



Wealth Management.com

2019 Industry Awards

Nomination Categories/Subcategories with Criteria (total 97)

***New category for 2019**

401(k)–RETIREMENT PLAN SUPPORT 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.

ASSET MANAGERS

- **Alternatives**
 - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of alternatives.
 - 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.
- **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.
- **Corporate Social Responsibility/Diversity**
 - 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.
- **Equities**
 - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of equities.
 - 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.
- **ETF Strategists**
 - A new initiative or program, or an enhancement to an existing platform, that improves advisors' understanding, usage and portfolio management of ETF Strategists.
 - 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.**
- **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.
- **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.
- **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.
- **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.
- **Socially Responsible Investment (SRI)/Impact Investing**
 - A new initiative, product, program, platform or industry content that facilitates the advisors' use of SRI or social impact investing.
 - 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.
- **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 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/Diversity**
 - 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.
- **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.

- **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.
- **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 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/Diversity**
 - 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.
- **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.
- **Social Media Leadership**
 - A new initiative, program, or enhancement to an existing Transition platform that helps BDs 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 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.
- **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 (Emerging – Less than \$25B)

- **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/Diversity**
 - 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.
- **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.
- **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.
- **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.

CUSTODIANS (Established — \$25B and Over))

- **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/Diversity**
 - 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.

- **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.
- **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.
- **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.

HEDGE FUNDS/PRIVATE EQUITY

- A new initiative program, product, platform or industry content that facilitates advisors use of private placements/hedge funds/private equity funds.
- 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.

INDIVIDUAL RIA FIRM LEADERS

- **CEO 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.

- **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.
- **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

- **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.

NON-CUSTODIAL RIA SUPPORT PLATFORMS

- A new initiative, program or an enhancement to an existing platform than improves advisors understanding, usage and benefits from firms that provide RIA support services, financing, acquisition support, and similar platforms.
- Initiatives can include areas such as research tools, practice management programs, advisor support, service improvements, technology enhancements, 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.

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.

- **Blockchain/Cryptocurrency**

- A new initiative, product, program, platform or enhancement to an existing platform/product that integrates block chain technology or involves cryptocurrency.
- Initiatives can include areas such as new ways to process transactions via blockchain, ability to report and track cryptocurrencies, automate processes via blockchain, 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 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/Diversity**
 - 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.
- **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 Advisors (Robo)**
 - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors’ ability to automate investment management services to their clients.
 - Initiatives can include areas such as new cloud versions, mobile apps, workflow tools, integrations with other systems, electronic account opening, automated investment management, 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.
- **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.
- **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 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.
- **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.
- **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.
- **Wealth Reporting/Personal Finance Managers**
 - A new product or platform, or an enhancement to an existing product or platform, that enhances advisors' ability to track and report on client holdings.
 - Initiatives can include areas such as new cloud versions, aggregation improvements, 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.

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.