

Broker/Dealer – Thought Leadership Award

The Wealth Management Industry Award for Thought Leadership honors a new initiative, program, platform or industry content that will move the industry forward. Initiatives include areas such as diversity programs, women's initiatives, next generation of advisors, and succession planning solutions. Applications are submitted for the respective firms to be considered for the awards. Submissions are reviewed by a panel of independent judges with required industry experience, looking at the applicant's innovation, scope and impact. Firms do not pay a fee to be nominated or selected for this award.

Broker/Dealer – Practice Management Award

The Wealth Management Industry Award for Practice Management honors a new initiative, program, or enhancement to an existing platform that helps broker/dealer advisors manage a better business. Initiatives include various practice management areas such as marketing support, succession planning, benchmarking, and compliance. Applications are submitted for the respective firms to be considered for the awards. Submissions are reviewed by a panel of independent judges with required industry experience, looking at the applicant's innovation, scope and impact. Firms do not pay a fee to be nominated or selected for this award.

Corporate Social Responsibility for the Osaic Foundation

The Wealth Management Industry Award for Corporate Responsibility honors 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 education programs. Applications are submitted for the respective firms to be considered for the awards. Submissions are reviewed by a panel of independent judges with required industry experience, looking at the applicant's innovation, scope and impact. Firms do not pay a fee to be nominated or selected for this award.

Corporate Social Responsibility for the LIFE financial Literacy Pathways Program

The Wealth Management Industry Award for Corporate Responsibility honors 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 education programs. Applications are submitted for the respective firms to be considered for the awards. Submissions are reviewed by a panel of independent judges with required industry experience, looking at the applicant's innovation, scope and impact. Firms do not pay a fee to be nominated or selected for this award.

Affiliated Advisors > Advisor Support Platforms Category

The Wealth Management Industry Awards for Advisor Support Platforms honors 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 resources designed to provide scale, convenience and cost-savings to run better businesses. Initiatives includes areas such as new technology applications, practice management programs and marketing tools. Applications are submitted for the respective firms to be considered for the awards. Submissions are reviewed by

a panel of independent judges with required industry experience, looking at the applicant's innovation, scope and impact. Firms do not pay a fee to be nominated or selected for this award.

Riley Saunders > Individual RIA Firm Leaders – Rising Star Award

The Wealth Management Industry Awards for Individual RIA Firms – Rising Star of the Year honors a next generation individual advisor and/or executive of a financial advisory firm who has demonstrated vision, creativity, integrity and high performance in making an impact on their firm or industry in general. Criteria includes specific examples of leadership, initiatives driving change, thought leadership and industry activism. Applications are submitted for the respective firms to be considered for the awards. Submissions are reviewed by a panel of independent judges with required industry experience, looking at the applicant's innovation, scope and impact. Firms do not pay a fee to be nominated or selected for this award. Third-party rankings and recognitions are no guarantee of future investment success and do not ensure that a client or prospective client will experience a higher level of performance or results. These ratings should not be construed as an endorsement of the advisor by any client nor are they representative of any one client's evaluation.