



Explore the
RegTech revolution!

Reg**Tech**
expo

Hitachi Regulatory Data Management



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Inspire the Next

With Hitachi Regulatory Data Management, global financial organizations leverage data to build real-time risk solutions, increase customer visibility, streamline regulatory reporting efforts and gather data-driven insights.

While regulators seek to reduce overall market risk, global financial organizations are challenged with managing increasing regulatory compliance demands. Regulatory reporting through complex legacy systems is daunting and costly for financial institutions seeking to manage their balance sheet.

Hitachi Regulatory Data Management addresses key business challenges associated with increased regulation while providing a flexible platform for the future. It helps global financial organizations to improve operational efficiencies, optimize performance, assess the impact of regulations on asset management and gain competitive advantage through advanced analytics.

Key Benefits

- Help position organizations to comply with constantly changing regulatory requirements.
- Achieve cost-saving operational efficiencies through better use of quality data.
- Leverage advanced analytics to make fact-based decisions and gain competitive advantage.

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RegTech expo

Welcome to the RegTech Expo UK 2018



David Reeks

Director | **10Four Media**
www.10fourmedia.co.uk

The RegTech sector is on the cusp of a revolution with the financial industry at the forefront of this emerging market, investing heavily in the next generation of development. Today you'll have the chance to discover the latest technological developments across a range of topics, including Anti Money Laundering, Know Your Customer, Regulatory Reporting, Artificial Intelligence, Compliance and Data Governance. In the main exhibition hall, you'll find leading exhibitors from across Europe showcasing the latest innovations and services. During the day, industry experts will be presenting a variety of topics in the adjacent hall.

We hope you find the day inspiring and thought provoking.

Platinum sponsors: _____

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 **Luminance**

RegTech Expo UK 2018

SPEAKER AGENDA

IRTA International RegTech Association



09:30 – 9:45

Speaker: Ben Richmond, CEO International RegTech Association

Subject: Opening

Ben Richmond has been involved in the non-profit IRTA since its launch, in 2017. Initially Chapter President for the UK and Ireland, Ben was appointed Chief Executive in January 2018. In this role he is responsible for the continued growth and operational execution of the IRTA's mission and purpose across the globe.

A recognised expert and thought leader in regulatory compliance automation, and a popular speaker at FinTech and RegTech industry events, Ben has been involved in setting global standards and leading new market trends during his twenty years in the industry. He has founded and grown several businesses including The Content Group (founded 1998), and most recently CUBE, a global provider of regulatory intelligence and change automation solutions, where he is currently CEO.



10:00 – 10:25

CUBE

Speaker: Elliot Burgess, Head of Product Management

Subject: AI-driven RegTech: Empowering global financial institutions to tackle regulatory change

Elliot is a recognized leader in the RegTech arena, and since 2013 has participated in numerous TechSprints, Regulatory Sandbox initiatives and industry working groups. In his current role as Head of Product Management at CUBE, Elliot is responsible for the design and implementation of the company's digital regulations strategy and roadmap, working closely with global financial institutions to create the definitive Regulatory Change platform for financial services. A regular speaker on matters related to semantic technologies, compliance automation and artificial intelligence, Elliot holds a Masters degree in Global Media Communications from the University of Melbourne, Australia.

Cynopsis



10:30-10:55

Speaker: Avere Hill, Co-founder & Managing Director of Cynopsis

Subject: Streamlining KYC – What Solutions Can RegTech Offer?

Avere Hill is the Co-founder & Managing Director of Cynopsis and is responsible for the strategic expansion of the business into EMEA. Cynopsis is an award winning regulatory technology (RegTech) company founded in Asia focused on financial crime, providing innovative solutions in KYC, AML and CFT. It is a RegTech 100 company amongst the world's most innovative RegTech companies that every financial institution should know about and was recently recognised as an industry leader in the RegTech sector by Medici in conjunction with Ernst and Young (EY).

He is a qualified accountant and accomplished senior financial services professional with over 25 years of international experience. He started his career with JP Morgan in London and gained most of his international experience with BNY Mellon and Manulife Asset Management in Asia. His last role at Manulife was Senior Managing Director with responsibility for all client facing activity in the region including sales, relationship management, client service, marketing and product development an important part of which was regulatory compliant client on-boarding.

Hitachi Consulting

Subject: Data: the final frontier – from compliance to competence to competitive



Speaker: Suranjan Som, Vice President, Financial Services, Hitachi Consulting

Suranjan has consulted some of the largest investment banks in world in the risk and regulation space. He has hands-on experience with architecting the solutions presented in this paper. Having worked in this space for over 20 years, Suranjan has a broad understanding of the financial services industry, and he leads the Financial Services vertical at Hitachi Consulting.

Speaker: Dennis Slattery EDM Works



Dennis is a specialist consultant providing executive advisory on data strategy, data governance, data architecture and data modelling. He is the Chief Executive of EDMworks, a data management, industry leadership and training organization. Dennis has worked in data management since 1990, holding senior positions at project, program and enterprise level within global financial organizations.

Speaker: Nirvana Farhadi, Hitachi



11:00 – 11:25

A thought leader, Keynote Speaker, author and pioneer in the Financial Services RegTech sector, and helps to solve for industry regulatory problems or challenges with the use of Technology. She is a global compliance, operations and risk expert across multiple FS sector Regulations and jurisdictions. As the former Head of Regulatory Reporting at KPMG, she has lead the business, practice, and development for Regulatory Transaction Reporting. She has served as a lead regulatory expert across Trade, Transaction, Periodic, and Positional reporting requirement under various global regulations including, but not limited to: MiFID, MiFID2/MiFIR, EMIR, REMIT, DFA, SEC, CFTC, Hong Kong TR, Canadian TR, ASIC TR, Commodities Position Reporting, and Threshold reporting requirements. Published various industry articles, co-authored the upcoming RegTech book, presents at numerous industry and client round tables & spoken at high profile conferences in relation to her specialist area of expertise. Nirvana is also a Founding Member, of the Committee to Establish the RegTech Council, as well as San Diego, and San Jose Chapter Head for Disruption Disciples.

Luminance

Speaker: CEO, Emily Foges



11:30-11:55

Subject: Adopting AI: how firms and in-house teams can stay ahead

Emily Foges has been scaling up technology-led businesses for over 20 years, working in M&A as a consultant and in-house with some of the UK's fastest growing businesses. She specialised in building business cases and then leading integration, when companies come together to become greater than the sum of their parts. The complexity of combining customers, products, platforms, teams and operations was the ideal training ground for turning a technology start-up into a global organisation. Emily became CEO in 2016 when Luminance was a small team of technologists and lawyers. She took the product to market and led the growth of the business, which doubled in size every quarter throughout 2017 and continues to grow as rapidly in 2018.

Cappitech

Speaker: Ido Pickel, Key Client Executive at Cappitech



12:00 – 12:25

Subject: The Future of Regulatory Reporting – Key takeaways and insights from Cappitech's MiFID II and Best Execution Industry Survey

Ido Pickel is a Key Client Executive at Cappitech regulation and has vast experience in the global fintech arena. Prior to Cappitech, he headed sales and business development at BondIT, a fintech company in the fixed income space. Ido gained financial markets experience as the head of the fixed income brokerage desk at Leader Capital Markets. He holds a B.A. from the IDC in Hertzeliya and an MBA specializing in finance from the Hebrew University in Jerusalem. He is also an investment consultant licensed by the Israeli Securities Authority.

Allatus



13:00 – 13:25

Speaker: Stewart Pitt, Co-Founder

Subject: Why Banks need to get better at Cooking the books

Stewart is one of 3 Co-Founders of Allatus. He has over 25 years' experience in Financial Services working in Management Information, Data Quality, Data Warehouse development and Management/ Regulatory Reporting projects.. In his spare time Stewart is a keen whitewater canoe slalom competitor. He represented Team GB in the 1996 Atlanta Olympics and now coaches young up and coming competitors.

Hitachi



Speakers:

- David Pinski, Chief Strategist for Financial Innovation at Hitachi's Global Center for Social Innovation
- Suranjan Som, Vice President, Financial Services, Hitachi Consulting
- Nirvana Farhadi, Global Head, Financial Services RegTech, Risk & Regulatory Compliance Affairs, Hitachi



Subject: Innovate and regulate – achieving the virtuous cycle

David heads up research and development of new products and services with a particular focus on blockchain and data analytics technologies. His background is banking and fraud systems in a variety of roles from Product Management to Head of Architecture. He has worked for major banks such as Capital One, ING Direct, Bank of America and startups such as Zumigo and Silver Tail Systems. He has over a dozen patents filed (five issued) in the area of fraud mitigation, payment networks and banking systems. Hitachi is supporting one of the largest contributing teams to the Hyperledger Fabric project. David has been a speaker at many financial industry and technology conferences on topics from blockchain to the future of banking systems.



13:30-13:55

Equiniti KYC



14:00-14:25

Speaker: Charles Earle, Business Development Director

Subject: KYC as a Utility, the challenges we all share

Charles Earle is the Business Development director at Equiniti KYC. Through years of experience with IT companies such as IBM and SAS he has worked closely with numerous financial entities all over the world. He is heavily focused on digitising and simplifying processes in Risk and Fraud and has always been working closely with disruptors and traditional organisations to improve client experience and reduce risk. According to Charles there is always room for change: "Through analytics, open standards and innovative ways of working together there is always an opportunity to improve". He will be speaking about the concept of KYC as a Utility and the opportunities and threats that this will bring about.

Kompli-Global



14:30-14:55

Speaker: Jane Jee, Chief Executive Officer

Subject: How technology can make on-boarding faster and meet the regulations

After qualifying as a barrister, Jane worked in commercial and legal roles in compliance, credit and payments. She was Managing Director at Access credit cards (12 million in circulation from 9 banks) and a Director at Worldpay Plc . In 2014 Jane obtained a Post Graduate Diploma in Governance, Risk and Compliance from the International Compliance Association (ICA). She is a Fellow of the ICA and teaches a Masterclass on "The Future of Payments" on the ICA post-graduate course.

Jane passionately believes that good compliance makes good business sense. A thorough knowledge of your customer enables you to retain their business and potentially better target your offerings.



15:00-15:25

TeleMessage

Speaker: Guy Levit, Chief Executive Officer

Subject: Managing the Complexities of Mobile Communication Archiving

Guy Levit co-founded TeleMessage in 1999 and was appointed CEO in July 2002. He has overseen the company's Regtech solution set growth and evolution, guiding its R&D and product strategies with full cognizance of regulatory and technological developments. His efforts have positioned TeleMessage as the leading vendor of mobile communication archiving for the global financial sector, with diverse partnerships and a client base spanning the entire range of size and functionality. Guy holds a B.Sc. in Industrial Engineering from the Technion, Israel's Institute of Technology and an MBA from the Tel Aviv University.



15:30-15:55

CodeREG

Speaker: Stacy-Ann Sinclair, Co-Founder and CTO

Subject: Codifying Legislation into Machine Executable Rules

Stacy-Ann Sinclair is the Co-Founder and CTO of CodeREG, a regtech startup codifying financial regulation into machine executable rules.

Stacy-Ann is a Computer Scientist who has spent the last 10 years building trading systems and globally scalable data platforms for UBS, Barclays Investment Bank and Bank of America Merrill Lynch. She is interested in building complex systems and intelligently extracting meaning & insights from data.



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Luminance is the leading artificial intelligence platform for the legal profession and is trusted for contract review by firms on six continents. Luminance uses the latest advances machine learning to revolutionise the way firms conduct M&A due diligence, regulatory compliance review, litigation discovery and more.



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Language-agnostic technology



Machine learning adapts to your firm



Seamless, secure deployment

CUSTOMER CASE STUDY: BREXIT COMPLIANCE REVIEW

“Luminance is exactly what we had been looking for in a technical solution – we wanted something straightforward that was going to add value to our work straight away.”

Ryan Swann, General Counsel, Think Money Group

luminance.com

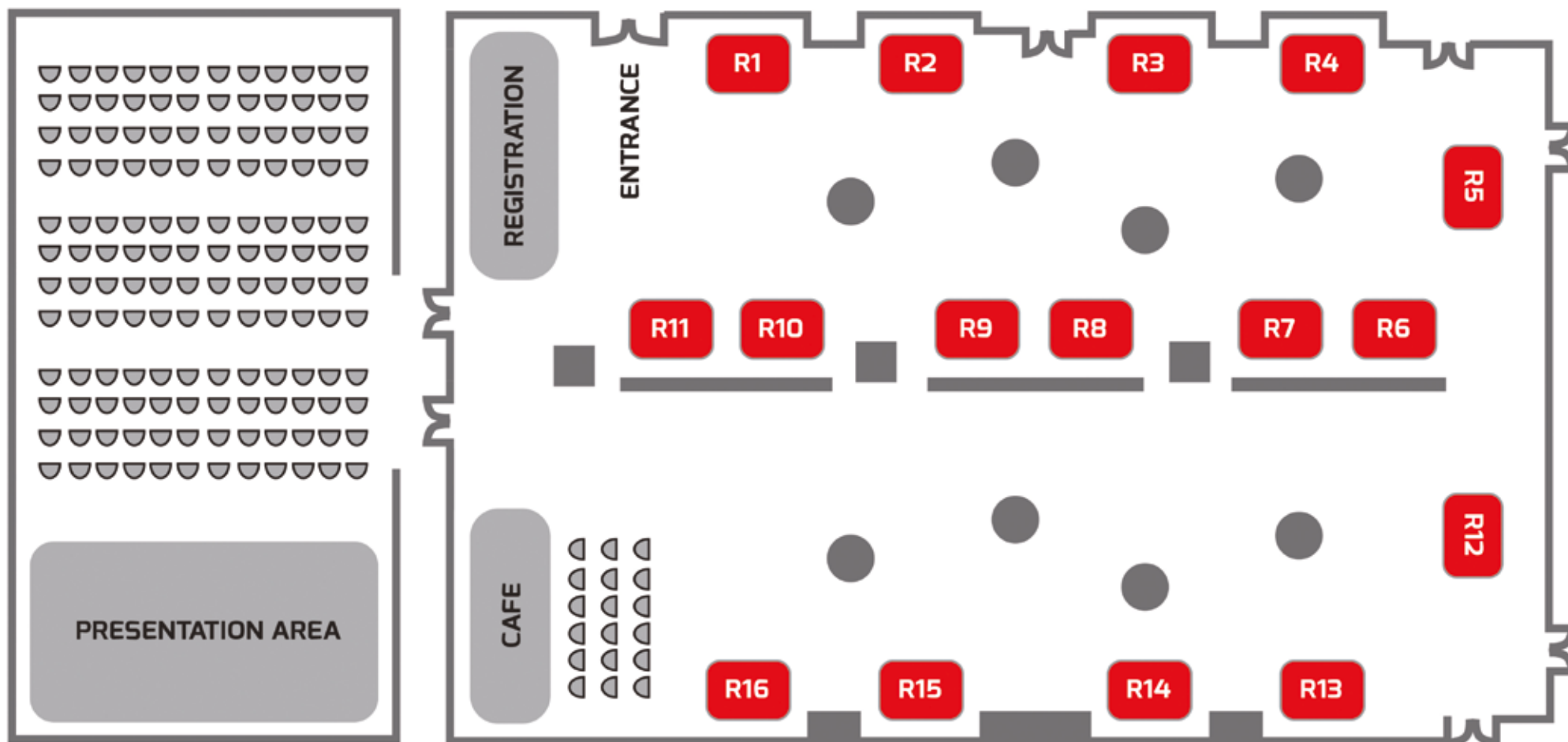
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FLOOR PLAN

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|------------------|-------------------------|
| R1 KOMPLI-GLOBAL | R9 LUMINANCE |
| R2 CAPPITECH | R10 HITACHI |
| R3 EQUINITI-KYC | R11 HITACHI |
| R4 ALLATUS | R12 ARCTIC INTELLIGENCE |
| R5 CODEREG | R13 APIAX |
| R6 CYNOPSIS | R14 B4FINANCE |
| R7 CUBE GLOBAL | R15 ALYNE |
| R8 LUMINANCE | R16 TELEMESAGE |



www.kompli-global.com

VISIT US ON STAND R1

Kompli-Global offers a state of the art real-time compliance platform - Kompli-IQ™ - which enables you to quickly and easily on-board clients whilst ensuring that you search thoroughly for adverse information as required by the law. Kompli-IQ™ has been specifically designed to ensure you have an audit trail of searches and you can choose how often to monitor results after on-boarding. Kompli-Global also offers global, multi lingual CDD reports in as much detail as you require up to full EDD level.



www.cappitech.com

VISIT US ON STAND R2

Cappitech is a leading provider of regulation technology for the financial services industry. Through Cappivate™, Cappitech's regulatory service platform, customers can easily automate submission and analyse their daily trades to comply with international financial transaction reporting obligations. This cross-regulation platform uses state-of-the-art technology to provide a unified experience for all regulatory reporting along with an industry leading analytics dashboard to process and audit review compliance reports. Trusted by leading financial institutions, Cappitech provides superior service and personalised guidance using its vast operational regulatory expertise. Led by a team of experienced FinTech professionals with a proven track record, Cappitech has been named a RegTech 100 company – one of the world's most innovative RegTech companies – by FinTech Global, a data and research firm. For more information, please visit www.cappitech.com.



www.equiniti-kyc.com

VISIT US ON STAND R3

Equiniti KYC Solutions provides services and systems that enable our customers to completely, quickly and cost-effectively meet their compliance and regulatory obligations while smoothing and speeding-up their customer acquisition and retention processes.



www.allatus.co.uk

VISIT US ON STAND R4

ALLATUS was established during 2011 by the 3 co-founders, each with 25 years plus experience working in Financial Services. The co-founders have observed first hand the problems faced by large organisations in developing regulatory reporting and management information solutions. The Allatus team are practitioners, we understand the problem and aim for Allatus Unity® to become the tool of choice for Reporting Requirements Analysis.



www.codereg.io

VISIT US ON STAND R5

CodeREG is a regtech startup, transforming financial compliance by codifying legislation into machine readable and executable rules for financial firms.

Financial institutions face a mountain of regulation. Manual processes cannot handle the complex, interwoven and constantly shifting rules. The cost of compliance is high, exposing financial firms to increased regulatory and reputational risk. The cost of changing systems in response to changing rules is even higher.

CodeREG's rules are applied to high volume streams of financial data, giving their users real-time insights and risk identification according to the law. Their mission is to make regulatory change as simple as a software update.



www.cynopsis-solutions.com

VISIT US ON STAND R6

Cynopsis Solutions was established in Singapore in 2014 and offers regulatory technology (reg tech) solutions designed to automate KYC processes. It has operations in Singapore, UK, Taiwan and Vietnam. Cynopsis Solutions has been recognized as one of the REGTECH100 – an annual list of 100 of the world's most innovative RegTech companies as determined by RegTech Analyst, a RegTech intelligence platform.



www.cube.global

VISIT US ON STAND R7

CUBE is an enterprise-wide regulatory intelligence and change platform that automates the entire end-to-end compliance lifecycle. Our flexible platform scales with your business, when you enter new jurisdictions, or add new products and solutions. Whether records and data are your primary concern, or you want to be certain of your regulatory compliance across all policies, controls and procedures as well, CUBE has a solution for you.



www.luminance.com

VISIT US ON STAND R8+R9

Machine learning algorithms give computers the ability to learn and teach themselves from the data they are given, without being explicitly programmed. Luminance's unique combination of supervised and unsupervised learning allows the system to constantly improve and adjust its algorithms based on every data room it encounters. This means that, whilst Luminance comes with a 'starter pack' of commonly-used clause and document types that it will automatically identify, it also learns and improves as you use it

Luminance is the only legal technology today to employ unsupervised machine learning. This approach means it does not need any input from a human to identify key similarities and differences across large numbers of contracts.



www.hitachiconsulting.com

VISIT US ON STAND R10+R11

Hitachi Consulting is the digital solutions and professional services organisation within Hitachi Ltd., a global technology and social innovation leader. Hitachi Consulting is a catalyst for positive business change, propelling organisations to drive disruptive innovation and to accelerate digital transformation. We help organisations leverage data as a strategic asset to innovate faster, develop new revenue streams, and respond to global dynamics with insight and agility. We collaborate with clients to create solutions that help maximise operational efficiency and deliver measurable, sustainable business results. Visit us at www.hitachiconsulting.com



www.arctic-intelligence.com

VISIT US ON STAND R12

Arctic Intelligence was founded in 2013 to tackle an escalating problem with financial crime losses.

Our founders spent nearly 20 years working with some of the world's largest consulting firms, investment and retail banks and understand the challenges that these organisations face in managing these risks.

Organisations struggle with directing their resources to the correct issues for maximum affect and sometimes do not have access to world class expertise or it is prohibitively expensive. Some of these companies are subject to financial crime legislation and can incur large fines for non compliance.



www.apiax.com

VISIT US ON STAND R13

Apiax builds the most powerful tools to master complex financial regulations digitally. Apiax gives financial institutions access to machine-readable regulatory rules on the most pressing regulatory topics and allows them to customize, manage and deploy these rules effortlessly. Apiax' cutting-edge technology provides full transparency and control over rules in action and empowers financial institutions to serve their clients more efficiently than ever before.



www.b4finance.com

VISIT US ON STAND R14

B4Finance is a FINTECH dedicated to the Wealth Management Industry. We provide a digital solution to handle all the investors' documents and information. Our solution enables our clients to fulfil all the legal obligations when it comes to the knowledge of their investors and the origins of their funds. In addition, we allow wealth managers to significantly increase their clients' experience. To do so, we use a cutting-edge technology based on Blockchain and Artificial Intelligence, and our deep knowledge of our client process.

If you want to know more about us, feel free to contact Gabriela Paciu, CEO, at gabriela.paciu@b4finance.com/ Cell (+34) 684 276 930.



www.alyne.com

VISIT US ON STAND R15

ALYNE – is an industry leading and award-winning, Regulation Technology Software company – that makes it easy for organisations to reduce the cost – of managing risk and compliance obligations and is built by industry experts.



ALYNE is a next generation, cloud based solution that makes risk and compliance management as easy as browsing social media.

ALYNE – with its unique pre-built library of controls, integrated risks and assessment templates – mapped to regulations and standards, is ready to use out of the box – with dynamic reporting, risk & incident management and real-time risk insights.

www.telemessage.com

VISIT US ON STAND R16

The “Mobile Archiver” enables financial enterprises to capture and archive the SMS/MMS/Calls/WhatsApp of employees in line with MiFID II regulations.

In addition, TeleMessage integrates with leading email archiving vendors, so you can store the calls/messages in the same archive where you store your emails.

We provide several archiving methods for BYOD and Corporate phones including:

- A. Enterprise Number Archiver - via a virtual number assigned to App users thus solving GDPR, BYOD and “2 phones” issues.
- B. Android Archiver – copies and records in the background.
- C. Network Archiver - directly from leading mobile carriers.
- D. WhatsApp Archiver – standard WhatsApp chats with customers/employees.



Meet the challenges of complex international regulations

Matterhorn Reporting Services is a RegTech company guiding financial organizations to meet the challenges of an increasingly complex international regulatory environment by offering streamlined Regulatory Reporting Solutions and Services. Matterhorn Solutions have a light footprint and are highly secure. Our team of regulatory specialists serves our clients and ensure our applications are always kept up-to-date.

Matterhorn offers Solutions and Services for AIFMD, MiFID II, PRIIPS KID, UCITS KIID and other regulatory reports and our clients range from Asset Managers, Banks, Brokers, Custodians, Fund Administrators to Fund Managers and operate all across the globe.



For more information please contact us: +31 85 4018256 or info@matterhorn-rs.com



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See you **next year!**