data analytics company, unlocks insights from actual market participants in order to offer an entirely new source of credit risk data: banks' aggregated credit views. The company supplies probability of default and loss given default data on sovereign, corporate, bank, and non-bank financial entities by aggregating and anonymizing banks' in-house credit estimates.

SERVICES

Legal & Regulatory Analysis

SINCE

2012

KEY PEOPLE

Mark Faulkner, Co-Founder Yaprak de Beaufort, Head of Strategy Donal Fleming, Chief Technology Officer

FUNDING

Total of \$29.2M in two rounds Latest \$20M in Serie B in July 2015



Planet Compliance

LOCATION London, United Kingdom New York, USA OWNERSHIP Private STAFF OO OO OO OO OO KEY INVESTORS Balderton Capital Index Ventures

WEBSITE

www.creditbenchmark.com



Next Generation Information Governance

COMPANY DESCRIPTION

CUBE's RegTech solution enables global financial institutions to manage the cost and compliance of every record in every system, both structured and unstructured, through one automated service, every minute of every day. CUBE has assembled a highly effective and experienced global executive team, combining strategic business planning and operational capability with experience spanning both start-up and corporate organisations.

SERVICES

Legal & Regulatory Analysis

SINCE

2011

KEY PEOPLE

Ben Richmond, CEO & Founder Colin Ross, Engineering & Data Sciences Barry Sage, Technology & Data Service

FUNDING

n/a





LOCATION

London, United Kingdom New York, USA Melbourne, Australia



WEBSITE

www.cube.global



Managing Complexity Through Technology

COMPANY DESCRIPTION

Cynopsis Solutions Pte. Ltd. is a Singapore-based technology solution provider dedicated solely to the financial & professional services industries. Cynopsis Solutions reduces the cost of doing business in a highly regulated environment for the financial and professional services industries. Cynopsis focuses its attention in three key areas: Governance, Risk & Compliance; Investment Analysis & Portfolio Management; Big Data Analytics.

SERVICES

General Compliance Client and Counterparty Identification

SINCE

2014

KEY PEOPLE

Chionh Chye Kit, MD & Co-Founder Avere Hill, CEO & Co-Founder Darryl Aw, Chief Marketing Officer

FUNDING

n/a







Singapore London, United Kingdom



WEBSITE

www.cynopsis-solutions.com



The Enterprise Immune System

COMPANY DESCRIPTION

Darktrace is one of the world's leading cyber threat defense companies. Its Enterprise Immune System technology detects and responds to previously unidentified threats, powered by machine learning and mathematics developed by specialists from the University of Cambridge. Without using rules or signatures, Darktrace is uniquely capable of understanding the 'pattern of life' of every device, user and network within an organization, and defends against evolving threats that bypass all other systems.

SERVICES

Monitoring

SINCE

2013

KEY PEOPLE

Nicole Eagan, Chief Executive Officer Jack Stockdale, Chief Technology Officer Steve Chamberlain, Chief Operations

FUNDING

Total of \$104.5M in 4 rounds Latest \$65M Series C in July 2016



LOCATION

Headquarterd in Cambridge, UK and San Francisco, USA with another 16 offices worldwide



KEY INVESTORS

Hoxton Ventures; Invoke Capital; KKR; Samsung Venture; SoftBank; Summit; Talis; TenEleven Ventures

WEBSITE

www.darktrace.com





Technology Consulting & Solution Design

COMPANY DESCRIPTION

DataArt is a global network of technology consulting and software services firms that create end-to-end solutions, from concept and strategy, to design, implementation and support. DataArt is a partner of choice for many of the world's top banks, asset managers, exchanges, and data providers, who share a common need to design, develop and deploy high value technology solutions.

SERVICES

Data Warehousing General Compliance Monitoring

SINCE

1997

KEY PEOPLE

Eugene Goland, Co-Founder, President Alexei Miller, Managing Director Cliff Moyce, Global Head, Finance

FUNDING

n/a





LOCATION

New York, USA; London, United Kingdom; Zug, Switzerland; Munich, Germany



http://www.dataart.com/



Agile Data Quality Powerful Data Matching

COMPANY DESCRIPTION

Datactics is ideally positioned to meet the specific data requirements of firms operating in the financial sector as they prepare for emerging regulations. Datactics provides sophisticated tools to help financial institutions get their data in order and quickly respond to new standards. It offers agile data quality and powerful matching software for reference, entity and instrument data.

SERVICES

Data Warehousing General Compliance Monitoring

SINCE

1999

KEY PEOPLE

Stuart Harvey, CEO Sarah Bearder, CTO & Co-Founder Jens Rasch, CSA & Co-Founder

FUNDING

Total of \$1.6M in 5 rounds Latest \$1.6M VC financing in Sept 2012









WEBSITE

http://www.datactics.com/

Datarama.

Understand Risks, Discover Opportunities.

COMPANY DESCRIPTION

Datarama is the one-stop information source for complex risk profiling and due diligence in emerging markets. Its platform combines advanced datamining and artificial intelligence with human analysis to streamline the traditional risk-consulting model, making compliance checks cheaper and faster. Users can assess the reputations of businesspeople, explore their vast corporate and political networks and gather the intelligence they need to conduct investigations and identify investment opportunities.





Unlock real-time data sources. Automate decisions to capture more customers. Slash fraud and risk.

COMPANY DESCRIPTION

DemystData helps financial institutions convert more customers through improved access to information. DemystData brings together the best available credit, identity, social, telco, and internal company data to create more comprehensive profiles and refined realtime customer rules and predictions, which leads to higher customer conversion and financial inclusion. DemystData works with leading global banks, lenders, insurers, and payments providers.

SERVICES

Monitoring General Compliance

SINCE

2010

KEY PEOPLE

Mark Hookey, Co-Founder & CEO Michael Gertsch, COO Brenden Grace, CTO

FUNDING

Total of \$16M in 4 rounds Latest \$7M Series B in Oct 2016

SOCIAL MEDIA





LOCATION
New York, USA Singapore Hong Kong
OWNERSHIP
Private
STAFF
•••••
KEY INVESTORS
Arbor Ventures; Accion Venture Lab; Notion Capital; Singtel Innov8; MissionOG

WEBSITE

http://demyst.com/



Rapidly FICA your clients, wherever they are

COMPANY DESCRIPTION

DocFox serves as a centralised repository for FICA documentation allowing Financial Service Providers (FSP) and other accountable institutions to cross-pollinate and leverage previously submitted and verified documentation from individuals/organisations. It also greatly simplifies the FICA approval process by managing the process of requesting, verifying and storing documents.



Client and Counterparty Identification General Compliance

SINCE

2015

KEY PEOPLE

Ryan Canin, CEO & Co-Founder

FUNDING

n/a







https://www.docfox.co.za/

DROit

Trade Right

COMPANY DESCRIPTION

Droit's robust enterprise software answers complex questions in real-time, consistently, across all OTC asset classes, globally active CCP's, SEF's and all G20 aligned regulatory regimes. Droit is the standard for market logic and regulatory rule based trading decision engines used by OTC derivative front-office and compliance teams globally. Droit enables front-office and compliance teams globally. Droit enables front-office and compliance teams globally and optimal decisions front-to-back using a common infrastructure, with full audit capabilities.

SERVICES

Client and Counterparty Identification

LOCATION

New York, USA London, United Kingdom

SINCE

2012

KEY PEOPLE

Satya Pemmaraju, Founding Partner, CEO Brock Arnason, Founding Partner & Head of Product and Strategic Alliances

FUNDING

Total of \$16M in Series A round in Nov 2016







KEY INVESTORS

Goldman Sachs; Pivot Investment Partners; Wells Fargo; DRW

WEBSITE

http://droitfintech.com/



Find, verify and monitor your business relationships

COMPANY DESCRIPTION

From due diligence to deal prospecting, *DueDil* helps businesses make data-informed decisions. DueDil is an online tool that combines comprehensive sources of company information to uncover business opportunities and understand risks. DueDil provides a unified platform for teams across a business to contextualise and navigate the relationships between sets of data. DueDil takes live data from a wide range of authoritative sources, combines it and presents it clearly.

SERVICES

Client and Counterparty Identification

LOCATION

London, United Kingdom

SINCE

2011

KEY PEOPLE

Damian Kimmelman, Co-founder & CEO Justin Fitzpatrick, Co-founder & COO

FUNDING

Total of \$21.5M in two rounds Latest \$17M Series B round in March 2014



OWNERSHIP Private STAFF

KEY INVESTORS

Oak Investment Partners, Passion Capital, Notion Capital

WEBSITE

www.duedil.com





Seriously Fun Compliance Training

COMPANY DESCRIPTION

E3 Compliance Training is a start up looking to change the way compliance training is delivered. The company uses knowledge gained from the games industry to create engaging and effective training by building training courses as games. This innovative approach to compliance training engages more effectively people, increasing the level of information retained as well as dramatically reducing the amount of follow up time required to get staff to undertake and complete their training.





The global standard for blockchain intelligence.

COMPANY DESCRIPTION

Elliptic is the global standard for blockchain intelligence. Elliptic identifies illicit activity on the Bitcoin blockchain, and provides its services to financial institutions and law enforcement agencies.

SERVICES LOCATION Monitoring SINCE OWNERSHIP 2013 Private KEY PEOPLE STAFF James Smith, CEO & Co-Founder Tom Robinson, COO & Co-Founder Adam Joyce, Chief Scientist & Co-FUNDING Total of \$6.7M in 3 rounds Latest \$5M Series A in March 2016 SOCIAL MEDIA WEBSITE Planet Compliance

London, United Kingdom



KEY INVESTORS

Paladin Capital, KRW Schindler, Santander InnoVentures, Digital Currency Group, Octopus Ventures

www.elliptic.co



The full picture, fast

COMPANY DESCRIPTION

Encompass is a unique and innovative visual analytics platform that takes the headache out of working with commercial search data. It aggregates multiple sources of person, company and property data within one simple online interface, streamlines search and uses the power of visualisation to give customers the full picture, fast. With Encompass, understanding information from Companies House, Land Registry, Experian, Equifax, C6, Creditsafe and other commercial sources is easier and faster than ever.

SERVICES

Monitoring Data Warehousing General Compliance

SINCE

2012

KEY PEOPLE

Wayne Johnson, Co-Founder and CEO Roger Carson, Co-Founder & Global Financial Sales Director

FUNDING

\$4.7M VC funding in September 2016





LOCATION

London and Glasgow, United Kingdom Sydney, Australia



WEBSITE

www.encompasscorporation.com



Financial Services Enforcement Analysis Tool Independent. Insightful. Indispensable.

COMPANY DESCRIPTION

Enforcd has been created in direct response to a long recognised need in the financial services industry for an efficient and intuitive tool specifically focused on enforcement actions and related issues. Enforcd is an innovative regulatory intelligence service for financial services firms in the UK and beyond. It helps firms to identify, manage and mitigate the conduct risks they face on a daily basis. Cases are analysed and interpreted by in house legal and compliance experts, with direct FCA enforcement experience.





You are facing a tsunami of new regulations

COMPANY DESCRIPTION

ompliance

FD-reporting, similar to its sister brand, Taleo reporting, both owned by Taleo Consulting, provides a harmonised AIFMD, CRD IV, EMIR-MIFID II, FATCA-CRS, Solvency II regulatory reporting solution and Tripartite Reporting offers.

SERVICES	LOCATION
Reporting	Luxembourg Thiais, France
SINCE	OWNERSHIP
2015	Private
KEY PEOPLE	STAFF
Abder El Adraoui Frédéric Vias	
FUNDING	KEY INVESTORS
n/a	n/a
SOCIAL MEDIA	WEBSITE
	http://fd-reporting.lu/
Relanet	

FEATURE SPACE

Outsmart Risk

COMPANY DESCRIPTION

Featurespace is the world leader in Adaptive Behavioural Analytics – machine learning software to monitor every individual customer in real-time and predict what they're going to do next. Its unique ARIC engine has many applications and is having huge impact on fraud prevention and customer management. Organisations and merchants in Financial Services, Insurance and Gaming are using Featurespace to catch more fraud, accept more transactions and reduce headcount needed to deal with alerts.





Fraud Prevention with Machine Learning

COMPANY DESCRIPTION

Feedzai is a data science company that uses real-time, machine-based learning to help payment networks, banks and retailers prevent fraud in omnichannel commerce. It's fraud science technology fuses machine learning with human intelligence to power payments systems globally. Feedzai was founded by data scientists and aerospace engineers with one powerful mission: Make commerce safe for business customers and create a better experience for their consumers through artificially intelligent machine learning.



LOCATION

San Matteo & New York, USA London, United Kingdom Lisbon, Coimbra & Porto, Portugal



KE9 INVESTORS

Citi Ventures, ES Ventures, Capital One Growth Ventures, , Oak HC/FT, Data Collective, Novabase, Sapphire

WEBSITE

http://feedzai.com/



The Global Standard in Regulatory, Data & Onboarding Technology for Financial Institutions

COMPANY DESCRIPTION

Fenergo is a leading provider of Regulatory Onboarding, Client & Counterparty Data Management and Client Lifecycle Management software solutions for sell-side and buy-side firms including investment, corporate and private banks. Its market-leading enterprise platform is designed to streamline, simplify and rationalise the often complex operational interactions of client lifecycle management.

SERVICES

Client and Counterparty Identification

SINCE

2009

KEY PEOPLE

Marc Murphy, CEO Colm Heffernan, COO Eimer McGovern, CFO

FUNDING

Total of \$80.5M in 2 rounds Latest \$75M Private Equity in July 2015





Dublin, Ireland with further 7 offices worldwide



KEY INVESTORS

Aquiline Capital Partners, Insight Venture Partners, Investec, Ulster Bank Diageo Venture Fund

WEBSITE

www.fenergo.com



Architecting a SmartBankscape

COMPANY DESCRIPTION

Fintellix is a leading Compliance, Risk & Analytics Products and Solutions provider for the Global Financial Services Industry. Fintellix's solutions are available for on-premises implementations as well as provisioning from Regional Cloud Infrastructure. Fintellix is currently active in India, US, Europe, Middle-East, Africa, South East Asia and counts some of the Global Top 50 Banks and Leading Global/ Regional banks among its clients.





Your controls and reporting processes fully automated

COMPANY DESCRIPTION

Fortia Financial Solutions is a software provider company founded by professional asset management and R & D engineers to design new solutions dedicated to compliance management, internal control and reporting. Its solutions are based on the desire to design solutions marking a real breakthrough in innovation. More than three quarters of its sales is reinvested in its R&D activities. Its goal: to provide solutions in a very easy to use and with artificial intelligence able to greatly facilitate the work of users.





We take pride in what we do, we enjoy what we do and we're good at what we do.

COMPANY DESCRIPTION

FSCom is a specialist financial services compliance company which provides practical tailored solutions to businesses in the regulated sector. FSCom is now one of the leading best practice compliance specialists in the UK. KYC-PRO, the latest offering from FSCom has been developed to meet our existing customers needs. It has partnered with some of the biggest names in the industry to pull KYC information from the most reliable sources, into one automated solution.

SERVICES

Client and Counterparty Identification General Compliance

SINCE

2011

KEY PEOPLE

Jamie Cooke, Managing Director Donna Conlan, Head of Marketing

FUNDING

n/a





LOCATION

Belfast and London, United Kingdom



http://www.fscom.co.uk/



Reconciliations reimagined

COMPANY DESCRIPTION

Fund Recs develops cloud based reconciliation software for the global Funds Industry. Its product helps Fund Administrators, Depositaries, Fund Managers and Audit firms reconcile complex data. Fund Recs frees staff from data processing so they can add value doing data analytics. Fund Recs takes data from Broker/Custodian statements or data feeds, allows the end user to normalize it and then reconciles to the users Accounting system. Its system handles all data types including CSV, XLS, TXT and XML.





Compliance made simple

COMPANY DESCRIPTION

FundApps provides compliance monitoring to financial institutions, including some of the world's largest asset managers, hedge funds and investment banks. FundApps is used to monitor over \$2 trillion in client assets every day. FundApps tackles the three biggest issues many compliance teams face when determining their responsibility to disclose: keeping track of international regulation, interpreting financial regulation correctly and accurately aggregating exposure across portfolios.





COMPANY DESCRIPTION

Funds-Axis provide investment compliance monitoring, risk analysis and regulatory reporting technology. This includes UCITS investment compliance, AIFMD Annex IV Reporting and Shareholder Disclosure reporting including for Major Shareholdings, Takeover Dealing Disclosures and global short selling disclosures. Funds-Axis also specialise in consultancy and training, focusing on UCITS and AIFMD, Derivatives and Risk Management.





The trusted solution for cross-border distribution

COMPANY DESCRIPTION

Fundsquare was set up by the Luxembourg Stock Exchange in order to create a unique international market infrastructure that provides services to substantially support and standardise cross-border distribution of investment funds. Its main objective is to facilitate the relationships between professional investors and funds. Fundsquare has a strategic partnership with SWIFT and Altus for the infrastructure. Both power Fundsquare for its order management services.





Your new RegTech solution to manage Fund Regulation & Compliance

COMPANY DESCRIPTION

GECKO Governance is a new RegTech Blockchain solution to easily allow fund managers to monitor and manage their regulation and compliance requirements. GECKO Governance is the first solution in the market to provide fund managers with a live oversight of all the funds regulation and compliance requirements using Blockchain technology. GECKO Governance provides an independent verifiable audit of compliance for regulators and fund managers.

SERVICES

Legal & Regulatory Analysis General Compliance

SINCE

2014

KEY PEOPLE

	Shane	Brett,	Founder	&	CEO
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FUNDING

n/a





LOCATION
Dundalk, Ireland
OWNERSHIP
Private
STAFF
KEY INVESTORS
n/a
n/d
WEBSITE

www.geckogovernance.com

GLOBAL FUND WATCH We will simplify and improve duediligence of counterparties

COMPANY DESCRIPTION

Global Fund Watch offers technology to support your work related to compliance. Its technology will automate compliance tasks of administrative nature, offer better data for analysis of compliance risks, and secure transparent monitoring of the distribution chain. Its initial goal is to offer an efficient solution for due diligence of counterparties. This first service is tailor-made for fund companies and distributors such as banks, insurance companies and advisory firms.





Effortless Oversight and Control with the dedicated Investment Fund GRC Solution

COMPANY DESCRIPTION

The mission of *Governance.io* is to provide its clients with a Governance, Risk and Compliance (GRC) solution that provides them with effortless oversight and control. It offers flexible and reliable solutions to enable the different actors in the Fund Industry to perform their oversight task, to support controls with documentary evidences and to produce reports to Auditors, Counterparts, Regulators, Investors and other stakeholders.

SERVICES

Client and Counterparty Identification General Compliance Reporting

SINCE

2011

KEY PEOPLE

Bert Boerman, Co-Founder & CEO Rob Boerman, Co-founder & CTO

FUNDING

Total of \$2.7M in 2 rounds Latest \$2.15M undisclosed Angel funding in Oct 2016

SOCIAL MEDIA





LOCATION

Luxembourg Delft, The Netherlands



http://www.governance.io/



The Only Self-Service Automated KYC Portal on the planet!

COMPANY DESCRIPTION

GRADA disrupts an outdated KYC Compliance banking system. It meets the demands in the marketplace for trusted authenticated information with a better customer experience. GRADA transforms customer's relationships, increases satisfaction in compliance processes, and makes growth opportunities more accessible than ever before. It's portal is designed to speed up the collection of information, authenticate using trusted third parties and deliver superior profiles of customers.





Award Winning Online Compliance Training

COMPANY DESCRIPTION

GRC Solutions provides online legal compliance training under the Salt Compliance brand to organisations for use in training their staff in basic areas of law including Competition & Consumer Protection, AML, Anti-Bribery & Corruption, WH&S, and Sexual Harassment. It also produces customised eLearning courses for clients. Its training courses can be tailored for any organisation in any industry and currently caters to the finance, construction, mining, oil, healthcare and public sector industries.





Voice Software For Teams

COMPANY DESCRIPTION

GreenKey is the voice- driven collaboration platform for financial market participants: enhancing compliance and enabling sophisticated data analytics and workflows. GreenKey enables traders & brokers to rapidly set up and instantly speak on private, secure voice networks without hardware. Communication takes place using a "Virtual Turret" that is installed on the user's PC connecting over the internet. GreenKey is changing the way markets communicate.





Navigating compliance for digital businesses.

COMPANY DESCRIPTION

HELM Solutions, Inc. is a global cyber security and technology firm that provides legal and compliance solutions to government and the enterprise. Helm empowers companies with the knowledge and tools to stay on top of technology laws. Its solution takes the complexity out of compliance so that it's no longer a nagging afterthought.




COMPANY DESCRIPTION

ompliance

HEXANIKA is a FinTech big data software company, which has developed an end-to-end solution for financial institutions to address data sourcing and reporting challenges for regulatory compliance. Its innovative solution improves data quality, keeps regulatory reporting in harmony with the dynamic regulatory requirements and keeps pace with the new developments and latest regulatory updates.

SERVICES	LOCATION
Reporting Data Warehousing	New York, USA Pune, India
SINCE	OWNERSHIP
2013	Private
KEY PEOPLE	STAFF
Yogesh Pandit, Advisor & CEO Makarand Gadre, Co-CFO & CTO Kedar Joshi, Co-CFO	
FUNDING	KEY INVESTORS
\$50k Seed investment in May 2016	n/a
SOCIAL MEDIA	WEBSITE
🛞 🋞 🋞 🋞 🛞	http://hexanika.com/
Planet	



COMPANY DESCRIPTION

Compliance

Hummingbird is seeking to revolutionize the regulatory compliance functions of financial services companies through the automation of manual processes and the application of machine learning and other cutting edge techniques.

SERVICES	LOCATION
General Compliance	Boston, USA
SINCE	OWNERSHIP
2016	Private
KEY PEOPLE	STAFF
Matthew Van Buskirk, Co-Founder / CEO	
FUNDING	KEY INVESTORS
n/a	n/a
SOCIAL MEDIA	WEBSITE
	http://www.hummingbird.co/
Planet	



Digital Identities You Can Trust

COMPANY DESCRIPTION

IdentityMind Global pioneered digital identities for ecommerce. Its ondemand platform provides identity-based risk management, fraud prevention, and AML services for Online Lenders, Acquiring Banks, Gateways, Payment Service Providers, Digital Currency Exchanges, Financial Institutions, and e-Commerce Merchants. The IdentityMind platform provides real-time risk management using patent-pending eDNA technology to track the different entities involved in every transaction.

SERVICES

Client and Counterparty Identification General Compliance Monitoring

SINCE

2011

KEY PEOPLE

Garrett Gafke, President & CEO Jose Caldera, VP of Marketing&Products Kieran Sherlock, CTO

FUNDING

Total of \$12.5M in 2 rounds Latest \$10.8M Series B in March 2015







LOCATION

Palo Alto and Spokane Valley, USA



KEY INVESTORS

Lakewood, Mozido, SBT Capital, Cybernaut, Benhamou Global Ventures

WEBSITE

www.identitymindglobal.com



The Power of Entity

COMPANY DESCRIPTION

ICX4 offer a range of services to the financial community that help resolve local and enterprise wide data issues from accuracy, quality, governance, lineage, reporting, adoption and control. Its solutions create a single, source-agnostic profile that takes each entity from every client source system and creates a match with its counterpart in the external world. ICX4 monitors, updates and maintains legacy information automatically, enabling the organisation to drive accurate, consistent data to the central repository.





An Innovative Vision for the future from Mining to Meaning

COMPANY DESCRIPTION

INVOXIS is a leader in the text mining and NLP markets. INVOXIS provides a unique technology that helps decision-makers in finding the most effective and accurate solutions for their businesses in order to meet global regulatory requirements. Its clients benefit from a high-performance information extraction and opinion mining of this technology. It offers effective Business Intelligence solutions to access and give a meaning to never-ending list of unstructured data and structured data sources.



Client and Counterparty Identification Data Warehousing

SINCE

2013

KEY PEOPLE

Pierre Quintard, CEO Christophe Douy, Products & Solutions Tanneguy Dulong, Head of R&D

FUNDING

n/a







http://www.invoxis.com/



Payments and Identity converged

COMPANY DESCRIPTION

iSignthis Ltd is the global leader in dynamic, digital AML/CFT KYC identity proofing. It uses real time electronic verification to converge remote payment authentication and KYC identification. This delivers automated customer onboarding with a global reach of any of the worlds 3.5Bn financially included persons, no matter where they are located. In addition, iSignthis' unique solutions protect online customers whilst assisting merchants with CNP liability shift and providing operators with 100% confidence.



Client and Counterparty Identification

LOCATION

Melbourne, Australia Amsterdam, The Netherlands

SINCE 2013

KEY PEOPLE

John Karantzis, CEO & Managing Director Todd Richards, CFO and Company Secretary

FUNDING

Listed on ASX Market Cap \$73.4M







http://www.isignthis.com/



COMPANY DESCRIPTION

Jocata Financial Advisory and Technology is an innovative products and services firm specializing in KYC, AML and CFT compliance for financial services industry clients. Jocata's mission is to assist financial institutions in minimizing their financial risk, compliance risk, operational risk, and reputational risk from the abuses of financial crime, including money laundering, terrorist financing, and other illicit financial transactions.





Achieve Regulatory Intelligence

COMPANY DESCRIPTION

Jurispect is a regulatory intelligence platform that empowers users to monitor the changing regulatory landscape in a single interface. Powered by user engagement and data science, compliance teams can easily stay on top of industry trends, track and share documents, and quickly see all relevant compliance documents from Federal and State agencies, and experts.





KnowYourCustomer

Bringing the KYC process into the 21st century

COMPANY DESCRIPTION

Know Your Customer Limited provides clients with cutting edge 21st century KYC and anti-money laundering technology solutions. It works as technology partner for firms in banking, law, accountancy and other fields in need of efficient customer ID verification. Know Your Customer's ID-Check is a mobile app that simplifies and accelerates identity verification for client on-boarding. Using the latest cyber-security, technology and international AML database we can provide the highest level of KYC verification.



Client and Counterparty Identification

SINCE

2015

KEY PEOPLE

Claus Christensen, CEO and Co-Founder Richard Barrett, Director and Co-Founder Cormac Doddy, Director and Co-Founder







LOCATION

Dublin, Ireland Shanghai, China Hong Kong



n/a

WEBSITE

www.knowyourcustomer.com



Gold Standard Global Compliance

COMPANY DESCRIPTION

Kompli provides a "Gold Standard" service through our specialist and highly experienced team that have a comprehensive knowledge of the requirements and principles underpinning CDD and the importance that regulators place upon it. PropensityPlus helps identify potential conflicts between information from different data sources or something that simply just doesn't fit or look right. Global Standard Compliance in AML and KYC in an ever evolving global marketplace.



www.kompli-global.com

KYC X NET®

Setting the Standard as the first secure communication platform for KYC and CDD purposes for the Financial Industry.

COMPANY DESCRIPTION

KYC Exchange Net AG is a Swiss company with the primary purpose to develop and maintain KYC Exchange Net AG's platform KEN and to provide the Financial Industry with a secure communication platform for KYC/CDD purposes. Its objective is to allow for the cost effective exchange of Know Your Customer (KYC) and Customer Due Diligence (CDD) data between regulated financial institutions (e.g. banks, insurances) and their clients.





The Ultimate Banking Compliance Platform

COMPANY DESCRIPTION

KYC-Chain is a novel platform built over the convenience and security of Distributed Ledger technology, allowing users to manage their digital identity securely, while businesses and financial institutions are able to manage customer data in a reliable and easy manner. KYC-Chain is built taking into account the actual legal framework regarding identity and customer data at a global scale.





COMPANY DESCRIPTION

KYC3.com delivers reporting and research solutions for professionals looking to mitigate risk through the use of data mining and analysis of unstructured big data. KYC3 offers inexpensive subscription access to a full featured KYC screening and research facility offering unlimited KYC/AML screening audit reports and access to all research data, updated continually in real time. KYC3 also offers OEM and enterprise solutions for customers with specific requirements.





COMPANY DESCRIPTION

KYC360 Technologies describes itself as a group of RegTechs collectively supplying regulatory compliance and risk management software and services such as the KYC360 membership community of AML and financial crime prevention professionals; RiskScreen, a powerful due diligence search and reporting engine; and Panoptic Software develops, which implements and supports financial crime risk management software for the global finance industry.

SERVICES

Client and Counterparty Identification General Compliance

LOCATION

St. Helier, Jersey, United Kingdom

SINCE OWNERSHIP 2009 Private KEY PEOPLE STAFF Stephen Platt, CEO 00 00 Neal King, CTO Trevor Dearsley, CFO FUNDING **KEY INVESTORS** n/a n/a SOCIAL MEDIA WEBSITE https://kyc360.com/ Planet Compliance



Are you ready to accelerate your revenue?

COMPANY DESCRIPTION

Kyckr provide award winning, commercially proven products for the authentication of businesses globally. Kyckr have developed API's and cloud based decision engines for Best in Class KYC due diligence and customer on-boarding. Kyckr's products offer a significant competitive edge to customers with automated data cleansing, remediation and ongoing monitoring that dramatically improve customer on-boarding timelines.

SERVICES

Client and Counterparty Identification

SINCE

2007

KEY PEOPLE

Rob Leslie, Head of Innovation Ben Cronin, Joint-CEO David Cassidy, Joint-CEO

FUNDING

Listed on ASX Market Cap \$6.05M







LOCATION

Sydney, Australia Waterford and Dublin, Ireland



http://kyc-chain.com/



Compliance for Mobile Messaging

COMPANY DESCRIPTION

KyoLAB bridges the gap between compliance and mobile messaging. Regulated financial services must securely retain all electronic communications and have them readily available for audit, otherwise they could risk multi-million dollar fines. Their platform allows clients to archive and monitor mobile messaging. KyoLAB provides the audit trail and the basis for dispute resolution for all popular mobile messaging apps, supporting both corporate devices and BYOD (Bring Your Own Device) culture.





Bring Order To The Chaos

COMPANY DESCRIPTION

Lockpath is a market leader in corporate governance, risk management, regulatory compliance (GRC) and information security (InfoSec) software. Built on the patented Dynamic Content Framework (DCF), LockPath's flexible, scalable and fully integrated suite of applications is used by organizations to automate business processes, reduce enterprise risk and demonstrate regulatory compliance to achieve audit-ready status.

SERVICES

Reporting General Compliance

SINCE

2010

KEY PEOPLE

Chris Caldwell, Co-Founder and CEO Chris Goodwin, Co-Founder and CTO Tim Norman, Chief Architect

FUNDING

Total of \$8M in 2 rounds Latest \$6M Series B investment in July 2012

SOCIAL MEDIA







WEBSITE

www.lockpath.com



World Class Fund Analytics, Data and Solutions for Asset Managers, Life Companies and Financial Advisers.

COMPANY DESCRIPTION

Longboat Analytics is the new name for the Analytics division within the MoneyMate Group. Longboat specialises in capturing data on investment funds and adding value through the provision of analytics tools, website solutions and aggregated data feeds.





COMPANY DESCRIPTION

MDM Compliance Systems Ltd is a specialist provider of outsourced, scalable and tailored solutions to manage the shareholding aggregation and disclosure process. Its clients make available to MDM securely their position data which is initially validated. The data then passes through its rules engine uniquely configured to predefined disclosure requirements providing timely daily reports enabling our clients to assess their need to make a regulatory disclosures.





Post Trade Control for Derivatives

COMPANY DESCRIPTION

Message Automation is the leading specialist provider of post trade control solutions. It helps clients manage the multiple trade processing challenges created by new regulations and market practices across all asset classes in OTC, ETD and FI markets. Built around a central data model in which it harmonises all internal and external data its solutions include: Trade Reporting; House/Client Clearing; Affirmation/Confirmation; Management of diverse reports from CCP's/brokers; SEF connectivity; Collateral messaging.



III Met Facilities

COMPANY DESCRIPTION

Met Facilities is a leading provider of a comprehensive and flexible FCA regulatory hosting umbrella for funds, start-ups, fintechs and financial services firms. This incubation platform allows start-ups to leverage capabilities that are traditionally reserved for major institutions. Its solution-driven FCA regulatory hosting umbrella is founded on many years of knowledge and experience.





For Giant Ideas

COMPANY DESCRIPTION

MongoDB is the next-generation database that helps businesses transform their industries by harnessing the power of data. The world's most sophisticated organizations, from cutting-edge startups to the largest companies, use MongoDB to create applications never before possible at a fraction of the cost of legacy databases. Financial services firms are reinventing their core systems with MongoDB by analyzing trade signals faster, getting a single view of their customers, and reducing risk.

SERVICES

Data Warehousing Reporting

SINCE

2007

KEY PEOPLE

Dev Ittycheria, President & CEO Eliot Horowitz, CTO & Co-Founder Dwight Merriman, Co-Founder

FUNDING

Total of \$312M in 9 rounds Latest Undisclosed venture investment in Aug 2015

SOCIAL MEDIA





LOCATION

Headquarters in New York and Palo Alto, USA, and Dublin, Ireland, and 19 offices worldwide



KE9 INVESTORS

Union Square Ventures, T. Rowe Price, Sequoia Capital, Flybridge Capital, New Enterprise Associates

WEBSITE

www.mongodb.com



Compliance Going Digital

COMPANY DESCRIPTION

muinmos has developed PASS - a revolutionary online platform which enables financial institutions across the globe to realise the full potential of their global client base. With PASS, a financial institution can secure its continuous regulatory compliance, and within seconds determine whether a client from a particular country can trade in a service and given instrument type, and if the service and instrument type is suitable and/ or appropriate for the client in question.





360° Assessment of your Compliance Acumen

COMPANY DESCRIPTION

MycompliancelQ is an online tool that enables individuals and organisations to benchmark their understanding of key compliance disciplines and directly compare the results against their peer group. Artificial Intelligence built in to the system ensures that all tests are unique in content, but equivalent in difficulty. Through repeated benchmarking individuals and organisations are able to identify, assess and remediate areas of potential weakness.





COMPANY DESCRIPTION

NameScan, a member of the Neurocom group, is based in Australia and provides a publicly accessible online service which enables users to check the names of individual persons or companies instantly, against the Dow Jones Watchlists, the most detailed and accurate global watchlists available today of Politically Exposed Persons (PEPs), officially sanctioned individuals and persons of Special Interest





Risk Is Risky

COMPANY DESCRIPTION

NeoRM is a revolution in risk and governance management with, GRASP (Governance Risk Attestation Supervision Program), a SaaS tool providing comprehensive, simplified view of controls for our clients to ensure appropriate governance and permanent supervision. GRASP provides dramatic impact for our clients through rapid transparency. Clients are empowered and confident when protected by the NeoRM platform.





Innovative. Integrative. Intuitive.

COMPANY DESCRIPTION

Neota Logic is an award winning provider of intelligent software that enables our clients to automate expertise, improving the speed, quality and efficiency of routine decisions. Neota Logic's easy-to-develop smart applications uniquely combine rules, reasoning, decision management and document automation to scale expertise quickly and cost-effectively.





Trusted financial technology partners

COMPANY DESCRIPTION

netConsult are a specialist company providing built-to-order IT for the alternative investment sector. Its services cover the full range of IT you need to run a secure, compliant and efficient organisation. From the initial design of your infrastructure to a fully managed system, you can depend on us to deliver IT that is right for your business





Beat fraud. Meet compliance.

COMPANY DESCRIPTION

NetGuardians is a leading Fintech company recognized for its unique approach to fraud and risk assurance solutions. Their software leverages Big Data to correlate and analyze behaviors across the entire bank system – not just at the transaction level. With predefined controls, NetGuardians enables banks to target specific anti-fraud or regulatory requirements. A controls update service ensures financial institutions benefit from ongoing protection in the face of the continually evolving risk challenges of a border-free world.

SERVICES

General Compliance Monitoring

SINCE

2007

KEY PEOPLE

Joël Winteregg, Co-founder/CEO Raffael Maio, Co-founder/COO Jérôme Kehrli, Head of R&D

FUNDING

Total of \$7.5M in 2 rounds Latest \$5M Series A in Oct 2014







LOCATION

Yverdon-les-Bains/Switzerland, Nairobi/Kenya, Singapore, and Warsaw/Poland



WEBSITE

www.netguardians.ch



COMPANY DESCRIPTION

Netki is bringing industry solutions to the bitcoin and crypto currency communities to enhance uptake in the mass market. Its first product, the Netki Wallet Name Service translates easy to remember names like "wallet.domain.net" into Bitcoin (and other crypto currency) wallet addresses.





Artificial Intelligence for Compliance

COMPANY DESCRIPTION

Neurensic's mission is to strengthen and protect our most vital industries by revealing insights from their data and empowering them to evolve into the future. It helps businesses and organizations stay competitive by connecting cutting-edge artificial intelligence technologies with actual decision-making power. Neurensic Score employs a unique approach to trade surveillance that utilizes artificial intelligence.





the FIRST in the world to provide KYC & AML verified money.

COMPANY DESCRIPTION

NewBanking is the world's first provider of KYC verified money through the traditional payment network. Payment data through the payment API is enriched with access to full compliance documentation, supporting all major card schemes worldwide and offer closed loop payment options based on private blockchain technology. NewBanking is an official member of the blockchain and Virtual Currencies Regulatory Working Group within the EU Commission.



Client and Counterparty Identification

Copenhagen, Denmark

LOCATION

SINCE

2015

KEY PEOPLE

Christian Visti Larsen, Co-founder & CEO Morten Helles, Co-founder & CTO

FUNDING

Undisclosed Angel investment In Sept 2016







newbanking.com



Data Science At Extreme Scale And Speed

COMPANY DESCRIPTION

Omniscience commercializes US intelligence agency AI and distributed data mining research to connect the dots across large, diverse data sources. Financial services companies use Omniscience for risk management, underwriting, and sales intelligence. Omniscience offers military-grade, distributed data mining algorithms, a diverse array of public and private data sources, and connectors to popular SaaS and enterprise software technologies as a SaaS product.





Global Identity Verification

COMPANY DESCRIPTION

Onfido delivers next-generation identity verification and background checks, helping businesses verify anyone, anywhere in the world – within seconds. Powered by machine-learning technology, Onfido's identity verification software verifies that a person is who they say they are before running further searches such as Criminal or Anti-Money-Laundering Checks. Built for an online world, Onfido's solution enables businesses across sectors to run checks remotely and at scale.

SERVICES

Client and Counterparty Identification

LOCATION

London, United Kingdom San Francisco, USA

SINCE

2012

KEY PEOPLE

Husayn Kassai, CEO & Co-founder Eamon Jubbawy, COO & Co-founder Ruhul Amin, CTO & Co-founder

FUNDING

Total of \$30.3M in 6 rounds Latest \$25M Series B in April 2016





Idinvest Partners Salesforce Ventures Wellington Partners

WEBSITE

onfido.com





Our mission: To be the industry standard for derivatives risk analytics

COMPANY DESCRIPTION

OpenGamma helps financial services firms evaluate, understand, and manage market risk in an open, transparent manner. The OpenGamma Platform enables firms to optimize their businesses in the evolving OTC markets, improving capital efficiency and balance sheet management. It provides tools for multi-CCP margin calculations, what-if analysis and stress testing, and real-time, cross-asset risk and trading analytics across customized risk scenarios and industry-standard metrics.

SERVICES

General Compliance

SINCE

2009

KEY PEOPLE

Peter Rippon, CEO Mas Nakachi, Vice-Chairman Jonathan Senior, CTO

FUNDING

Total of \$39.3M in 5 rounds Latest \$13.3M Series D in October 2016





LOCATION

London, United Kingdom New York, USA



KE9 INVESTORS

Accel Partners, FirstMark Capital, ICAP plc, Euclid Opportunities

WEBSITE

www.opengamma.com



Fighting financial crime

COMPANY DESCRIPTION

OpusDatum helps financial institutions address the considerable reputational, operational and commercial risk associated with the fight against financial crime. It focuses on economic sanctions, anti-money laundering, anti-bribery & corruption and financial fraud. Its particular strength is making effective use of data and technology to address the enormous challenges of operating in today's highly regulated environment.



Client and Counterparty Identification Monitoring

SINCE

2007

KEY PEOPLE

Liz Travis, Director Andrew Travis, Director

FUNDING

n/a







http://opusdatum.com/


Seeing through complexity of credit

COMPANY DESCRIPTION

Open Source Investor Services (OSIS) is a solutions provider and trusted partner to the financial industry. The mission of the company is to offer a game-changing platform for credit risk analysis and credit opinions. OSIS provides global banks, insurers and investors with the tools and information they need to get a better understanding on credit risk of loans.



PANALY TIGS

Enable Truly Proactive Compliance

COMPANY DESCRIPTION

Panalytics provides software to help Financial Services firms better identify, manage and respond to regulatory compliance risk and violations. Panalytics Comply is revolutionary regulatory compliance surveillance software that provides Financial Services firms with an entirely new way to identify, manage and respond to regulatory compliance risk and violations.





Client Lifecycle Management Software in the Cloud

COMPANY DESCRIPTION

PassFort CLM is a Compliance Lifecycle Management (CLM) solution in the cloud. Designed to improve the way regulated businesses of all sizes onboard and risk assess their customers. A new flexible framework to comply with ever changing AML and KYC regulations. PassFort is building "always on" compliance technology that protects your business and your customers on an ongoing basis.

SERVICES

Client and Counterparty Identification

LOCATION

London, United Kingdom

SINCE

2015

KEY PEOPLE

Donald Gillies, CEO & Co-founder Henry Irish, CTO & Co-founder Ali Hassan, Head of Sales

FUNDING

Total of \$995k in 2 rounds Latest \$931k Seed funding in Nov 2015







Technology That Makes Risk an Ally

COMPANY DESCRIPTION

Percentile increases alignment between risk management and front office trading to solve complex regulatory requirements like BCBS-239 and FRTB. Percentile demonstrably reduces the time, effort and cost of addressing complex multi-dimensional regulations. It's flagship product, RiskMine, uses distributed computing and in-memory data analytics for risk data management, scenario computation and firm-wide risk aggregation.





Manage your data privacy risk

COMPANY DESCRIPTION

Privitar is an enterprise software company based on the South Bank in London.The company's mission is to promote and facilitate the ethical and safe use of valuable data assets. The company works with the world's largest organisations to drive benefit from data through broader use, collaboration and monetisation without compromising on data privacy and security.





Risk Analytics. Simplified.

COMPANY DESCRIPTION

Provenir helps financial institutions make risk decisions on payments transactions, lending and credit applications in seconds by providing business process automation tools that help clients create a new process or offering, test and take it to market in a few hours; providing pre-configured adapters to various data sources and CRM systems and helping clients integrate with them in hours and days; operationalizing financial risk models in minutes to help predict customer behavior and offer the best next action.

SERVICES

Client and Counterparty Identification General Compliance

SINCE

1992

KEY PEOPLE

Larry Smith , Founder & CEO Adi Bachar-Reske, Head of Marketing Paul Thomas, Managing Director

FUNDING

n/a





LOCATION

Parsippany and New York, USA London and Leeds, United Kingdom



www.provenir.com

150



Insurance data integration and analytics

COMPANY DESCRIPTION

QuanTemplate is an insurance technology company formed by experienced re/insurance professionals and world-leading computer scientists, bringing the latest innovations in data and analytics to the insurance industry. The company delivers technology solutions for the key issues surrounding distribution, bordereaux management, underwriting performance and regulatory reporting.





COMPANY DESCRIPTION

Quarule technology coordinates governance and automates oversight programs. The solution stores the meaning of the rules that guide the organization, retaining and reusing knowledge capital to maximize returns on technology investment and staffing budgets. To address the inadequacy of pre-market crash technologies to meet the requirements of global regulatory reform, Quarule has developed an innovative, effective, and lasting solution.

SERVICES

Legal & Regulatory Analysis

SINCE

2014

KEY PEOPLE

Wesley Moore, Co-founder & CEO Elie Abi-Lahoud, Co-founder & CTO

FUNDING

n/a









Record. Replay. Preserve. Prove. Predict.

COMPANY DESCRIPTION

Qumram provides a fully-compliant and transparent digital audit trail of all online, mobile, and social interactions. Every digital interaction is 100% recorded, and can be replayed on demand, without technical assistance. Qumram enables financial services organisations to retain digital records, securely and reliably, in a fully accessible form, in accordance with global regulatory requirements. Qumram also facilitates fraud detection, call centre enquiry handling, and customer behaviour analytics.

SERVICES

Data Warehousing General Compliance

SINCE

2011

KEY PEOPLE

Patrick Barnert, CEO Mathias Wegmüller, Director Sales Simon Scheurer, CTO

FUNDING

Total of \$2.5M in Series A funding in March 2016





LOCATION

Zurich/Switzerland, London/United Kingdom, Barcelona/Spain, San Francisco/USA



3wVentures.com, Ariel Luedi, Peter Stalder, Zirkonia

WEBSITE

www.qumram.com/



Prevents fraud. Protects your margins.

COMPANY DESCRIPTION

Ravelin is fraud protection for the on-demand economy. Ravelin examines your visitor and payment data in real time, telling your systems which customers to allow, prevent or flag for review. You can increase conversion and reduce losses to fraud, with no impact on the user journey. Perfect for an on-demand world. Its sophisticated algorithms bring fraud down to $\sim 0.1\%$ of sales, which means chargebacks become fewer and far between.





Compliance by Design

COMPANY DESCRIPTION

Red Marker describe themselves as a small "skunk works" style development company based in Sydney, who are passionate about building disruptive technologies and solving real world problems. Their flagship product Artemis is a purpose built software solution for the Australian financial services industry that automatically identifies and analyses digital marketing content for compliance risk and provides a workflow solution to manage the digital marketing compliance process.





Secure the Human Layer of the Enterprise to Reduce Insider Risk

COMPANY DESCRIPTION

RedOwl mitigates the insider threat for information security and regulatory surveillance teams. Unlike traditional information security and compliance tools, its behavioral analytics platform integrates structured and unstructured data sources to provide holistic visibility of risk across the enterprise. RedOwl proactively detects and deters unwanted and illegal behaviours, improves effectiveness on front office reviews, and reduces response times for regulatory requests and audits.



LOCATION

Baltimore, New York, and San Francisco, USA London, United Kingdom



KEY INVESTORS

Blackstone Group, Allegis Capital, Conversion Capital, Marc Benioff, In-Q-Tel, TCP Venture Capital

redowl.com



Optimize Compliance. Manage Risk. Enable Growth.

COMPANY DESCRIPTION

RegEd is a leading provider of Compliance Management, Compliance Education and Licensing and Registration solutions and services to brokerdealers, insurance carriers and insurance distributors. RegEd's product suites include Compliance Management and Education; Contracting, Registration and Licensing; and Insurance eGRC. It's solutions enable its clients to realize new levels of operational efficiency and to cost-effectively comply with FINRA, state and other regulations, while mitigating risk.





Regulatory Compliance Technologies

COMPANY DESCRIPTION

REGtify as a Company and as a team is motivated on developing regulatory painkillers aiming on relieving pains from the current and upcoming regulatory bottleneck. Its product is a secured web platform (Prometheus) which will host EU's first capital adequacy automation engine. This engine aims on assisting investment firms with continuous capital and risk monitoring and reporting under the Capital Requirements Regulation (Basel 3).





Detect the Ripples Before the Tsunami

COMPANY DESCRIPTION

Rippleshot is transforming the way that banks and credit unions detect fraud through a cloud-based technology solution that leverages machine learning and data analytics to distinguish fraudulent activity more quickly and efficiently. Rippleshot's award-winning technology processes millions of payment card transactions to proactively pinpoint when and where a data breach occurred.





Risk Solutions Cloud Solutions Trade Solutions Report.it.Trade

COMPANY DESCRIPTION

Risk Focus delivers trading, risk and cloud-enabling solutions to the global capital markets. It offers a full-service model from independent advisory and architecture services through full implementation and solution delivery. Its proprietary software platform, Report-it.Trade, offers component-based regulatory reporting solutions on the cloud or as packaged software, including Validate.Trade, the only data validation and emulation engine for the DTCC GTR.





Always one step ahead of fraudsters

COMPANY DESCRIPTION

Risk Ident is a software development company that offers anti-fraud solutions to companies within the e-commerce, telecommunication and financial sector. Its key products are FRIDA Fraud Manager, DEVICE IDENT Device Fingerprinting and EVE Risk Management Platform. Use cases include payment fraud, account takeovers, identity theft and fraud within consumer lending. All products are specifically tailored to comply with data privacy regulations.

SERVICES

General Compliance Client and Counterparty Identification Monitoring

SINCE

2012

KEY PEOPLE

Roberto Valerio, CEO

FUNDING

n/a





LOCATION

Hamburg, Germany London, United Kingdom Paris, France



riskident.com



European Enterprise Cloud in minutes. Billed hourly. Resize anytime.

COMPANY DESCRIPTION

Safe Swiss Cloud's mission is to re-invent enterprise cloud infrastructure by making it really easy to use while using its Swiss location to meet our customer's compliance and privacy requirements under Swiss law and EU regulations. It is a premium enterprise cloud with special features including ISO and FINMA certifications, creation of servers and routers/firewalls instantly, multiple Swiss data centres for redundancy, high performance and reliability for the enterprise, and managed services and support.



SCALED RISK

The Data Management Platform for critical real-time applications

COMPANY DESCRIPTION

Scaled Risk is an innovative financial software vendor that unifies Big Data and in-memory analytics technologies to bring Investment Banks, Exchanges and leading financial institutions for scalable, flexible and realtime trading analytics and risk management. Scaled Risk solves the growing needs for smart data processing in the capital market industry by providing a Big Data and in-memory analytics platform that assures real-time historical and live trade data analytics.

SERVICES

General Compliance Monitoring Reporting

SINCE

2012

KEY PEOPLE

Hervé Bonazzi, CEO Thierry Duchamp, Founder and COO Pierre Bittner, CTO

FUNDING

Total of \$33k in Seed round in March 2015







LOCATION

Paris, France Brussels, Belgium New York, USA



WEBSITE

www.scaledrisk.com



A Digital Identity Ecosystem to Lead the World

COMPANY DESCRIPTION

SecureKey is a leading identity and authentication provider that simplifies consumer access to online services and applications. SecureKey enables next generation privacy-enhancing identity and authentication network for conveniently connecting people to critical online services using a digital credential they already have and trust.

SERVICES

Client and Counterparty Identification

SINCE

2008

KEY PEOPLE

Greg Wolfond, Founder & CEO Jaime Shapiro, President Andre Boysen, Chief Identity Officer

FUNDING

Total of \$89M in 5 rounds Latest \$20.5M Venture funding in Oct 2016







LOCATION

Toronto, Canada Boston and San Francisco, USA



KE9 INVESTORS

BlueSky Capital, Intel Capital, RBC, TD, Rogers Venture Partners, BMO, Bank of Nova Scotia, CIBC

WEBSITE

http://securekey.com/



Automating Third-Party Compliance

COMPANY DESCRIPTION

Planet Compliance

Securimate is the leading enterprise third-party management cloud solution that enables multinational companies to systematically onboard, manage, monitor, and audit their sales channel and supply chain participants. Securimate's user interfaces and flexible workflows deliver detailed analytics that help customers ensure regulatory compliance, maximize supply chain efficiency, and comply with data privacy laws and regulations.

SERVICES LOCATION Client and Counterparty Identification Austin, USA Monitoring SINCE OWNERSHIP 2001 Private KEY PEOPLE STAFF Eric Lochner, CEO 99 00 **AA** 00 Bert Fulkerson, CAO Dyke DeBrie, CCO FUNDING **KEY INVESTORS** Bregal Sagemount Owned by STEELE CIS SOCIAL MEDIA WEBSITE http://securimate.com/



COMPANY DESCRIPTION

Signac works with financial institutions to stop rogue traders and other employees from engaging in activities that endanger our financial system. It was born from a joint venture between Palantir Technologies and Credit Suisse and the company blends its Silicon Valley roots and industry expertise to help banks strengthen employee supervision, reduce operational risk and make the financial system safer.

SERVICES

Client and Counterparty Identification Monitoring

SINCE

2008

KEY PEOPLE

Colleen Graham, CSO Yvonne Wang, Head of Operations Sean Hunter, CIO

FUNDING

50/50 Joint Venture between Palantir Technologies and CreditSuisse

SOCIAL MEDIA





LOCATION

New York, USA London, United Kingdom



KEY INVESTORS

Palantir Technologies CreditSuisse

WEBSITE

http://signac.net/



The Regulatory Data Hub For PRIIPs, Solvency II, VAG and GroMiKV

COMPANY DESCRIPTION

Silverfinch, the leading look-through and data distribution hub for client regulatory reporting and part of the MoneyMate Group, has launched three new capabilities to its data model in response to its clients ' changing regulatory requirements, creating a first to market four-in-one data solution. Originally created to assist with Solvency II reporting, Silverfinch has now developed its data model to also provide regulatory reporting support across PRIIPs, VAG and GroMiKV.

SERVICES

Reporting

SINCE

2014

KEY PEOPLE

John Dowdall, Managing Director Ashley Smith, Business Development Jeff Willems, Client Development

FUNDING

n/a





LOCATION

London, United Kingdom Dublin, Ireland



WEBSITE

www.silverfinch.com



Know your customer, made simple

COMPANY DESCRIPTION

Simple KYC describes itself as the hassle free, business process management solution for both large and small entities. Simple KYC greatly reduces the man hours involved in onboarding new customers. It automatically visualise complex companies, trusts, partnerships and much more. The Simple KYC system can extract trust deeds in under five minutes and the workflow tool reduces man hours by more than 50%.





The Convergence of Blockchain, Big Data and Artificial Intelligence.

COMPANY DESCRIPTION

Skry, Inc. is the leading Blockchain analytics and intelligence firm based out of Silicon Valley. The company provides an end-to-end platform that enables enterprises to derive real-time business intelligence and risk assessment from Blockchains and decentralized applications. Skry rebranded in 2016 and was formerly known as Coinalytics





Unify Enterprise Information to Drive Business Results

COMPANY DESCRIPTION

Smartlogic's Semaphore is an enterprise grade Content Intelligence platform that complements an organization's investment in enterprise search, workflow, analytics and content management systems. Semaphore is the bridge between human language and computers. It extracts the human intelligence from information assets and applies precise and consistent metadata to harmonize information and drive business decisions.



General Compliance

SINCE

2006

KEY PEOPLE

Jeremy Bentley, CEO Rupert Bentley, CFO Matthieu Jonglez, CTO

FUNDING

n/a





LOCATION

San Jose, Alexandria and Cambridge, USA London, United Kingdom



www.smartlogic.com



COMPANY DESCRIPTION

SmartStream Technologies provides Transaction Lifecycle Management solutions and Managed Services to dramatically transform the middle and back-office operations of financial institutions. SmartStream delivers greater efficiency, automation and control to critical post trade operations. Used independently or as a suite of solutions and services, clients gain a lower cost-per-transaction whilst reducing operational risk, aiding compliance and improving customer service levels.

SERVICES

General Compliance Reporting

SINCE

2000

KEY PEOPLE

Haytham Kaddoura, CEO Mark Roth, Chief Marketing Officer Claudia Giunta, General Counsel

FUNDING

n/a





LOCATION

Headquartered in London, United Kingdom and 23 offices worldwide



www.smartstream-stp.com



A Cognitive Platform & Solutions For Business Actionable Insights

COMPANY DESCRIPTION

Squirro is an advanced contextual intelligence and Insights solution that allows organizations to efficiently manage and unlock the hidden value within data. Squirro's unique adaptive and advanced concept search technologies have been built to intuitively simplify data discovery and unlock new actionable insights; delivering information in context at the right time. Its solutions integrate with IT Service Management, Customer Relationship and Business Intelligence systems, allowing a 360° view from across all systems.

SERVICES

General Compliance Monitoring

SINCE

2012

KEY PEOPLE

Dorian Selz, Co-Founder &, CEO Patrice Neff, Co-Founder Toni Birrer, Co- Founder & CTO

FUNDING

Total of \$1.5M in 4 rounds Latest undisclosed amount in Venture funding in May 2013

SOCIAL MEDIA





LOCATION

Zurich/Switzerland, New York/USA Barcelona/Spain, London/United Kingdom, Munich/Germany



KE9 INVESTORS

FormulaVC Venture Fund, Ecosystem Ventures, Andy Honess, Friedrich Georg Hoepfner

WEBSITE

http://squirro.com/



COMPANY DESCRIPTION

Starling is an applied behavioral sciences company using machine learning and network science to build "augmented management intelligence" tools. Its predictive behavioral analytics technology reveals the performance impact of relational trust dynamics within organizations. Its proprietary algorithms generate actionable insights, displayed through intuitive and customizable dashboards, allowing business leaders to drive improved performance and desired culture and to identify and mitigate behavior-related risks.





Bridging the Regulatory Gap through Modern Technology

COMPANY DESCRIPTION

Suade Labs produces technology aimed at the financial services industry to help comply with regulatory issues. It combines practical banking experience with legal and operational expertise while leveraging on academic research to create an optimized product offering. Suade works with a three-step approach that determines where a bank stands within the current regulatory framework, manages implementation efficiently and fit within regulations, and maximises a firm's business opportunity with proactive solutions.

SERVICES

Legal & Regulatory Analysis General Compliance

SINCE

2014

KEY PEOPLE

Diana Paredes, Co-founder & CEO Murat Abur, Co-founder &CTO

FUNDING

One Seed round of undisclosed amount in March 2015











Elite Performance. Reputational Excellence

COMPANY DESCRIPTION

Sybenetix is the leading Enterprise Behavioural Analytics company working with hedge funds, banks and asset managers to systematically improve investment performance, risk and conduct management at the individual, team and company-wide level. Its EBA System provides the unprecedented insight and behaviour management tools needed to improve decision-making skill, counter behavioural biases and poor conduct. Institutions use its single System to attract assets and build reputation.





Protecting your business and your customers

COMPANY DESCRIPTION

Sysnet Global Solutions provides payment card industry, cyber security and compliance solutions that help businesses to improve security and acquiring organisations to reduce risk. It empowers businesses to be secure and compliant through award winning cybersecurity solutions and extraordinary services and support.





Leap into the known

COMPANY DESCRIPTION

Temenos Group AG is the market leading provider of banking software systems to retail, corporate, universal, private, Islamic, microfinance and community banks, wealth managers, and financial institutions. Its Risk&Compliance solutions offer efficient ways for financial institution to navigate the complex regulatory landscape in order to remain focused on serving customers, creating innovative products and improving profitability





COMPANY DESCRIPTION

TheMarketsTrust is an innovative integrated solutions company, providing next-generation products for the financial industry together with expert consulting and solutions integration. Thanks to the in-house research & development team, its technology proficiency and financial expertise, TheMarketsTrust creates original solutions and delivers unique products.





Backed Up. Off Site. In Case.

COMPANY DESCRIPTION

Third Key Solutions provides key consulting, management, and noncustodial storage solutions to individuals and organizations worldwide. It works with clients to design and test asset protection plans, including highvalue estate planning, internal corporate governance plans, and disaster recovery plans. Its solutions are technology agnostic and can include key generation, backup, and cold storage services.





Verifying Identities Online

COMPANY DESCRIPTION

ThisIsMe provides a verification service with the aim of removing complication from compliance. We do so in a completely user controlled manner, putting individuals back in control of their identity. Its aim is to modernise identity for the connected internet era and provide a smart solution for distributing and controlling individual identity assets.




COMPANY DESCRIPTION

npliance

TradeFlow is all about Tracking Trades and Alerting Risk by providing clear information when it is needed. TradeFlow will drive down the costs experienced by banks and trading institutions as a result of delays in settling trades. In times of increased regulation and a focus on costs, TradeFlow is an innovative solution that brings increased clarity and efficiency to trade processing and operations.

SERVICES	LOCATION
Monitoring	Dublin, Ireland
SINCE	OWNERSHIP
2014	Private
KEY PEOPLE	STAFF
Barry Mc Mackin, CEO	2
FUNDING n/a	KEY INVESTORS
SOCIAL MEDIA	WEBSITE <u>tradeflowhq.ie</u>



extending the bitcoin blockchain to non-financial applications

COMPANY DESCRIPTION

Starting with KYC on blockchain, Tradle is building a global trust provisioning network using distributed ledger technology. Its mission is to provide a core fintech / regtech infrastructure for a single digital market in EU and globally. Tradle's pilots with banks and insurance companies show better compliance, lower costs and enhanced revenue generation, all with a simple and speedy customer journey, bridging internal and external financial networks by facilitating customer-controlled data portability.





The New Standard in Anti-Money Laundering

COMPANY DESCRIPTION

TransparINT is a full service technology company focused on providing the next generation of financial crimes compliance tools. TransparINT provides financial institutions with a unified platform to identify risk relevant information. Its data-centric approach utilizes large-scale, real-time mining of multiple sources; web, news, watchlists, etc, to perform predictive risk analysis.





Trust starts with Trooly!

COMPANY DESCRIPTION

Trooly delivers Instant Trust[™] services that verify, screen and predict trustworthy relationships and interactions. Its Instant Trust rating service is designed to fill a "trust gap" caused by the speed of modern commerce and community, which requires instant evaluation of potential reward and risk – without the trust-building interaction history and feedback loops that people use to evaluate relationships offline.



Client and Counterparty Identification

Los Altos, USA

LOCATION

SINCE

2014

KEY PEOPLE

Savi Baveja, Co-Founder and CEO Nilesh Dalvi, Co-Founder and CSO Anish Das Sarma, Co-Founder and CTO

FUNDING

Total of \$10M in Series A round in June 2016







KEY INVESTORS

Bain Capital Ventures Milliways Ventures

WEBSITE

http://troo.ly/



The Identity Bureau

COMPANY DESCRIPTION

Trulioo offers the most robust and comprehensive global identity verification solution in the market. Through one single portal/API, Trulioo can assist clients with all their AML/KYC identity verification requirements by providing secure access to over 4 billion identities worldwide. Trulioo's mission is to create products that solve online identity verification challenges in a way that is accessible to both SME and large enterprise customers.

SERVICES

Client and Counterparty Identification

SINCE

2013

KEY PEOPLE

Stephen Ufford, Co-founder & CEO Tanis Jorge, Co-founder & COO

FUNDING

Total of \$26.6M in 5 rounds Latest \$15M in Venture funding in Dec 2015





LOCATION

Vancouver, Canada San Francisco, USA



KEY INVESTORS

American Express Ventures, BDC Capital, Blumberg Capital, Tenfore Holdings

WEBSITE

www.trulioo.com



Revolutionising the way that Financial Institutions create, manage and interact with customer data

COMPANY DESCRIPTION

Trunomi puts the clients at the centre of the customer data management. Financial institutions and their customers are connected securely allowing individuals to create and manage their personal data with data rights management, all in line with Data Privacy Laws.

SERVICES

Client and Counterparty Identification

SINCE

2013

KEY PEOPLE

Stuart Lacey, CEO Naresh Singhal, CTO Sally-Anne Baron, CFO

FUNDING

Total of \$6M in 2 rounds Latest \$3M in Seed funding in Sept 2016

SOCIAL MEDIA







San Jose / USA London / UK Bermuda



KEY INVESTORS

Fintonia Group, WorldQuant, Saturn Partners, Fenway Summer, Persistent Ventures, SenaHill Partners

WEBSITE

www.trunomi.com



A holistic approach to stop online fraud

COMPANY DESCRIPTION

Trustev is a new approach to stopping fraud online, while letting through good customers. It analyzes thousands of datapoints in real time to make an instant decision on each transaction: is it real or fraudulent? With enterprise customers in ecommerce, financial services, virtual goods and other industries, Trustev is the most effective way to analyze online sales, signups and logins, without the high costs of manual review and with much greater accuracy.





The Global Compliance Clearing House

COMPANY DESCRIPTION

TrustWeaver provides a comprehensive Cloud-based compliance service for electronic invoicing and other legally critical documents for more than 50 countries. From a single technical interface and through its unique Compliance MapTM concept, some 60 world-leading B2B vendors in its partner network automatically provide interoperable legal certainty to trading partners that use their solutions, regardless of changes in legislation.





Obligation Understanding

COMPANY DESCRIPTION

Unicorn Training has created industry-leading Learning and Development solutions for a who's who of the financial and insurance worlds. Unicorn Training hosts its eLearning on its own award-winning learning performance platform, SkillsServe, the No.1 LMS for Financial Services, and on which over 350,000 registered individuals in over 1,000 organisations complete over two million courses and assessments annually.





COMPANY DESCRIPTION

V-comply enables clients to assign, compliance responsibilities either to themselves or others; categorize them under the laws, certifications, audits or other regulations; track their execution and know their compliance status, in one dashboard.





Global identity verification based on online activity

COMPANY DESCRIPTION

Veridu offers instant and accurate identity verification for streamlined onboarding, reduced fraud and Know Your Customer requirements. Its mission is to bring trust to the internet with global and cost-effective digital identity solutions.

SERVICES

Client and Counterparty Identification

SINCE

2014

KEY PEOPLE

Rasmus Groth, Founder & CEO Ian Green, Co-founder & CSO Flavio Heleno, Co-founder &CTO

FUNDING

Total of \$1.35M in 4 rounds Latest Undisclosed amount in Oct 2016

SOCIAL MEDIA





LOCATION

London, United Kingdom Sao Carlos, Brazil



KEY INVESTORS

Global Risk Technologies, Worldpay, Force Over Mass, Callatay, Wouters Ventures

WEBSITE

www.veridu.com

ViClarity Compliance Monitoring Solutions

COMPANY DESCRIPTION

ViClarity is a provider of leading edge Risk, Compliance and Performance Management software with an established presence in financial services, healthcare, manufacturing and corporate environments. ViClarity enables a client to track their performance against policy or regulatory requirements, provides high levels of visibility and transparency, and delivers comprehensive reporting.





Straightforward Security and Compliance

COMPANY DESCRIPTION

VigiTrust is a leader provider of educational programs for IT Security. Through its innovative and interactive learning solutions, VigiTrust empowers users to protect their organisation's IT Security. VigiTrust presents the legal and industry-led compliance and security frameworks to clients in a comprehensive and user-friendly manner. VigiTrust also creates dedicated tools which offer clients a complete solution for compliance with specific frameworks.





COMPANY DESCRIPTION

The global leader in financial regulatory software, Vizor Software helps you fundamentally simplify & strengthen your financial regulation. Vizor has created a purpose built, intelligent software solution. A system to replace multiple disjointed systems, a system that supports and strengthens the entire supervisory lifecycle. Vizor's mission is to harness technology to make financial supervision easier, faster and, more effective for financial regulators.





Technology Platform Transforming Private Wealth Management

COMPANY DESCRIPTION

WealthArc is a fintech company leveraging data analytics and artificial intelligence support systems to empower independent wealth managers to work more efficiently. Thus, ittransforms the way they share relevant and understandable information with their clients. By enriching an efficient asset management tool with an outstanding level of client interaction, WealthArc enables a digital transformation and simplification.

SERVICES

Reporting General Compliance

SINCE

2013

KEY PEOPLE

Krzysztof Gogol, CEO & Founder Radomir Mastalerz, CTO Eric Schmid, COO

FUNDING

Total of \$1.5M in 2 rounds Latest \$1.2M Series B in Sept 2016





KEY INVESTORS

LOCATION

Zurich, Switzerland

00

Washington, USA

Warsaw, Poland

OWNERSHIP

Private

STAFF

WEBSITE

www.wealtharc.com





COMPANY DESCRIPTION

WordFlow delivers a cloud-based service which enables its customers to maximise the strategic value of their information. WordFlow transforms documents and other critical business information, formatted for the desktop, into a format suited to the web and mobile age. Through its library of system connectors, WordFlow aggregates content from multiple organisational repositories and back end systems. It then classifies, converts and enriches this content and makes it available on web and mobile.





ABOUT PLANETCOMPLIANCE

PlanetCompliance is a leading platform for business intelligence on laws and regulations in the financial services industry.

It combines news, research and industry trends on regulatory initiatives and technological trends with in-depth analysis and insights.

For more information, contact us at <u>info@planetcompliance.com</u> or visit us at <u>www.PlanetCompliance.com</u>

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