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# WM Industry Awards

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## 2023 Program Nomination Categories/Subcategories *with Criteria*

\*Individual executive nomination category

\*\*New category for 2023

### ADVISOR SUPPORT PLATFORMS

- **Office of Supervisory Jurisdiction (OSJs)\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that provides independent broker-dealer representatives with a full-suite of business, technology, marketing, compliance and practice management resources designed to provide scale, convenience and cost-savings to run better businesses.
  - Initiatives can include areas such as new technology applications, practice management programs, marketing tools, advisor educational materials, industry events, wealth management products and services, community, connections, succession planning resources and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Registered Investment Advisors (RIAs)\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that provides independent RIAs with a full-suite of business, technology, marketing, compliance and practice management resources designed to provide scale, convenience and cost-savings to run better businesses.
  - Initiatives can include areas such as new technology applications, practice management programs, marketing tools, advisor educational materials, industry events, wealth management products and services, community, connections, succession planning resources and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with

qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Retirement Plan Administrators (RPAs)\*\***

- A new initiative, product, program, platform or enhancement to an existing platform/product that provides advisors focused on retirement services with a full-suite of business, technology, marketing, compliance and practice management resources designed to provide scale, convenience and cost-savings to run better businesses.
- Initiatives can include areas such as new technology applications, practice management programs, marketing tools, advisor educational materials, industry events, wealth management products and services, community, connections, succession planning resources and similar.
- Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## **ASSET MANAGERS**

- **Alternative Investments\*\***

- A new initiative, program, product, or industry content that facilitates advisors use of alternative investments, including access to private placements, venture capital, private equity, non-traditional debt, commercial real estate, interval funds, business development companies, and similar.
- Initiatives can include areas such as new programs, products, educational campaigns, integrations, technology tools, ongoing campaigns, service integrations, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Charitable Giving / Donor Advised Funds**

- A new initiative, product, program, platform or enhancement to an existing platform/product that facilitates clients' financial, tax and investment planning for charitable purposes.
- Initiatives can include areas such as new ways to integrate and implement Charitable Giving/Donor Advised Funds, new investment strategies, technology platforms, trading and reporting, as well as advisor education programs, and similar.
- Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Chief Executive Officer of The Year\***

- An individual CEO of an Asset Manager who has demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in leading all aspects of a wealth management technology provider that helps advisors succeed.
- Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, revenues, profitability, business growth, thought leadership content, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.

- **Chief Marketing Officer of The Year\***

- An individual chief marketing officer (CMO) of an Asset Manager who has demonstrated vision, creativity, integrity, leadership, communication skills, leadership prowess and high performance in enhancing the firm's brand, generating new business and expanding the firm's product and service set this past year.
- Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new product roll outs, marketing campaigns, business growth, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Technology Officer of The Year\***
  - An individual chief technology officer (CTO) of an Asset Manager who has demonstrated vision, integrity, leadership, technical prowess and high performance in leading their firm through new challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new products/platforms brought to market, thought leadership content development, industry activism, user surveys, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Client Experience Initiative**
  - A new initiative, service offering, program, platform or enhancement to an existing platform/product that enhances advisors and/or their clients' education and usage of investment management products and services.
  - Initiatives can include areas such as technology deployments, practice management programs, wholesaler professionalization programs, internal support desks, investment specialists, onboarding technology, new features, expanded functionality, components, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Corporate Social Responsibility**
  - A new initiative, program, platform, charity, environmentally responsible, or industry content that will enhance the industry's image, give back to the community, improve society as well as promote diversity and the next generation of advisors.
  - Initiatives can include areas such as diversity programs, charitable endeavors, women's initiatives, training programs, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc. along with qualitative measures such as innovation, creativity, new methodologies, etc.
- **Digital Marketing Campaign of the Year**
  - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign; that leverages integrated digital channels, including social media, to deliver the firm's message with compelling call to action.
  - Criteria include direct business results such as leads generated, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage digital channels to deliver a compelling marketing message.
- **Direct Indexing\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enhances advisors' ability to personalize portfolios through direct indexing for tax planning/harvesting, ESG constraints, concentrated position management, and similar.

- Initiatives can include areas such as new technology applications, separate account structures, rebalancing capabilities, industry research, advisor educational materials, and similar.
- Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Diversity, Equity and Inclusion**
  - A new program, initiative, platform or enhancement to an existing program/platform/initiative designed to promote diversity, equity, and inclusion in the wealth management industry, such as educational and training programs, company and industry events, peer support groups, executive and career networks, student and employee recruiting programs, professional development opportunities, etc.
  - Criteria include direct measurable results such scope, scale, adoption and usage, as well as subjective measures of creativity, imagination and new ways to encourage and promote diversity, equity and inclusion.
- **Environmental, Social and Governance (ESG) Investing\*\***
  - A new initiative, product, program, platform or industry content that facilitates the advisors' use of ESG investments, strategies, approaches and client management.
  - Initiatives including areas such as new programs, products, educational campaigns, integrations, technology tools, ongoing campaigns, service integrations, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **ETFs**
  - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of ETFs.
  - Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Fixed Income**
  - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of fixed income.
  - Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Goals-based Investing Platforms\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that directly integrates savings and investing goals (retirement, etc.) with asset allocation, portfolio construction and ongoing investment management approaches.

- Initiatives can include areas such as new technology applications, service models, reporting capabilities, advisor educational materials, industry research, and similar to help advisors develop plans and programs to facilitate clients' goals.
- Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **New Product Development**
  - A new product, service offering, platform or enhancement to an existing platform/product that enhances and expands advisors' access to investment management products/services for managing risk, volatility, access to asset classes, portfolio construction innovation, etc.
  - Initiatives can include areas such as new fund structures, pricing models, asset classes, portfolio management components, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Real Estate (including REITs)**
  - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of real estate investments.
  - Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Retirement Income\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enables advisors to optimally determine client income needs in retirement, develop decumulation plans, holistically include taxes, flexibly include annuity programs as appropriate, and similar.
  - Initiatives can include areas such as new technology applications, integrations with financial planning, portfolio management and rebalancing/trading platforms, provide advisor educational materials and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Separate Accounts**
  - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of separate accounts.
  - Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Thought Leadership Advisor Education**

- A new initiative, program, and industry content providing original content, research or conclusions about investing themes to move the industry forward, enhance advisors with a better understanding of investing themes, new products, etc.
- Initiatives can include areas such as white papers, industry research, commentary and other content to help drive industry understanding and awareness of investing themes, diversity programs, women's initiatives, next generation of advisor/client, succession planning solutions, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Thought Leadership Product Enhancement**
  - A new initiative, program, product, or platform that will move the industry forward.
  - Initiatives can include areas such as new products, technology tools, research platforms, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## **BROKERS/DEALERS (1,000 Advisors or More)**

- **Chief Executive Officer of The Year\***
  - An individual CEO of a Broker/Dealer who has demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in leading all aspects of a wealth management technology provider that helps advisors succeed.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, revenues, profitability, business growth, thought leadership content, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.
- **Chief Marketing Officer of The Year\***
  - An individual chief marketing officer (CMO) of a Broker/Dealer who has demonstrated vision, creativity, integrity, leadership, communication skills, leadership prowess and high performance in enhancing the firm's brand, generating new business and expanding the firm's product and service set this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new product roll outs, marketing campaigns, business growth, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Technology Officer of The Year\***
  - An individual chief technology officer (CTO) of a Broker/Dealer who has demonstrated vision, integrity, leadership, technical prowess and high performance in leading their firm through new challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new products/platforms brought to market, thought leadership content development, industry activism, user surveys, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Corporate Social Responsibility**
  - A new initiative, program, platform, charity, environmentally responsible, or industry content that will enhance the industry's image, give back to the community, improve society as well as promote diversity and the next generation of advisors.
  - Initiatives can include areas such as diversity programs, charitable endeavors, women's initiatives, training programs, etc.

- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc. along with qualitative measures such as innovation, creativity, new methodologies, etc.
- **Digital Marketing Campaign of the Year**
  - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign; that leverages integrated digital channels, including social media, to deliver the firm's message with compelling call to action.
  - Criteria include direct business results such as leads generated, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage digital channels to deliver a compelling marketing message.
- **Diversity, Equity and Inclusion**
  - A new program, initiative, platform or enhancement to an existing program/platform/initiative designed to promote diversity, equity, and inclusion in the wealth management industry, such as educational and training programs, company and industry events, peer support groups, executive and career networks, student and employee recruiting programs, professional development opportunities, etc.
  - Criteria include direct measurable results such scope, scale, adoption and usage, as well as subjective measures of creativity, imagination and new ways to encourage and promote diversity, equity and inclusion.
- **Practice Management**
  - A new initiative, program, or enhancement to an existing platform that helps B/D advisors manage a better business.
  - Initiatives can include the various practice management areas such as marketing services/support, sales process, succession planning, human capital, organizational structures, business planning/strategy, compensation plans, benchmarking, compliance, etc.
  - Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Service**
  - A new initiative, program, or enhancement to an existing service platform that helps support BD advisors and their clients.
  - Initiatives can include areas such as training programs, dedicated personnel, multichannel availability, new capabilities, process improvements, service availability, ease of use, new capabilities, tiered service, self-service, etc.
  - Criteria include quantitative measures—such as specific support levels, scope, scale, advisor/client survey scores, usage, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Technology**
  - A new initiative, program, or enhancement to an existing platform that helps B/D advisors to be more efficient and enhances the advisor and client experience through technology.
  - Initiatives can include areas such as new cloud platforms, mobile apps, driving adoption of existing technologies, streamlining various processes, integrating multiple systems, user interface improvements, process speed improvements, ease of use, new capabilities, new features, customizations, etc.
  - Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Thought Leadership**

- A new initiative, program, platform or industry content that will move the industry forward.
- Initiatives can include areas such as diversity programs, women’s initiatives, next generation of advisor/client, succession planning solutions, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Transition Support**
  - A new initiative, program or enhancement to an existing Transition platform that helps BDs onboard new advisors.
  - Initiatives can include areas such as dedicated professionals, easy to use transition tools/resources, process improvements, speed of onboarding, client communications, etc.
  - Criteria include both quantitative measures—such as specific support levels, scope, scale, advisor/client survey scores, usage, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.

## **BROKERS/DEALERS (Fewer Than 1,000 Advisors)**

- **Chief Executive Officer of The Year\***
  - An individual CEO of a Broker/Dealer who has demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in leading all aspects of a wealth management technology provider that helps advisors succeed.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, revenues, profitability, business growth, thought leadership content, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.
- **Chief Marketing Officer of The Year\***
  - An individual chief marketing officer (CMO) of a Broker/Dealer who has demonstrated vision, creativity, integrity, leadership, communication skills, leadership prowess and high performance in enhancing the firm’s brand, generating new business and expanding the firm’s product and service set this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new product roll outs, marketing campaigns, business growth, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Technology Officer of The Year\***
  - An individual chief technology officer (CTO) of a Broker/Dealer who has demonstrated vision, integrity, leadership, technical prowess and high performance in leading their firm through new challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new products/platforms brought to market, thought leadership content development, industry activism, user surveys, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Corporate Social Responsibility**
  - A new initiative, program, platform, charity, environmentally responsible, or industry content that will enhance the industry’s image, give back to the community, improve society as well as promote diversity and the next generation of advisors.
  - Initiatives can include areas such as diversity programs, charitable endeavors, women’s initiatives, training programs, etc.



- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc. along with qualitative measures such as innovation, creativity, new methodologies, etc.
- **Digital Marketing Campaign of the Year**
  - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign; that leverages integrated digital channels, including social media, to deliver the firm's message with compelling call to action.
  - Criteria include direct business results such as leads generated, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage digital channels to deliver a compelling marketing message.
- **Diversity, Equity and Inclusion**
  - A new program, initiative, platform or enhancement to an existing program/platform/initiative designed to promote diversity, equity, and inclusion in the wealth management industry, such as educational and training programs, company and industry events, peer support groups, executive and career networks, student and employee recruiting programs, professional development opportunities, etc.
  - Criteria include direct measurable results such scope, scale, adoption and usage, as well as subjective measures of creativity, imagination and new ways to encourage and promote diversity, equity and inclusion.
- **Practice Management**
  - A new initiative, program, or enhancement to an existing platform that helps B/D advisors manage a better business.
  - Initiatives can include the various practice management areas such as marketing services/support, sales process, succession planning, human capital, organizational structures, business planning/strategy, compensation plans, benchmarking, compliance, etc.
  - Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Service**
  - A new initiative, program, or enhancement to an existing service platform that helps support BD advisors and their clients.
  - Initiatives can include areas such as training programs, dedicated personnel, multichannel availability, new capabilities, process improvements, service availability, ease of use, new capabilities, tiered service, self-service, etc.
  - Criteria include quantitative measures—such as specific support levels, scope, scale, advisor/client survey scores, usage, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Technology**
  - A new initiative, program, or enhancement to an existing platform that helps B/D advisors to be more efficient and enhances the advisor and client experience through technology.
  - Initiatives can include areas such as new cloud platforms, mobile apps, driving adoption of existing technologies, streamlining various processes, integrating multiple systems, user interface improvements, process speed improvements, ease of use, new capabilities, new features, customizations, etc.
  - Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Thought Leadership**

- A new initiative, program, platform or industry content that will move the industry forward.
- Initiatives can include areas such as diversity programs, women’s initiatives, next generation of advisor/client, succession planning solutions, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Transition Support**
  - A new initiative, program or enhancement to an existing Transition platform that helps BDs onboard new advisors.
  - Initiatives can include areas such as dedicated professionals, easy to use transition tools/resources, process improvements, speed of onboarding, client communications, etc.
  - Criteria include both quantitative measures—such as specific support levels, scope, scale, advisor/client survey scores, usage, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.

## COMPLIANCE/LAW FIRMS

- A new initiative, program, platform or industry content that facilitates the compliance process and simplifies regulatory complexity.
- Initiatives can include areas such as new programs, educational campaigns, integrations, technology tools, ongoing campaigns, service integrations, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## CUSTODIANS

- **Alternative Asset**
  - A new initiative, program, platform or industry content that facilitates how advisors manage, report and advise clients with alternative assets.
  - Initiatives can include areas such as new programs, educational campaigns, integrations, technology tools, ongoing campaigns, service integrations, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Chief Marketing Officer of the Year\***
  - An individual chief marketing officer (CMO) of a Custodian who has demonstrated vision, creativity, integrity, leadership, communication skills, leadership prowess and high performance in enhancing the firm’s brand, generating new business and expanding the firm’s product and service set this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new product roll outs, marketing campaigns, business growth, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Technology Officer of The Year\***
  - An individual chief technology officer (CTO) of a Custodian who has demonstrated vision, integrity, leadership, technical prowess and high performance in leading their firm through new challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new products/platforms brought to market, thought

leadership content development, industry activism, user surveys, leadership development; as well as industry respect, notoriety and promoting diversity.

- **Corporate Social Responsibility**
  - A new initiative, program, platform, charity, environmentally responsible, or industry content that will enhance the industry's image, give back to the community, improve society as well as promote diversity and the next generation of advisors.
  - Initiatives can include areas such as diversity programs, charitable endeavors, women's initiatives, training programs, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc. along with qualitative measures such as innovation, creativity, new methodologies, etc.
- **Digital Marketing Campaign of the Year**
  - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign; that leverages integrated digital channels, including social media, to deliver the firm's message with compelling call to action.
  - Criteria include direct business results such as leads generated, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage digital channels to deliver a compelling marketing message.
- **Diversity, Equity and Inclusion**
  - A new program, initiative, platform or enhancement to an existing program/platform/initiative designed to promote diversity, equity, and inclusion in the wealth management industry, such as educational and training programs, company and industry events, peer support groups, executive and career networks, student and employee recruiting programs, professional development opportunities, etc.
  - Criteria include direct measurable results such scope, scale, adoption and usage, as well as subjective measures of creativity, imagination and new ways to encourage and promote diversity, equity and inclusion.
- **Practice Management**
  - A new initiative, program, or enhancement to an existing platform that helps RIA advisors manage a better business.
  - Initiatives can include the various practice management areas such as marketing services/support, sales process, succession planning, human capital, organizational structures, business planning/strategy, compensation plans, benchmarking, compliance, etc.
  - Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Technology**
  - A new initiative or program, or an enhancement to an existing platform, that helps RIAs be more efficient and enhances the advisor and client experience through technology.
  - Initiatives can include areas such as new cloud platforms, mobile apps, driving adoption of existing technologies, streamlining various processes, integrating multiple systems, user interface improvements, process speed improvements, ease of use, new capabilities, new features, customizations, etc.
  - Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.
- **Thought Leadership**
  - A new initiative, program, platform or industry content that will move the industry forward.

- Initiatives can include areas such as diversity programs, women’s initiatives, next generation of advisor/client, succession planning solutions, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Transition Support**
  - A new initiative or program, or an enhancement to an existing Transition platform, that helps RIAs onboard their clients and business to a new or different custodian.
  - Initiatives can include areas such as dedicated professionals, easy to use transition tools/resources, process improvements, speed of onboarding, client communications, etc.
  - Criteria include quantitative measures—such as specific support levels, scope, scale, advisor/client survey scores, usage, etc.—along with qualitative measures such as innovation, creativity, new methods of delivery, etc.

## **DISTRUPTORS**

- **Industry**
  - A new innovation or category that will change how wealth management is delivered in the future.
  - Initiatives can include areas such as technology innovation, process enhancements, new methods of delivery, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Technology**
  - A new technology innovation or category that will change how wealth management is delivered in the future.
  - Initiatives can include areas such as technology innovation, process enhancements, new methods of delivery, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## **FAMILY OFFICES**

- **Client Initiative**
  - A new initiative, program, platform or industry content that enhances the family office client experience.
  - Initiatives can include areas such as technology deployments, educational programs, client-facing technologies, reporting tools, next generation of advisor/client, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Thought Leadership**
  - A new initiative, program, platform or industry content that will move the industry forward.
  - Initiatives can include areas such as diversity programs, women’s initiatives, next generation of advisor/client, succession planning solutions, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## INDIVIDUAL RIA FIRM LEADERS

- **Chief Executive Officer of the Year\***
  - An individual chief executive officer (CEO) of an independent Registered Investment Advisory (RIA) firm who has demonstrated courage, vision, integrity and high performance in leading their firm through new challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as customer value, business equity, generating shareholder value; employee engagement, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Marketing Officer of the Year\***
  - An individual chief marketing officer (CMO) of a financial advisory firm who has demonstrated vision, creativity, integrity, leadership, communication skills, messaging expertise, marketing prowess and high performance in enhancing the firm's brand, generating new business and expanding the firm's product and service set this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as marketing campaigns, business growth, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Technology Officer of the Year\***
  - An individual chief technology officer (CTO) of an independent RIA firm who has demonstrated vision, integrity, leadership, technical prowess and high performance in leading their firm through new technology challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new products/platforms deployed, innovation, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Innovator of the Year\***
  - An individual executive leader (not limited to CEOs) of an independent Registered Investment Advisory (RIA) firm who has led the development of new initiatives or enhancements to existing programs to help advisors run a better business, enhance service to clients, change how advice is delivered and help transform the wealth management industry for the better this past year.
  - Initiatives include areas such as new technology approaches, platforms, and product development; new operating models to target underserved markets, new methods of recruiting / onboarding advisors, new client service models, new advice delivery approaches, etc.
  - Criteria include both quantitative measures such as program features, usage, potential to change the industry and existing business practices, scope, scale, along with qualitative measures such as creativity, new practice standards, etc.
- **M&A Leader of the Year\***
  - An individual executive leader (not limited to CEOs) of an independent Registered Investment Advisory (RIA) firm who has successfully led the growth of their firm through inorganic strategies such as mergers, acquisitions and joint ventures this past year.
  - Criteria include demonstrable impact on their firm; financial gains; negotiating success, operational excellence in integrating merged/acquired firms; external benchmarks such as number of deals completed, total AUM acquired/merged, business value created, etc.
- **Rising Star of the Year\***

- A next generation individual advisor and/or executive of a financial advisory firm who has demonstrated vision, creativity, integrity, leadership and high performance in making an impact on their firm, the industry and wealth management in general this past year.
- Criteria include specific examples of firm and industry leadership, supporting initiatives that are driving change as well as external benchmarks such as business growth, thought leadership content development, industry activism, and similar.
- **Thought Leader of the Year\***
  - An individual executive leader (not limited to CEOs) of an independent Registered Investment Advisory (RIA) firm who has designed and promoted programs, products, and content that will move the industry forward this past year.
  - Initiatives include areas such as new management methods, investor research, diversity programs, promoting the next generation of advisor, succession planning, practice management content and other industry defining programs and content
  - Criteria include both quantitative measures such as program or idea features, usage, potential to change the industry and existing business practices, scope, scale, along with qualitative measures such as creativity, new practice standards, etc.

## INDUSTRY ASSOCIATIONS

- A new initiative, program, platform or industry content that facilitates advisor success, attracts new members, delivers on the association's mission.
- Initiatives can include areas such as new programs, educational campaigns, integrations, technology tools, ongoing campaigns, service integrations, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, growth, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## INDUSTRY RESEARCH PROVIDERS

- A new initiative, product, program, or enhancement to an existing research capability that enhances advisor's ability to run a better business, better understand industry trends, enhance client service and push the industry forward.
- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## INSURANCE

- **Retirement Income\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enables advisors to optimally determine client income needs in retirement, develop decumulation plans, holistically include taxes, flexibly include annuity programs as appropriate, and similar.
  - Initiatives can include areas such as new technology applications, integrations with financial planning, portfolio management and rebalancing/trading platforms, provide advisor educational materials and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Service**
  - A new initiative, program or an enhancement to an existing service platform than improves advisors understanding, usage and management of insurance programs/products/platforms.
  - Initiatives can include areas such as product enhancements, new products, research tools, practice management programs, wholesaler support, service improvements, etc.
  - Criteria include both quantitative measures, such as scope, scale, usage, adoption, advisor survey scores, etc. along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Technology**
  - A new initiative, program or an enhancement to an existing technology platform than improves advisors understanding, usage and management of insurance programs/products/platforms.
  - Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, integrations, etc.
  - Criteria include both quantitative measures, such as scope, scale, usage, adoption, advisor survey scores, etc. along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

#### **INVESTMENT BANKS/LENDERS/SUCCESSION PLANNING CONSULTANTS**

- A new initiative, program, platform or industry content that facilitates the succession/transition process for advisors and their businesses.
- Initiatives can include areas such as new financing programs, integrations, tools, valuation services, ongoing campaigns, service integrations, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

#### **MARKETING/PR FIRMS**

- **Digital Campaign of the Year**
  - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign; that leverages integrated digital channels to deliver the firm's message with compelling call to action.
  - Criteria include direct business results such as leads generated, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage digital channels to deliver a compelling marketing message.
- **PR Campaign of the Year**
  - A new marketing, lead generation, or brand building campaign that leverages PR to gain coverage in local/national publications, TV and online/social media, or an extension/update to an existing campaign; that delivers a compelling message to a targeted audience to educate, inform, engage, and inspire with a compelling call to action.
  - Criteria include direct business results such as leads generated, brand mentions, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage PR to deliver a compelling marketing message.

#### **RETIREMENT PLAN SUPPORT AND ADVISOR SERVICES**

- **401(k) Service**

- A new initiative, program, platform or industry content that facilitates retirement planning, preparation and funding through a service enhancement.
- Initiatives can include areas such as new programs, educational campaigns, integrations, ongoing campaigns, service integrations, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **401(k) Technology**
  - A new initiative, program, platform or industry content that facilitates retirement planning, preparation and funding through a technology enhancement.
  - Initiatives can include areas such as new programs, educational campaigns, integrations, technology tools, ongoing campaigns, integrations, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Aggregators – CEO of the Year\***
  - A senior executive who has successfully led the growth of their firm through organic and M&A strategies, integration of wealth and retirement capabilities as well as revenue diversification.
  - Criteria include specific examples of firm and industry leadership, supporting initiatives that are driving change as well as external benchmarks such as business growth, thought leadership content development, industry activism, introduction of wealth and retirement planning programs, technology and similar.
- **Broker–Dealers – Wealth and Retirement Integration**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enhances plan sponsors’ ability to bring together wealth and retirement planning for plan participants.
  - Initiatives can include areas such as new ways to introduce wealth advisors to plan sponsors and participants, integration of financial and wealth planning tools/technology, educational content and programs and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **DCIO Providers – Advisor Value Added Programs**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enables advisors to better service and market to retirement plan sponsors and participants.
  - Initiatives can include areas such as new technology features/functionality, thought leadership content, educational materials and programs, practice management capabilities, improved access to participant data, and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **In-plan Retirement Income – Product or Service\*\***
  - Initiative (product or service) that helps employees to create lifetime income opportunities while part of their organizations 401(k) or 403(b) retirement plan.
  - Criteria includes specific details of the product such as the underlying investment, service or technology as well as details of traction (number of record keepers offering, plans using and



participants enrolled) and details of the increased retirement income benefits participants are receiving as a result.

- **Record Keepers – CEO of the Year\*\***
  - A senior executive who has successfully led the growth of their firm through organic and M&A strategies, integration of wealth and retirement capabilities as well as revenue diversification.
  - Criteria include specific examples of firm and industry leadership, supporting initiatives that are driving change as well as external benchmarks such as business growth, thought leadership content development, industry activism, introduction of wealth and retirement planning programs, technology and similar.
- **Record Keepers – Retirement Plan Advisor Support**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enables Retirement Plan Advisors to better serve plan participants and sponsors.
  - Initiatives can include areas such as new technology features/functionality, thought leadership content, educational materials and programs, improved access to participant data, financial planning tools and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## **SUCCESSION/OWNERSHIP TRANSITION SERVICES – NON-CUSTODIAN/BROKER/DEALER**

- A new initiative, program, platform, technology or industry content that will prepare advisors for succession, enhance ownership transitions, and financing options, as well as nurture the next generation of advisor.
- Initiatives can include areas such as educational programs, technology tools, valuation analyses, financing programs, training programs, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc. along with qualitative measures such as innovation, creativity, new methodologies of delivery, etc.

## **TAMPs**

- **Model Marketplaces**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that facilitates advisor usage of model marketplaces.
  - Initiatives can include areas such as new ways to process transactions, new technology deployments, enhanced access to investment strategies, enhanced reporting, tracking, and cost efficiencies.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **TAMPs**
  - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management via a TAMP model.
  - Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, etc.

- Criteria include quantitative measures—such as scope, scale, adoption, usage, feature set, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of employment, etc.

## **TECHNOLOGY PROVIDERS**

- **Account Aggregation**

- A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to efficiently and accurately aggregate client holdings.
- Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, integrations with other systems, client portals, reporting improvements, business intelligence, etc.
- Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Alternative Investment Platforms**

- A new initiative, product, program, platform or enhancement to an existing platform/product that facilitates trading, research, processing, reporting and tracking of alternative investments.
- Initiatives can include areas such as new ways to process transactions digitally, access due diligence services, reporting, tracking, inventories of alternative investments.
- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Artificial Intelligence**

- A new initiative, product, program, platform or enhancement to an existing platform/product designed to integrate aspects of Artificial Intelligence into an advisor's operations, investment process, financial planning services, as well as other aspects of a financial advisory business.
- Initiatives can include areas such as machine learning, Robotic Process Automation (RPA), natural language processing, neural networks, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Business Support Systems/Workflow Automation**

- A new initiative, product, program, platform or enhancement to an existing platform/product designed to enable advisors to streamline, integrate and automate business and operational workflows and tasks.
- Initiatives can include areas such as new forms automation platforms, data management tools, Artificial Intelligence (AI) tools, technology integration frameworks, API's and similar.
- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Cash Optimization**

- A new initiative, product, program, platform or enhancement to an existing platform/product that enhances advisor's ability to optimize yields from cash holdings for clients
- Initiatives can include areas such as new ways to integrate bank products, increase access to high yielding rates, more efficient sweep accounts, leveraging technology to

drive efficiencies across the advisor technology stack, including new features, functionality, new components, etc.

- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Chief Executive Officer of The Year\***
  - An individual CEO of a technology provider who has demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in leading all aspects of a wealth management technology provider that helps advisors succeed.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, revenues, profitability, business growth, thought leadership content, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.
- **Chief Marketing Officer of The Year\***
  - An individual chief marketing officer (CMO) of a technology provider who has demonstrated vision, creativity, integrity, leadership, communication skills, leadership prowess and high performance in enhancing the firm's brand, generating new business and expanding the firm's product and service set this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new product roll outs, marketing campaigns, business growth, thought leadership content development, industry activism, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Chief Technology Officer of The Year\***
  - An individual chief technology officer (CTO) of a technology provider who has demonstrated vision, integrity, leadership, technical prowess and high performance in leading their firm through new challenges and opportunities this past year.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as new products/platforms brought to market, thought leadership content development, industry activism, user surveys, leadership development; as well as industry respect, notoriety and promoting diversity.
- **Client Onboarding/New Account Opening**
  - A new initiative, product, program, platform or enhancement to an existing platform/product designed to streamline and automate the workflows for signing up new clients and opening new accounts.
  - Initiatives can include areas such as new ways to integrate digital signatures, workflow automation tools, elimination of manual paperwork, automatic forms filling, document management and data population, application integration, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Client Portals**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to interact online with clients, deliver personalized communications, store documents, and report in real time on client holding.
  - Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, document vaults, integrations with other systems, reporting improvements, business intelligence, etc.

- Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Compliance**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to manage compliance requirements and mandates.
  - Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, integrations with other systems, reporting improvements, security tools, audit ability, business intelligence, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Corporate Social Responsibility**
  - A new initiative, program, platform, charity, environmentally responsible, or industry content that will enhance the industry's image, give back to the community, improve society as well as promote diversity and the next generation of advisors.
  - Initiatives can include areas such as diversity programs, charitable endeavors, women's initiatives, training programs, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc. along with qualitative measures such as innovation, creativity, new methodologies, etc.
- **CRM**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to manage, service and convert clients.
  - Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, integrations with other systems, client portals, social media integrations, sales process improvements, opportunity tracking, marketing campaigns, business intelligence, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Cryptocurrency/Digital Assets**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that integrates cryptocurrency, digital assets and the blockchain.
  - Initiatives can include areas such as new ways to process transactions via blockchain technology, rebalance portfolios, as well as the ability to report and track cryptocurrencies, digital assets, automate processes, streamline workflows, advisor education, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Cyber Security**
  - A new initiative, product, program, platform or enhancement to an existing platform/product designed to protect client data, prevent fraud, ensure compliance with new regulatory mandates and protect confidentiality of personal information from hackers, cyber criminals and other attacks.
  - Initiatives can include areas such as new ways to encrypt data, new platforms, methodologies, protocols, systems, compliance tools, new products, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Digital Marketing Campaign of the Year**
  - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign; that leverages integrated digital channels to deliver the firm's message with compelling call to action.
  - Criteria include direct business results such as leads generated, new clients converted, incremental revenues booked, enhanced closing rates, increased share of existing client wallet, etc., as well as subjective measures of creativity, imagination and new ways to leverage digital channels to deliver a compelling marketing message.
- **Direct Indexing\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enhances advisors' ability to personalize portfolios through direct indexing for tax planning/harvesting, ESG constraints, concentrated position management, and similar.
  - Initiatives can include areas such as new technology applications, separate account structures, rebalancing capabilities, industry research, advisor educational materials, and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Diversity, Equity and Inclusion**
  - A new program, initiative, platform or enhancement to an existing program/platform/initiative designed to promote diversity, equity, and inclusion in the wealth management industry, such as educational and training programs, company and industry events, peer support groups, executive and career networks, student and employee recruiting programs, professional development opportunities, etc.
  - Criteria include direct measurable results such scope, scale, adoption and usage, as well as subjective measures of creativity, imagination and new ways to encourage and promote diversity, equity and inclusion.
- **Document Management**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to manage documents and drive operational efficiencies.
  - Initiatives can include areas such as new cloud versions, mobile apps, process automation, compliance features, workflow tools, integrations with other systems, client portals, business intelligence, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Financial Planning**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to produce, manage and update client financial plans.
  - Initiatives can include areas such as new cloud versions, new modules, mobile apps, workflow tools, integrations with other systems, client portals, reporting improvements, business intelligence, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

- **Innovation New Applications**
  - A new technology innovation, product category or product that enhances advisors' ability to move the industry forward, help advisors better run their businesses and enhance service to their clients.
  - Initiatives can include areas such as new mobile apps, new workflow tools, new reporting systems, new business intelligence systems, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Innovation Platforms**
  - A new technology innovation or enhancement to an existing platform/product that enhances advisors' ability to move the industry forward, help advisors better run their businesses and enhance service to their clients.
  - Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, integrations with other systems, client portals, reporting improvements, business intelligence, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Marketing Automation**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that streamlines and automates advisors' ability to generate leads, nurture prospects and close new business through digital channels.
  - Initiatives can include areas such as new technology applications, content development capabilities, video use, advanced email and social media communication management, podcast development and support, advisor educational materials, and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Model Marketplaces**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that facilitates advisor usage of model marketplaces.
  - Initiatives can include areas such as new ways to process transactions, new technology deployments, enhanced access to investment strategies, enhanced reporting, tracking, and cost efficiencies.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Portfolio Analytics**
  - A new initiative, product, program, platform or enhancement to an existing platform/product designed to enable advisors to better construct, compare, model and manage portfolios.
  - Initiatives can include areas such as new analytical frameworks, ESG and SRI considerations, access to enhanced investment data, compliance tools, reporting, macro-economic impacts, "x-ray" analyses, and similar.

- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Portfolio Management, Accounting and Performance Reporting**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to manage, account and report on client portfolios.
  - Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, integrations with other systems, client portals, reporting improvements, business intelligence, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Real Estate**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enhances the way advisors leverage technology to access, report and manage real estate investments.
  - Initiatives can include areas such as new ways to source and invest in real estate, new technology tools, content and education around 1031 exchanges, access to digital marketplaces, reporting systems, applications and similar.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Rebalancing**
  - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to efficiently rebalance portfolios.
  - Initiatives can include areas such as new cloud versions, mobile apps, tax-efficiencies, workflow tools, integrations with other systems, reporting improvements, business intelligence, etc.
  - Criteria include quantitative measures—such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Retirement Income\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enables advisors to optimally determine client income needs in retirement, develop decumulation plans, holistically include taxes, flexibly include annuity programs as appropriate, and similar.
  - Initiatives can include areas such as new technology applications, integrations with financial planning, portfolio management and rebalancing/trading platforms, provide advisor educational materials and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Risk Tolerance/Client Profiling**
  - A new initiative, program, platform or industry content that facilitates how advisors can better manage risk for clients.

- Initiatives can include areas such as new programs, methodologies, educational campaigns, integrations, technology tools, ongoing campaigns, service integrations, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Securities-based Lending\*\***
  - A new initiative, product, program, platform or enhancement to an existing platform/product that streamlines advisors' ability to access lending products and programs based on client assets for liquidity purposes, avoiding capital gains taxes, enhancing lifestyles, facilitating large purchases, and similar.
  - Initiatives can include areas such as new technology applications, streamlined access to products, simplified agreements, time-savings along with advisor educational materials and similar.
  - Criteria include both quantitative measures, such as specific feature set, AUM goals, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Social Media Leadership**
  - A new initiative, program, platform or industry content that leverages new social media communication channels to improve advisors' ability to interact with clients, gather intelligence and better serve their clients.
  - Initiatives can include areas such as social media integrations, communication campaigns, service integrations, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, client acquisition, advisor survey scores, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Specialized Planning Applications**
  - A new initiative, product, program, platform or enhancement to an existing platform/product designed to support specialized areas of the financial planning process such as estate planning, healthcare planning, student loan management, executive compensation analysis, tax planning, etc.
  - Initiatives can include areas such as new ways to digitize planning processes, analyze outcomes, integrate specialties, enhance recommendations, and integrate into the overall planning process, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Thought Leadership**
  - A new initiative, program, platform or industry content that will move the industry forward.
  - Initiatives can include areas such as diversity programs, women's initiatives, next generation of advisor/client, succession planning solutions, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, potential, scope, scale, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **Unified (all-in-one) Systems**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enhances advisor's usability and functionality of a unified (all in one) system.



- Initiatives can include areas such as new ways to integrate applications across the technology stack, new features, functionality, new components, etc.
- Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, advisor survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

## **TRUSTS**

- A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and management of trust programs/products/platforms.
- Initiatives can include areas such as research tools, practice management programs, wholesaler support, service improvements, technology enhancements, etc.
- Criteria include quantitative measures—such as scope, scale, usage, adoption, advisor survey scores, etc.—along with qualitative measures such as innovation, creativity, new methods of deployment, etc.