



# Entry form

New York  
December 7, 2009

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Hosted by **waters**

**DWT**  
DEALING WITH TECHNOLOGY

**Buy-Side  
Technology**



The 5th annual **American Financial Technology Awards** are being presented in New York on December 7, 2009. Hosted by *Waters* magazine, *Dealing with Technology* and *Buy-Side Technology*, the **AFTAs** recognize industry excellence in the deployment and management of financial IT within the wholesale investment banking community.

Award nominations are open to every buy-side and sell-side firm in North America and are viewed as the unrivalled badge of excellence for these markets. They showcase top class performance and innovation, they reward achievement and they raise standards.

They are the awards to win.

Winning an **American Financial Technology Award** sets you apart from your competitors and is a tangible demonstration to your customers that you have something special to offer them.

The **AFTA** logo has become widely recognized as a sign of genuine achievement so if you believe you have something to be proud of, then you should be entering the 2009 **American Financial Technology Awards**.

## Categories and entry criteria

### \* Best Global Deployment

This will focus on global technology deployments for wholesale trading environment. The judges will be looking for the successful deployment across at least two global regions that standardize the firm's trading platform and improves the interactions with the local markets.

### \* Best Risk Analytics Initiative

The winner of this award will be the buy- or sell-side financial institution that has derived the greatest benefit of its recently implemented risk analytic platform. Successful entries will demonstrate the use of new techniques for identifying and mitigating risks as well as develop new risk financing strategies.

### \* Best Cross-Asset Trading Initiative

Open to individual business units. Entries should focus on single project or target business initiatives that have been in production for at least six months. The judges will be looking for creative responses to delivering cross-asset trading capabilities to its institutional clients. Clear evidence of the application of technical expertise should also feature in the entries, which must also prove achievement against pre-determined targets.

### \* Best Data Management Initiative

The winner of this category will demonstrate an innovative data management strategy that improves data quality and reduces data costs across the enterprise through the consolidation of systems, data standardization and other efforts.

### \* Best Infrastructure Initiative

This will focus on global infrastructure deployments for wholesale investment banking environment for the buy and sell sides. The judges will be looking for innovative strategies to deliver basic infrastructure support across the enterprise that reduces support cost and improves the delivery time of necessary resources to the local clients.

### \* **NEW** Best Data Center Initiative

Managing data centers efficiently has become a more urgent job for today's harried CIO. Not only is data volumes increasing at a non-stop pace, the energy needed to keep the equipment cool and running constantly is enormous. The winner of this award showed no fear in tackling the challenges of managing and growing their data center.

### \* **NEW** Most Cutting Edge IT Initiative

Every year, investment firms complete ambitious projects but every now and again, a firm headed by an IT visionary will undertake an IT project that leaves the competition in the dust. Whether it is leap-frogging over the rest of the pack or deploying new technology with confidence and precision, the winner of this award is willing to take chances. Send in your nominations for this new category for the end-user firm that went above and beyond in a recent IT project

### \* Lifetime Achievement Award

This special award will be presented to an individual who has made an outstanding contribution to the success of the industry.

### \* Best CIO

Open to any CIO of any buy- or sell-side financial institution operating in North America. This award will go to the CIO who can show demonstrable evidence of reducing the firm's operational risk and the amount of corporate resources needed for day-to-day operation as well as introducing new technology to support new and innovative financial products for the wholesale commercial banking community. All nomination must be made or supported by the person's supervisor.

### \* Best IT Team

This award will focus on the IT team from a buy- or sell-side wholesale banking or investment firm operating in the North American market. Judges will be looking for evidence on the team's innovative problem-solving capability, on-time delivery and scale of responsibility.

### \* Best Green IT Initiative

It is interesting that in an era when cost trumps all other considerations, Green IT Initiatives are now viewed as mission critical. Having finally seen the numbers, executives now realize the economic value of "going green." The winner of this category will be a project that not only delivered green results for their firms in terms of resource usage or allocation but also cut costs in a way that funds could be reallocated elsewhere.

### \* Best IT Integration (Merger) Initiative

As the shakeout from the events of last year continue to settle over the industry and marketers complete their branding campaigns, the back office is left to cope with massive integration projects-often on a budget that is paltry at best for what needs to be accomplished. The teams that head these projects must have a grand vision and an eye for detail all at the same time. The winner of this category will be one that effectively, efficiently and successfully merged the IT infrastructure of two or more firms.

### \* Best Silo Buster - Team or individual

Silos continue to prevent firms from achieving maximum efficiency. The challenge with getting rid of them is both cultural and technological. The IT executive(s) who successfully tackle(s) this issue must not only be a great architect but also a great politician.

### \* Best Counterparty Risk Initiative

Unsatisfied with the status quo and unwilling to simply be there to placate investors and regulators, the winner on this category will be a Risk executive or team of Risk professionals who led an initiative from start to finish that transformed their firm's counterparty risk practices. The size and scope of these initiatives can vary but what is key is the end effectiveness. The winner in this category can be a project related to data management, new processes, new valuations, new in house systems or a new build with a vendor partner(s).

## Closing Date

5pm EST, Friday, October 23, 2009



# Entry form

Closing Date 5pm EST, Friday, October 23, 2009

I wish to enter the following category in the 2009 American Financial Technology Awards

Entry submitted on behalf of: \_\_\_\_\_  Please tick here if this is a joint entry

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Best Global Deployment              | <input type="checkbox"/> Best Infrastructure Initiative          | <input type="checkbox"/> Best CIO                   |
| <input type="checkbox"/> Best Risk Analytics Initiative      | <input type="checkbox"/> Most Cutting Edge IT Initiative         | <input type="checkbox"/> Best IT Team               |
| <input type="checkbox"/> Best Counterparty Risk Initiative   | <input type="checkbox"/> Best Green IT Initiative                | <input type="checkbox"/> Lifetime Achievement Award |
| <input type="checkbox"/> Best Cross-Asset Trading Initiative | <input type="checkbox"/> Best IT Integration (Merger) Initiative |   |
| <input type="checkbox"/> Best Data Management Initiative     | <input type="checkbox"/> Best Silo Buster - Team or individual   |   |

## Entrant

Full name	Title(Mr/Ms/etc)	Company address
Job title		
Company name		City
Email		State Zip
Tel		Signature
Fax		Date

## Nomination

You can also nominate a company, an initiative or an individual for an award. Once you have made a nomination, Incisive Media will contact them and invite them to enter.

## Your details

Please enter your own details in the fields below

Name of the company, initiative or individual you are nominating	Your name
	Your job title
Contact person at that company	Your address
Contact person's tel	City State Zip
Contact person's email	Your tel
Category nominated for	Your email

## Checklist

Please enclose the following items as part of your entry

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li><input type="checkbox"/> A completed and signed entry form, to be attached to the outside of ALL packages for ease of administration</li> <li><input type="checkbox"/> Please be specific about who is submitting the entry. Whatever you put at the top of the form will be used when the finalists are announced.</li> <li><input type="checkbox"/> Please send your statement of no more than 1000 words summarising the entry via email (Word document) to phil.albinus@incisivemedia.com</li> <li><input type="checkbox"/> Each entry should be packaged separately – ie if you submit more than one entry, then they must not be packed up together</li> </ul> | <ul style="list-style-type: none"> <li><input type="checkbox"/> Three copies of other supporting material, financial results, promotional brochures or samples of advertising. (Only one copy of any disks, videos, tapes etc required)</li> </ul> <p><b>NB</b> If you are entering more than one category a separate entry form for each is required. Entry forms may be photocopied or downloaded from <a href="http://www.aftas.org">www.aftas.org</a></p> <p><b>NB</b> All entries are non-returnable unless clearly requested otherwise. Arrangements for collection of any entries should be made by calling + 1212 457 9400 before December 7, 2009.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Please tick if you will be collecting this entry.</li> </ul> |
|---|--|

## Where to send

Post or email your completed entry direct to:

Phil Albinus  
Editor, Waters  
Incisive Media  
120 Broadway  
5th Floor  
New York NY 10271

E: [phil.albinus@incisivemedia.com](mailto:phil.albinus@incisivemedia.com)

Please note – due to the number of entries we cannot confirm receipt of individual entries.