CATEGORY NAME:	Compliance
ORGANISATION:	BNY Mellon's Albridge
INDIVIDUAL'S NAME:	Only use this box if you are entering a category for an individual. Please place the individuals name here and remove these instructions.
WORD COUNT:	579

QUESTIONS FOR ALL CATEGORIES

The judges specifically request that you do not exceed the word count they have specified. If you wish to use more words than allowed you will need to use fewer words in answering one of the other questions. The maximum word count being 750 words in total.

FOR THE THOUGHT LEADERSHIP CATEGORIES
Please include the piece of thought leadership as part of your submission. Once you have completed this form, save the document as a PDF and then incorporate the thought leadership piece at the back of the form so we receive one document per category not two.

QUESTION 1. In no more than 250 words, please explain what you do as a business.
BNY Mellon's Albridge is a leading provider of enterprise data management solutions that deliver a single view of an investor's broad range of assets. Our proprietary technology consolidates and reconciles client account and transaction data from hundreds of data sources representing banking, brokerage, insurance, retirement, managed accounts and more. Albridge provides the foundation for financial organizations to leverage a single source of information to power a number of mission-critical technology applications. Albridge Solutions, Inc. is an affiliate of Pershing LLC, a BNY Mellon company. Pershing's leadership in the broker-dealer and advisor markets combined with our heritage in data management and consolidated performance reporting enables us to deliver data-driven technology solutions to support all facets of a financial services firm.
QUESTION 2 In no more than 250 words, please explain why your organisation (or individual) should win the award entered.
Albridge is changing the way firms respond to regulatory audits. In the past, it would have involved making a visit to the advisors' branch or office to request multiple data points, analyze them on location to identify potential concerns and then look for remediation of the issues. With Sales Practice Monitoring, Albridge provides an easier way. Through the tool, firms can request files that are at their fingertips, conduct data analytics to look for and identify areas that may be potential concerns and then post inquiries to provide deeper level information for targeted accounts. Albridge's Sales Practice Monitoring solution draws from multi-custodial data across diverse systems for easer exception recognition, follow-up, resolution, documentation and reporting. Albridge's solution allows firms to monitor transactions and accounts at either the branch or the advisor level, and document compliance comments or actions.

Firms can support increased sales activity levels without increasing compliance staff. This is through automated identification of regulatory hot spots and red-flag sales practice patterns, and the ability to identify transactions that may pose suitability problems or require attention. It can also guide compliance supervisors and staff in implementing consistent surveillance methods.

Sales Practice Monitoring provides assistance in the review of supervisory and principal signoff of daily transaction blotters, suitability review of transactions, review of mutual funds, annuities, UITs and fixed income product concerns, managed/fee-based account review and FINRA Rule 2111 compliance review.

Albridge's Sales Practice Monitoring tool creates value and efficiency for firms. Firms can now provide better compliance, have better home office supervision and be more efficient of branch offices in the field.

QUESTION 3

In no more than 250 words please provide key metrics of your organisation (AuM, staffing, revenues, type of coverage, product/service offerings and any other metrics appropriate to the category you have entered).

Albridge has approximately 500 employees and is based in Pennington, N.J., with additional locations in Jersey City, N.J., and Chennai, India. It powers the performance and wealth reporting solutions used by more than 80,000 advisors at more than 140 financial organizations supporting more than 40 million client accounts that amount to more than $4 trillion on the platform. Albridge connects to more than 1 million active securities and 90 data interfaces to receive more than 6.5 terabytes of data per month. This equates to the processing of more than 9 billion records each month.

Albridge's solutions provide firms and advisors with a single source of consistent and reliable information, enabling them to make smart decisions and better manage their operations—through proven, tested and trusted solutions, scalable to any business. This allows advisors to better illustrate a client's full financial picture and guide better decision making, by offering an accurate single view of all client assets.

Albridge's core solutions consist of:

- Consolidated reporting—Wealth reporting, performance reporting and replicated data
- Compliance and Operations—Business process solutions, sales practice monitoring
- Data Management—Data aggregation, data quality benchmarking, data warehousing
- Distribution Analytics—Distribution management, Asset manager assessment, intelligent dashboard

QUESTION 4 Please tick the box to confirm you have a clean bill of regulatory health.	X