



REGTECH2020

NOVEMBER 12, 2020 | VIRTUAL

THANK YOU TO OUR SPONSORS



Broadridge, a global Fintech leader and S&P 500® company with \$4 billion in revenues, provides communications, technology, data and analytics. We help drive business transformation with solutions for enriching engagement, navigating risk, optimizing efficiency and growing revenue. Our wealth industry platform seamlessly connects all parts of the business – from trading, portfolio management and financial planning to marketing and multi-channel communications – to optimize advisor productivity, client experience and operations. As a partner to 25,000 advisors servicing 17 million client accounts, we are uniquely positioned to help wealth management firms get ahead of today's challenges and capitalize on what's next

www.broadridge.com



In a highly competitive landscape, wealth management firms need automated digital processes that offer convenience and personalization for their clients. Doxim helps wealth management firms focus more time on clients while we focus on transforming legacy processes to digital experiences while creating operational efficiency. Our wealth management solutions improve the client experience, significantly reduce costs, drive efficiencies, and ensure compliance as well as automate manual, paper and content-intensive processes.

www.doxim.com



GOLD



FIS' Wall Street Concepts helps financial services firms meet U.S. Federal and state tax information reporting requirements. It supports individual asset classes such as REMICs, long term OID bonds, Master Limited Partnerships, mutual funds, REITs, Unit Investment Trusts, and Widely Held Fixed Investment Trusts (WHFITs). These asset class services are also available as part of Wall Street Concepts' Compliance Plus® web-based tax reporting solution. Compliance Plus® provides a single view of process status and data availability across its services, and offers a robust correction management system, coordination with cost basis systems, and data feeds for third-party tax preparation software packages.

FIS is a leading provider of technology solutions for merchants, banks and capital markets firms globally. Our more than 55,000 people are dedicated to advancing the way the world pays, banks and invests by applying our scale, deep expertise and data-driven insights. We help our clients use technology in innovative ways to solve businesscritical challenges and deliver superior experiences for their customers. Headquartered in Jacksonville, Florida, FIS is a Fortune 500® company and is a member of Standard & Poor's 500® Index.

www.fisglobal.com



IBM is one of the world's largest consulting and technology companies with over 100 years of leadership in helping institutions innovate by holistically bridging business and IT strategies. IBM brings deep expertise in all facets of the financial services industry and an understanding of the operating models and business processes that must be redesigned and fused with new technologies to help businesses create new revenue sources and customer experiences while improving operational efficiencies.

www.ibm.com/industries/banking-financial-markets



Smarsh is the recognized global leader in electronic communications archiving solutions for regulated organizations. The Smarsh Connected Suite provides innovative capture, archiving, e-discovery, and supervision solutions across the industry's widest breadth of communication channels.

Smarsh provides its global client base with compliance built on confidence. Customers span the top banks in North America and Europe, along with leading brokerage firms, insurers, and registered investment advisors. Smarsh also enables federal and state government agencies to meet their public records and e-discovery requirements.

www.smarsh.com



GOLD



Wolters Kluwer provides securities, banking, and insurance professionals in the financial services industry with solutions to ensure compliance with ever-changing regulatory and legal obligations, manage risk, increase efficiency, and produce better business outcomes. Wolters Kluwer offers a portfolio of technology-enabled expert services and solutions focused on legal entity compliance, legal operations management, financial services product compliance, and financial services regulatory compliance.

<https://www.wolterskluwer.com/en/compliance>



SILVER

Deloitte.

Across the complex banking and securities industry, financial institutions face increased regulation, new and evolving disruptors, and a challenging growth environment. To help institutions prepare for and face these obstacles head on, Deloitte's Banking & Securities practice taps into our global network of 40,000 industry professionals - bringing together diverse and experienced teams when and where you need us. Deloitte serves 95 percent of the top 20 US securities firms and audits one-third of those firms. Our professionals deliver innovative, forward-looking strategies to help you navigate through today's complex landscape and better position your firm for the future. To learn more about our practice and our industry insights, visit www.deloitte.com/banking.

www.deloitte.com/banking



Hearsay Systems is reinventing the advisor-client experience in wealth management, property and casualty and life insurance. The Hearsay Client Engagement Platform allows advisors and agents to authentically and intelligently grow business relationships by proactively guiding and capturing the last mile of digital communications. Only Hearsay delivers the human client experience at scale.

Over 150,000 advisors and agents at the world's largest financial services firms leverage Hearsay to scale their reach, optimize sales engagements, and deliver exceptional client service that builds stronger relationships and grows their business.

Built for the enterprise, Hearsay guides your field to deliver a consistent and compliant experience to each and every client to ensure all advisors and agents perform like your best.

Hearsay is headquartered in Silicon Valley with locations throughout North America, Europe and Asia.

www.hearsaysystems.com



Theta Lake has been named a Gartner 2019 Cool Vendor, UC Today's 2019 Best Compliance Product finalist, RegTech 100 by RegTech Analyst, and more. Theta Lake provides cloud-based compliance, retention, and supervision for video, audio, chat, and other modern digital communications. Its patent-pending technology uses AI, NLP, deep learning, and seamlessly integrates with the leading audio recording, video marketing, and video conferencing platforms to detect compliance risks in what was said, shown, or shared in modern digital communications. Using AI to also power insights and automation, Theta Lake provides directed workflow to add consistency, efficiency, and scale to the compliance review and supervision process, driving down the cost of compliance.

<https://thetalake.com>