Wealth Management Industry Awards
by informa

2026 Program
Nomination Categories/Subcategories *with Criteria*

Individual executive nomination category
New category for 2026

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.
- **Chief Executive Officer of the Year**
  - An individual chief executive officer (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.
- **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.

- **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 though 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.
- **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.

- **Model Portfolio Selection**
  - A new initiative, product, program, platform, or enhancement to an existing platform, product program that facilitates and personalizes portfolio construction by optimally selecting the best and most appropriate model for each client situations, risk preferences and financial plans.
  - Initiatives can include areas such as new technology applications, practice management programs, advisor educational materials, thought leadership, new industry research, community, connections, resources and similar.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, 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.
- **Portfolio Construction**
  - A new initiative, product, program, platform or enhancement to an existing platform/product that enables financial advisors to better build, tailor and optimize client portfolios with client financial plans.
  - Initiatives can include areas such as new technology applications, integrations with alternative assets, portfolio optimization capabilities, service and support models, reporting capabilities, advisor educational materials, industry research, and similar to help advisors create better portfolios for clients.
  - 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.
- **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.
- **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 Leader of the Year**
  - An individual executive leader of an asset management firm who has designed and promoted programs, products, and industry content that will help advisors enhance portfolio construction, expand investment options, and better personalize and tailor their investment management services.
  - Initiatives can include areas such as market and investor research, asset allocation approaches, model portfolio management recommendations, practice management content and similar.
  - Criteria include both quantitate measures such as program content, features, usage, potential to innovative investment management approaches, as well as the scope, scale, and reach, along with qualitative measures such as creativity, new investment standards, etc.
- **Thought Leadership**
  - 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, new products, technology tools, research platforms, etc. 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.

BROKERS/DEALERS (1,000 Advisors or More)

- **Chief Executive Officer of The Year**
  - An individual chief executive officer (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.

- **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.
- **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 though 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 chief executive officer (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.
- **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.
- **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 though 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.

CORPORATE SOCIAL RESPONSIBILITY

- A new initiative, program, platform, charity, environmentally responsible approach, or industry content that will enhance the industry's image, give back to local communities, and improve society.
- Initiatives can include areas such as community support programs, charitable endeavors, research and educational 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.

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.
- **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.
- **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 though 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 fundamentally change, reshape and alter 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 fundamentally change, reshape and alter 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.

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 as specific results from initiatives, scope, scale, adoption and usage, as well as subjective measures of creativity, imagination and new ways to encourage and promote diversity, equity and inclusion.

ENTERPRISE INNOVATION

- A new, large-scale, corporate initiative that drives new business lines, enhances technology innovation, and expands product development that will result in meaningful change to advisors' ability to grow, expand and better serve client relationships.
- Initiatives can include areas such as new technology applications, new business formation, "think tanks," incubators, accelerators, and similar.
- Criteria include both quantitative measures, such as specific feature set, industry potential, usage, scope, scale, survey scores, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.

ESTATE PLANNING

- **Advisor Service and Support**
  - A new service initiative, program, or an enhancement to an existing program that improves advisors' ability to implement estate planning recommendations and improve client outcomes.
  - Initiatives can include areas such as research tools, educational assets, practice management programs, wholesaler support, service improvements, access to vetted attorneys and accountants, 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.
- **Implementation**
  - A new initiative, product, program, or an enhancement to an existing platform/product that improves advisors' ability to implement estate planning recommendations and improve client outcomes.
  - Initiatives can include areas such as insurance and annuity programs, marketplaces and similar product innovation, 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.
- **Technology**
  - A new technology initiative, platform, program, or an enhancement to an existing technology platform/product that improves advisors' ability to develop and deliver estate plans, visualize recommendations, assist in the development of wills, trusts and similar aspects of estate planning.
  - Initiatives can include areas such as will and trust software platforms, research tools, practice management programs, 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.

- **Thought Leadership**
    - A new initiative, program, platform or industry content that will move the industry forward, help advisors and clients understand industry changes and position advisors as a go-to estate planning resource.
    - Initiatives can include areas such as educational assets, white papers, issue briefs on estate planning trends, developments, potential tax changes, new practice management approaches to integrating estate planning, 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.
- **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.

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.

INDEPENDENT, INTEGRATED GROWTH PLATFORMS

- A new initiative, product, program, platform or enhancement to an existing platform/product that provides independent RIAs and/or broker-dealer. representatives with a full-suite of business, technology, marketing, compliance and practice management resources designed to provide scale, convenience, increase capacity, drive business value, and provide 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.

INDIVIDUAL RIA FIRMS

- **Chief Compliance Officer of the Year**
  - An individual CCO of an independent RIA firm who has demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in leading all aspects of their firm's compliance and regulatory initiatives, cyber security efforts, and legal protection.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, business growth, thought leadership content, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.
- **Chief Executive Officer of the Year (AUM Higher than $25 Billion)**
  - 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 Executive Officer of the Year (AUM Lower than $25 Billion)**
  - 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 Investment Officer of the Year**
  - An individual CIO of an independent RIA firm who has demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in leading all aspects of the investment management services their firm provides, including portfolio construction, asset allocation research, model portfolio management, alternative selection and new product development
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, 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 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 Operations Officer of the Year**
  - An individual COO of an independent RIA firm who has demonstrated vision, creativity, integrity, leadership, communication skills and high performance in streamlining operations, driving efficiencies, automating workflows, integrating and managing technology/custodian platforms, and enhancing advisor and staff productivity.
  - Criteria include demonstrable impact on their firm, the industry, and wealth management in general; external benchmarks such as business excellence, business growth, thought leadership

content, industry activism; as well as a strong track record of 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.
- **Client Initiatives**
  - For independent RIAs, a new business initiative, program, platform or enhancement to an existing program, platform or initiative that improves service, aids client retention and satisfaction, drives growth and improves overall business momentum
  - Initiatives include areas such as new management methods, technology platforms, practice management tools, marketing strategies, new products, advisor support, etc.
  - Criteria include both quantitative measures, such as specific feature set, usage, survey scores, potential, scope, scale, growth, etc., along with qualitative measures such as innovation, creativity, new methods of deployment, etc.
- **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 quantitate 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 quantitate 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

- A new initiative, program or an enhancement to an existing service and/or technology 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, 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.

M&A DEAL SUPPORT

- A new initiative, program, platform or industry content that facilitates mergers and acquisitions, succession planning, and ownership transitions for advisors, their clients and their businesses.
- Initiatives can include areas such as new financing programs, minority investments, deal innovations, educational 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

- **Client Digital Campaign of the Year**
    - A new marketing, lead generation, nurturing or brand building campaign, or enhancement to an existing campaign on behalf of a client 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.
- **Client PR Campaign of the Year**
    - A new marketing, lead generation, or brand building campaign on behalf of a client 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.

PHILANTHROPY

- A new initiative, program, or advisor industry content that facilitates philanthropic planning, client giving and tax minimization strategies.
- Initiatives can include areas such as new programs, educational campaigns, service integrations, technology improvements, new products, 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.

PODCASTS

- **Industry Focused**
    - An ongoing series of educational content and interviews that provides actionable ideas to help advisors run better businesses, grow their firms and enhance the client experience they provide.
    - Criteria include direct results such as number of subscribers, ratings, listener engagement, as well as subjective measures such as niche focus, production quality, creativity, entertainment levels, etc.
- **Investor Focused**
    - An ongoing series of educational content and interviews that provides actionable insights to help investors better understand investment and financial planning issues, trends, changes, ways to optimize their financial resources, etc.
    - Criteria include direct results such as number of subscribers, ratings, listener engagement, as well as subjective measures such as niche focus, production quality, creativity, entertainment levels, etc.

PROFESSIONAL SERVICES FIRMS

- **Chief Executive Officer of The Year**
    - An individual chief executive officer (CEO) of professional services firms such as Marketing, PR, Legal, Accounting, Consulting, Practice Management, etc. who has demonstrated vision,

creativity, integrity, leadership, communication skills, industry insight and high performance in leading all aspects of supporting the wealth management industry this past year.
    - 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 professional services firms such as Marketing, PR, Legal, Accounting, Consulting, Practice Management, etc. 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.

RECRUITERS

- **Enterprise Executive of the Year**
    - An individual executive of a wealth management enterprise or platform, such as an independent broker-dealer, OSJ, Wirehouse, RIA aggregator and similar, who has demonstrated leadership, vision, creativity, integrity, industry insight and high performance in leading all aspects of the advisor recruiting and onboarding process.
    - Criteria include demonstrable impact on their firm, the industry, and wealth management in general as well as quantifiable benchmarks such as business excellence, business growth, thought leadership content, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.
- **Independent Recruiting Firm of the Year**
    - A new initiative, product, program, platform, or enhancement to an existing platform/product that facilitates advisor transitions.
    - Initiatives can include areas such as new technology applications, practice management programs, marketing tools, advisor educational materials, thought leadership, industry research, community, connections, resources and similar.
    - Criteria include both quantitative measures, such as specific feature set, usage, success rates, AUM gains, scope, scale, 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.

RETIREMENT PLAN SUPPORT AND ADVISOR SERVICES

- **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.

- **Advisor Support: Aggregators**
  - 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.
- **Advisor Support: Broker-Dealers**
  - 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.
- **Advisor Support: DCIO Providers**
  - 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.
- **Advisor Support: Recordkeepers**
  - 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.
- **Advisor Support: Third Party Administrators**

- 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.

- **Convergence – 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. Entrants can Include record keepers, broker dealers, RIA and RPA aggregators, DC Investment only providers, fintechs and brokerage platforms.
  - 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.
- **Corporate Leader 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.

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.
- **Advisor Intelligence Platforms**
  - A new database initiative, product, program, platform, or enhancement to an existing platform/product/database that provides detailed insight and actionable information to help firms better target and focus their communication initiatives at the universe of financial advisors.
  - Initiatives can include areas such as new technology applications, practice management programs, marketing tools, advisor educational materials, thought leadership, new industry data, community, connections, resources and similar.
  - Criteria include both quantitative measures, such as specific feature set, usage, adoption, scope, scale, 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: Marketing and Lead Generation**
  - A new initiative, product, program, platform or enhancement to an existing platform/product built upon Artificial Intelligence capabilities to enhance marketing processes, drive client leads, coordinate campaigns, optimize closing rates as well as generate engaging content.
  - 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: Meeting Support**
  - A new initiative, product, program, platform or enhancement to an existing platform/product built upon Artificial Intelligence capabilities to streamline and optimize the entire client meeting process, from scheduling, prepping materials, capturing meeting notes, documenting action items, composing post-meeting communications, integrating with CRM, and more.
  - 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: Workflow Automation**
  - A new initiative, product, program, platform or enhancement to an existing platform/product built upon Artificial Intelligence capabilities to automate and streamline

various back-office processes, identify bottlenecks, provide business and operational analytics, as well as reporting, financial planning and portfolio construction, 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**
    - 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 chief executive officer (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.
- **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.
- **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.
- **Data Lakes/Warehouses**
    - A new initiative, product, program, platform or enhancement to an existing platform/product designed to standardize, optimize and store firm data for various operational, workflow automation and business intelligence capabilities.
    - 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.
- **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.
- **Outsourcing Platforms (Wealth as Service)**
  - A new initiative, product, program, platform or enhancement to an existing platform/product designed to provide a unified platform advisory firms can access on an outsourced basis and/or white label for CRM, financial planning, portfolio management, rebalancing, trading, risk scoring and more.
  - 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.
- **Partnership Development Executive of the Year**
  - An individual executive of a technology platform/custodian/broker dealer, charged with facilitating integrations with 3rd party technology applications as well as developing industry relationships with the technology ecosystem that supports advisors. This executive will have

demonstrated vision, creativity, integrity, leadership, communication skills, technology insight and high performance in broadening the usefulness and reach of their firm's platform over the past year.
    - Criteria include demonstrable impact on the business, the industry, and wealth management in general; external benchmarks such as business excellence, revenues, profitability, business growth, thought leadership content, community development, industry activism; as well as a strong track record of industry respect, notoriety and promoting diversity.
- **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.
- **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 Technology**
    - 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.
- **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, 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.

UNIVERSITY CFP PROGRAMS

- A new initiative, program or enhancement to an existing program that supports students in attaining the CFP designation and pursuing a career in wealth management.
- Initiatives can include areas such as new educational content, scholarships, mentorship programs, On the Job training, guest lecturer series, and similar.

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

VIDEO SERIES

- An ongoing series of educational content that provides actionable ideas to help advisors run better businesses, grow their firms and enhance the client experience they provide.
- Criteria include direct results such as number of views, ratings, viewer engagement, as well as subjective measures such as niche focus, production quality, creativity, entertainment levels, etc.