

## Awards for Excellence 2022 Submission Form

### 1. Welcome

Welcome to the Regulation Asia Awards for Excellence 2022 and thank you for taking the time to make your awards submission.

Each year, this programme recognises the continuing excellence of financial institutions, market infrastructures, technology firms, and service providers across the region who ensure the highest compliance standards are upheld despite an ever-changing and increasingly complex regulatory landscape.

Awards submissions are accepted online only using this submission form. However, we do encourage entrants to supplement their submissions with additional supporting documents, which can be e-mailed to [awards@regulationasia.com](mailto:awards@regulationasia.com).

Please note that ALL information collected in the submission process is treated in strict confidence. We collect certain personal information so that the staff of Regulation Asia and the [awards judges](#) may contact you to request additional information relating to your submission. All data will be handled according to Regulation Asia's [privacy policy](#) and will be used only for the purposes of this awards programme.

For any questions on the submission process, please refer to [our FAQs](#).

#### **Agree to share information**

[ ] By ticking this box, I agree to share information with Regulation Asia and the awards judges

### 2. Contact information

#### **Primary contact**

- Full Name
- Job Title
- Company Name
- City/Country
- Phone Number
- Business Email

#### **Secondary contact (if applicable)**

- Full Name
- Job Title
- Company Name
- City/Country
- Phone Number
- Business Email

### **3. Category selection**

Please select the Awards category for which you would like to make a submission. If you are applying for more than one category, please enter a separate submission.

There are four broad Awards categories – A (Best Solutions, with three sub-categories); B (Project Implementations); C (RegTech Awards); and D (Industry Awards).

For descriptions of each category, please refer [here](#) (link opens in a new window).

#### **Category A1 - Best Solution: Institutional Resilience & Integrity**

- Capital/Liquidity Modelling & Stress Testing
- Credit Risk Modelling
- Regulatory Reporting
- Regulatory Change Management
- Conduct Risk Management

#### **Category A2: Best Solution: Fraud & Financial Crime**

- KYC & Onboarding
- KYB & Entity Resolution
- Due Diligence & Third Party Risk
- Client Lifecycle Management
- AML/CFT Data & Analytics
- Trade Compliance
- PEPs, Sanctions & Name Screening
- Anti-fraud
- Cybersecurity & Incident Management
- Tax Reporting

#### **Category A3: Best Solution: Markets and Infrastructure**

- Market & Trade Surveillance
- Initial Margin Compliance
- Reference Data Provider
- Shareholding Disclosure
- Trade Reporting
- Corporate Actions

#### **Category A4: Best Solution: Virtual Assets**

- Blockchain Analytics
- KYT / Transaction Monitoring
- Market & Trade Surveillance
- Travel Rule Compliance
- Custody & Asset-servicing
- Investigations & Recovery
- VASP of the Year

**Category A5: Best Solution: ESG & Sustainability**

- ESG Data
- ESG Scores and Ratings
- Climate Risk Modelling & Assessment
- Disclosure & Regulatory Reporting
- ESG Consultant of the Year
- ESG Initiative of the Year

**Category B: Outstanding Projects**

- PPP Initiative of the Year
- Regulator Project of the Year
- Industry Collaboration of the Year
- RegTech Initiative of the Year
- Individual Project Implementation

**Category C: RegTech Awards**

- AI & Machine Learning
- Data, Risk & Reporting

**Category D: Industry Awards**

- Market Infrastructure of the Year
- Exchange of the Year
- Data Provider of the Year
- Law Firm of the Year
- Consulting Firm of the Year
- Compliance Training Provider of the Year
- Compliance Service Provider of the Year
- Industry Association of the Year
- Outstanding Contribution to Regulatory Reforms
- Outstanding Compliance Teams (within FIs)

## 4. Industry vertical and client segment

### **Industry vertical (multi-select)**

- Banking (Retail & Commercial)
- Capital Markets / Investment Banking
- Asset Management
- Wealth Management / Private Banking
- Payments / Fintech
- Market infrastructure
- Virtual Asset Service Provider
- Other relevant industry vertical

### **Size of clients (multi-select)**

- Small Institutions
- Midsize Institutions
- Large Institutions
- Global Institutions

### **Geography of clients (multi-select)**

- Australia
- Bangladesh
- Cambodia
- China
- Hong Kong
- India
- Indonesia
- Japan
- Korea
- Laos
- Malaysia
- Myanmar
- New Zealand
- Philippines
- Singapore
- Sri Lanka
- Taiwan
- Thailand
- Vietnam
- Europe
- North America

## 5. Description of the Solution

**What is the name of your product, service, solution or project (the “Solution”)?**

**What is the Solution's website address?**

**Describe the regulatory requirements or market needs the Solution aims to address, or specific industry problems or challenges it tries solve.**

**Describe the Solution's core features and functionality.**

**Describe the newer features and functionality that have been added to the Solution in the past 12-18 months?**

**Describe the typical users of the Solution, how it helps them perform their job function, how it makes this function easier, and other outcomes for customers?**

**Describe the Solution's configurability, flexibility, usability, and how well it integrates with other products and services in the market.**

**Describe the Solution's pricing model, its implementation and running costs, and why you believe this is best model for customers?**

**Describe how the Solution differentiates itself from competing solutions in the market, and what makes it 'innovative' in the way that it addresses a regulatory or market need.**

**What are the main reasons customers have cited for adopting the Solution, particularly when they are replacing an existing solution?**

**Who or what are the Solution's main competitors in the market?**

**Describe adoption of the Solution over the past 12-24 months, with a focus on APAC (e.g. number and size of clients, transactions, jurisdictions, etc.). What are your plans to increase adoption in your existing markets? Which markets you are looking to enter, and why?**

**Describe your plans to further develop and improve the Solution, including key milestones and timelines. What other ways do you plan to use to enhance your offering?**

## 6. Description of recognition

**Has the Solution received any industry recognition or awards? (please list or add links)**

**Please share any key client wins and/or client testimonials if you would like this to be considered by the judges, and whether there are any clients Regulation Asia may interview in support of your submission.**

**Are there any case studies or published research/whitepapers involving the Solution that can be included in the submission? Documents can be emailed to [awards@regulationasia.com](mailto:awards@regulationasia.com).**

## 7. Nominations

**Do you want to nominate a company, solution or project for recognition in any other category? (select category)**

What company, solution or project would you like to nominate?

- Company being nominated
- Name of contact (if known)
- E-mail of contact (if known)

**Do you want to make a nomination for another category? (select category)**

What company, solution or project would you like to nominate? 0

- Company being nominated
- Name of contact (if known)
- E-mail of contact (if known)

**-- END --**