WealthManagement.com 2021 Industry Awards Finalists

AWARD CATEGORY	COMPANY	INITIATIVE OR INDIVIDUAL
401(k) RETIREMENT PLAN SUPPORT		
Service	Cetera	Financial Wellness Program
	First Ascent Asset Management	401(k) Resource Program
	Income America	In-plan Guaranteed Lifetime Income Solution Provider
	Voya Financial	Just Right Advantage Program
401(k) RETIREMENT PLAN SUPPORT		
Technology	GGA Retirement	Employee/Advisors Engagement Tool
	Morningstar Investment Management LLC	Morningstar Plan Advantage
	Retirement Clearinghouse	401(k) Portability
	The E-Valuator	Software for Fiduciaries
ASSET MANAGERS		
Alternatives	Cohen & Steers	Infrastructure Marketing Campaign
	StepStone Conversus LLC	Private Markets for HNW Investors
Chief Executive Officer of the Year	ARK Invest	Cathie Wood
	Ethic	Doug Scott
	First Ascent Asset Management	Scott MacKillop
	Innovator Capital Management (Innovator ETFs)	Bruce Bond
	VanEck	Jan van Eck
Chief Marketing Officer of the Year	Milliman Financial Risk Management	Matt Kaufman
	Nuveen Investments	Marty Willis
Client Experience Initiative	Russell Investments	Advisor-Client Conversation Tools
	State Street Global Advisors	Using Behavioral Coaching to Build Investor Resilience
Corporate Social Responsibility	Bay Street Capital Holdings	Renewable Energy, Impact, DEI
	Chicago Capital	Chi-Cap in the Community
	Greenbacker Capital	The Pollinator Project
	Janus Henderson Investors	JA Titan
	Mondrian Investment Partners	Carbon Offsetting Initiative
	Natixis	Corporate Social Responsibility Programs
Digital Marketing Campaign of the Year	AberdeenStandard Investments	Precious Metals' Place in a Portfolio
	Cohen & Steers	Infrastructure Campaign
	Nationwide	A New Approach to Income Generation
	PGIM	New Economic Reality Educational Campaign
Diversity, Equity and Inclusion	Bailard	Bailard's 2020 Intern Program
	Carson Group	DE&I Initiative
	Fiduciary Trust International	Shareholder Engagement
	Goldman Sachs Ayco Personal Financial Management	Financial Wellness for Diverse Communities
	Hamilton Lane	Undergraduate Women's Private Equity Summit
	John Hancock	MLK Scholars Program
	Nationwide	The Financial Alliance for Racial Equity (FARE)
	Northern Trust Asset Management	Diversity, Equity and Inclusion Leadership
ETFs	Adasina Social Capital	Adasina Social Justice Public Equities ETF (JSTC)
	Defiance ETFs	SPAC ETF
	Innovator Capital Management (Innovator ETFs)	Defined Outcome ETFs
	Nationwide	Risk-Managed Income ETF
	NextFins, LLC	India Financial Services ETF (INDF)
	Simplify ETFs	New ETFs
	SoFi	Weekly Income ETF (TGIF)
	T. Rowe Price	Active (Shielded) ETFs
	VanEck	BUZZ Social Sentiment ETF
Fixed Income	Fidelity Investments	Bond Beacon
	Thornburg Investment Management	Fixed Income Platform
Model Marketplaces	Market Guard	Model Portfolio Platform
	Orion Advisor Solutions	Orion Communities
	Riskalyze	Riskalyze Partner Store Enhancements
	Strategy Marketplace	Tactical Robo Advisory TAMP Platform
New Product Development	Adhesion Wealth	Personal Indexes with ESG Overlay
	AlphaTrAI	Select Ai Fund
	American Portfolios Financial Services, Inc.	ThemeCatcher
	Hamilton Lane	Global Private Assets Fund (GPA)
	IndexIQ	Dual Impact "HART" ETF
	Janus Henderson Investors	AAA CLO ETF (JAAA) Product Launch
	QMA	PGIM Quant Select
	Simplify ETFs	New ETFs
	StepStone Conversus LLC	Conversus StepStone Private Markets Fund
Real Estate (including REITs)	Cohen & Steers	Pandemic Real Estate Impacts
	RealVantage	Real Estate Investor Platform
Separate Accounts	QMA	PGIM Quant Select
	SAM: Smartleaf Asset Management	Robo Subadvisory Rebalancing Service
	Wells Fargo Asset Management	Remi Customized SMA Platform
Social Media Leadership	Columbia Threadneedle	Back to Normal Index
	John Hancock Investment Management	Practice Management in a Virtual World
Socially Responsible Investing (SRI) / Impact Investing	Adasina Social Capital	Adasina Social Justice Public Equities ETF (JSTC)
	AXS Investments	AXS Sustainable Income Fund
	Bailard	Small Cap Value ESG Strategy
	Envestnet | PMC	Impact Investing Curriculum
	Ethic	Impact Reporting
	Guggenheim Investments	Guggenheim's Sustainability Quotient Research Studies
	SEI	Personalization and SRI for Passive Investing
	State Street Global Advisors	Into the Mainstream: A Turning Point for ESG
Thought Leadership Advisor Education Content	Cohen & Steers	2021 Education Campaign
	Columbia Threadneedle	Practice Management Content
	Fidelity Investments	Future Framework
	Fiduciary Trust Company	Timely Insights Campaign
	Guggenheim Investments	Pandemic Communication Program
	Invesco	Tackling Inequality through ESG and Active Ownership
	Transamerica	Women and Investing: Being There for Her
Thought Leadership Advisor Education Initiative	Black Creek Group	Real Estate University
	Carson Group	Framework Advisor Podcast
	Macquarie Asset Management	Sharpe Advisor
	Russell Investments	Advisor-Client Conversation Tools
Thought Leadership Product Enhancement	Hawthorn, PNC Family Wealth®	Thematic Investing at Hawthorn
	Morningstar Inc.	Analyst Ratings for Model Portfolios
	SpiderRock Advisors	Exchange Fund Replication
BROKER-DEALERS (All)		
Chief Marketing Officer of the Year	Cetera	Michael Zuna
	Commonwealth Financial Network	Brian Sullivan
	Oppenheimer & Co. Inc.	Joan Khoury
	Raymond James	Lisa Turley
Chief Technology Officer of the Year	Advisor Group	Ed Obuchowski
	Cambridge Investment Research, Inc.	Nick Graham
Corporate Social Responsibility	American Portfolios Financial Services, Inc.	AP for LIFE Creative Residency
	Cetera	Cetera Diversity in Financial Planning Scholarship
	Parkland Securities, LLC	Support4Vets
Diversity, Equity and Inclusion	Janney Montgomery Scott	Mentors Through Allyship Program
	Raymond James	Virtual Advisor Inclusion Network Symposiums
	Raymond James	Advisor Inclusion Network Coaching Programs
Social Media Leadership	PEAK Reps LLC	Digital Partnership Program
	Raymond James	Integrated Digital Client Connections
Technology	Commonwealth Financial Network	Commonwealth Connect
	Independent Financial Group, LLC	RightPay Add-on for RightCapital
	Interactive Brokers	ESG Investing Dashboard
	LPL Financial	Firm Sleeve
	Merrill, a Bank of America Company	The Client Engagement Workstation
	Morgan Stanley Wealth Management | Investment Solutions	Goals Planning System
Thought Leadership	Edward Jones	The Four Pillars of the New Retirement Thought Leadership Study
	Prospera Financial Services	Executive Leadership Program
	Raymond James	Making Virtual Valuable
	TIAA	In Balance Content Program
Transition Support	Advisor Group	Continuity Coverage and Acquisitions Program
	Atria Wealth Solutions	New Account Opening
	Commonwealth Financial Network	Business Consulting Services
	Independent Financial Group, LLC	Electronic Signature
BROKER-DEALERS (1,000 Advisors or More)		
Chief Executive Officer of the Year	Advisor Group	Jamie Price
	Cetera	Adam Antoniades
	LPL Financial	Dan Arnold
Digital Marketing Campaign of the Year	Cetera	Advisor Resiliency and Growth
	Raymond James	Live Your Life Digital Marketing Campaign
Practice Management	Advisor Group	My Mentor Connect
	Commonwealth Financial Network	Business Consulting Services
Service	LPL Financial	Digital Service Experience
	Raymond James	Comprehensive Onboarding
BROKER–DEALERS (Fewer Than 1,000 Advisors)		
Chief Executive Officer of the Year	American Portfolios Financial Services, Inc.	Lon T. Dolber
	Sigma Financial Corporation	Jerry Rydell
Digital Marketing Campaign of the Year	Parkland Securities, LLC	Content Channel
	TIAA	Perspectives for Uncertain Times
Practice Management	Independent Financial Group, LLC	Business Mastery Exchange
	Janney Montgomery Scott	Virtual Regional Events Initiative
	PEAK Reps LLC	Digital Partnership Program
COMPLIANCE/LAW FIRMS		
	Essential Edge Compliance Outsourcing Services	Pandemic Remote Branch Reviews
	Hamburger Law Firm	Integrated Transition Intelligence
	MarketCounsel Consulting	COVID-19 Response Campaign
CUSTODIANS		
Diversity, Equity and Inclusion	Apex Clearing Corporation	Fintech in Action
	Nationwide	The Financial Alliance For Racial Equity
	Schwab Advisor Services	RIA Talent Advantage Scholarship Program
Thought Leadership	Apex Clearing Corporation	Next investor Outlook
	BNY Mellon Wealth Management	Charitable Gift Report
	Fidelity Investments	Future Framework
	Schwab Advisor Services	Talent Resource Center
Transition Support	BNY Mellon | Pershing	Virtual Client Transitions
	Fiduciary Trust Company	Digital Custody Account Transitioning
	LPL Financial	Strategic Wealth Services
CUSTODIANS (Established - $25B and Over)		
Practice Management	BNY Mellon | Pershing	Driving Growth Through Multigenerational Relationships
	Schwab Advisor Services	Virtual Practice Management
Technology	Apex Clearing Corporation	Apex Extend
	BNY Mellon Wealth Management	AdvicePath
	Fidelity investments	Managed Account Xchange
	TradePMR	Model Sleeve Trading
DISRUPTORS		
Industry	Blue Tractor	Long/short Semi-transparent ETF
	Envestnet, Inc.	Financial Wellness Ecosystem
	FA Match	Reinventing Advisor Recruiting
Technology	First Rate, Inc.	Aritficial intelligence Engine
	Freeman Capital	Automated Wealth Building Platform
	Inveniam Capital Partners, Inc.	Valuation as a Service
	Merrill, a Bank of America Company	Redefining Wealth Planning
	tZERO Group, Inc.	Alternative Trading Systems Digital Securities Integrations
	Uncommon Giving	Workplace Platform
	Vise	AI-Powered Investment Management Platform
FAMILY OFFICES		
Client Initiative	AdvicePeriod	CFO Services
	Arnerich Massena, Inc.	Philanthropic Advisory Service
	Fidelity Investments	Connecting Female Executives
	Hawthorn, PNC Family Wealth®	Hawthorn Institute for Family Success
	Key Family Wealth/Key Private Bank	Business Advisory Services
	Northern Trust Company	Anchor Analytics
Thought Leadership	Boston Private	Risk Management Insights
	Mercer Advisors	2030 Agenda for Sustainable Development Initiative
HEDGE FUNDS/PRIVATE EQUITY		
	Coast Capital Management, LLC	Active ESG Fund
	GoldenTree Asset Management	Credit Market Highlights
	StepStone Conversus LLC	Conversus StepStone Private Markets Fund
	Township Capital	CRE Investing Platform
INDIVIDUAL RIA FIRM LEADERS		
Chief Executive Officer of the Year	Aspiriant	Rob Francais
	Beacon Pointe	Shannon Eusey
	Edelman Financial Engines	Larry Raffone
	Hightower Advisors	Bob Oros
	Integrated Partners	Paul Saganey
	Sanctuary Wealth	Jim Dickson
	SignatureFD	Heather Robertson
	Wealth Enhancement Group	Jeff Dekko
Chief Marketing Officer of the Year	Beacon Pointe	Allison Warner
	Mercer Advisors	Karen Lee
	SignatureFD	Crystal Cooper Mathis
Chief Technology Officer of the Year	Beacon Pointe	David Le
	Edelman Financial Engines	Hamesh Chawla
	Robertson Stephens	Vikram Chugh
Innovator of the Year	Adhesion Wealth	Barrett Ayers, President
	Mercer Global Advisors	Donald Calcagni, Chief Investment Officer
	Thrivent Advisor Network	Luke Winskowski, Head of Thrivent Advisor Network
M&A Leader of the Year	Beacon Pointe	Matthew Cooper, President
	Hightower Advisors	Scott Holsopple, Chief Growth Officer
	Wealth Enhancement Group	Jeff Dekko, CEO
Thought Leader of the Year	Bailard	Blaine Townsend, Director
	Carson Group	Jamie Hopkins, Managing Director, Carson Coaching
	Edelman Financial Engines	Ric Edelman, Founder
	Hightower Advisors	Stephanie Link, Chief Investment Strategist
	Journey Strategic Wealth, LLC & Thrivos Consulting LLC	Penny Phillips, Co-founder and President
	Keel Point	Dr. Steven Skancke, Chief Economic Advisor
	Mercer Advisors	Jeremiah Barlow, Head of Family Wealth Services
	VZD Capital Management, LLC	Ethel J. Davis, CEO, Executive Mentoring
INDUSTRY RESEARCH PROVIDERS		
	Advisor Growth Strategies	The RIA Deal Room
	CFRA	European and Asian ETF Coverage
	ECHELON Partners	Deals & Dealmakers Webcast Series
	Foundation Source	COVID 19 Survey
	PwC	Site Intelligence Platform
INSURANCE		
Service	Allianz Life Insurance Company of North America	The Conversations That Matter Project
	DPL Financial Partners	Commission-free Fixed Index Annuity with Health-Activated Income Multiplier
	Marsh McLennan Agency Private Client Services (formerly known as Marsh Private Client Services)	Family Office Benchmarking Study
	Nassau Financial Group	"That Annuity Show" Podcast
Technology	Agency Revolution	Website Accessibility for All
	Envestnet, Inc.	Envestnet Insurance Exchange
	RetireOne	RIA Annuity Back Office Data Integrations
INVESTMENT BANKS/LENDERS/SUCCESSION PLANNING CONSULTANTS		
	DeVoe & Company	Accelerator Program
	LendingWell	Advisor Financing Technology Portal
MARKETING | PR FIRMS		
Digital Campaign of the Year	BackBay Communications	Guiding Fiduciary Trust Company Clients Through the Pandemic
	FiComm Partners	The New Skool Podcast
	Impact Communications, Inc.	The Conversations That Matter Project
	JConnelly	Invest in Others Awards Virtual Campaign
	Snappy Kraken	Social Security Digital Prospecting Series
	Three Crowns Copywriting and Marketing	Riskalyze Campaign
PR Campaign of the Year	Haven Tower Group	Gerber Kawasaki Diversity & Inclusion Campaign
	Lowe Group	How to Invest in a Better World: US SIF's Report
NON-CUSTODIAL RIA SUPPORT PLATFORMS		
	Dynasty Financial Partners	OCFO Dashboard 2.0
	Hightower Advisors	The Hightower Center for Leadership
	RFG Advisory	Become a Warrior Advisor Podcast & Support Program
SUCCESSION/OWNERSHIP TRANSITION SERVICES – NON-CUSTODIAN/BROKER-DEALER		
	Advisor Legacy	Max Value Predictor
	Elite Consulting Partners	Dual Monetization Strategy
TAMPs		
Model Marketplaces	Adhesion Wealth	Manager Exchange
	Market Guard	Model Portfolio Platform
	Strategy Marketplace	Tactical Robo Advisory TAMP Platform
TAMPs	Amplify Technology, LLC	Multi-Custodial Client Onboarding Module
	AssetMark	Institutional Channel
	Envestnet, Inc.	Financial Wellness as a Service
	Orion Advisor Solutions	Brinker Capital Merger
TECHNOLOGY PROVIDERS		
Account Aggregation	eMoney Advisor, LLC	API Strategy
	First Rate, Inc.	AI Data Aggregation
	Morningstar Inc	ByAllAccounts Personal Financial Management Tools
	Zabo	Cryptocurrency Portfolio Dashboard for Financial Advisors
Alternative Investment Platforms	ALTSMARK	Private Markets Platform
	CAIS	Enhanced Platform
	iCapital Network	AltsEdge Advisor Education Program
	InvestX	Private Equity Marketplace for Pre-IPO Giants
	Oxane Partners	Portfolio Management for Alternative Credit
	REINNO	Fractional Real Estate Investing
	WealthForge	Altigo: Alternative Investments in Good Order
Artificial Intelligence	Aidentified LLC	Relationship Intelligence Platform
	benjamin technology, Inc.	AI Business Support System
	Canoe Intelligence	AI Solution
	First Rate, Inc.	AI-Driven Innovation Solutions
	Magnifi	Semantic Search Investment Platform
	New Constructs, LLC	Robo-Analyst
	Vestorly	Curated Content Platform
Blockchain / Cryptocurrency	AdvisorPeak	Digital Asset Trading Solution
	Capitect	Coinbase integration
	Eaglebrook Advisors	Bitcoin SMAs
	REINNO	Investing in Real Estate with Cryptocurrency
	Zabo	Cryptocurrency Portfolio Dashboard for Financial Advisors
Business Support Systems | Workflow Automation	benjamin technology, Inc.	AI Business Support System
	Bill.com	Wealth Management Bill Paying Services
	Canoe Intelligence	Workflow Automation
	eMoney Advisor, LLC	API Strategy
	Panoramix Financial	Asynchronous Processing
	Pulse360	Meeting Documentation Workflow Software
	SigFig	CoPilot
	Skience	Advisor Transitions Solution
Chief Executive Officer of the Year	Apex Clearing Corporation	Bill Capuzzi
	Broadridge	Mike Alexander
	Envestnet, Inc.	Bill Crager
	InvestCloud	John Wise
	Orion Advisor Solutions	Eric Clarke
	Riskalyze	Aaron Klein
	SMArtX Advisory Solutions	Evan Rapoport
	The TIFIN Group	Dr. Vinay Nair
	Vestmark	John Lunny
Chief Marketing Officer of the Year	Advicent	Anthony "Tony" Stich
	eMoney Advisor, LLC	Susan McKenna
	Riskalyze	Justin Boatman
	SMArtX Advisory Solutions	Alex Smith-Ryand
	The TIFIN Group	Niharika Shah
Chief Technology Officer of the Year	Dynasty Financial Partners	Eric Castillo
	First Rate, Inc.	Bo McWilliams
	Orion Advisor Solutions	Mustapha Baassiri
	Vestmark	Heeren Pathak
Client Onboarding / New Account Opening	Advyzon	Prospect Portal and Fact Finder
	BNY Mellon | Pershing	Client Onboarding Tool
	PreciseFP	Enhanced Onboarding Platform
	SIGNiX	FlexAPI
Client Portals	Black Diamond Wealth Platform	Client View
	d1g1t	Client Mobile App
	FactSet	Digital Portals and Widgets Library
	Morningstar Inc	ByAllAccounts Financial Management Tools
	Orion Advisor Solutions	One Portal Project
Compliance	AdvicePay	Financial Plan Deliverables
	CellTrust Corporation	SL2 Mobile-First Capture
	Hearsay Systems	Snapshot
	InvestorCOM Inc.	Best Interest Recommendations Application
	Morningstar, Inc.	Regulation Best Interest Solutions
	RIA in a Box	MyRIACompliance Enhancements
	Smarsh	Connected Suite Enhancements
Corporate Social Responsibility	Panoramix Financial	ScopeX Green House Gas Emissions Analysis
	Uncommon Giving	Workplace Platform
CRM	InvestCloud	Enhanced CRM
	Practifi	Role-Based Apps
	Redtail Technology	CRM Integrations
	SS&C Salentica	CRM Enhancements and Integrations
Digital Advisors (Robo)	InvestCloud	InvestCloud's Digital Advice Builder
	Marstone, Inc.	Platform Enhancements
	Strategy Marketplace	Tactical Robo Advisory TAMP Platform
Diversity, Equity and Inclusion	Asset-Map	Diversity and Inclusion Efforts Initiative
	Dynasty Financial Partners	The Dynasty Women's Network (DWN)
	FMG Suite	Human Rights Campaign
	Freeman Capital	Wealth for All
	XY Planning Network	Virtual Internship Program
Document Management	Canoe Intelligence	Document Management Solution
	Laserfiche	Direct Share
	Panoramix Financial	Document Management Suite
	Vanilla	Vanilla Documents
Financial Planning	Asset-Map	User Experience
	eMoney Advisor, LLC	Collaborate Planning Services
	Envestnet | MoneyGuide	New Tools and Features
	InvestCloud	Behavioral Science
Innovation New Applications	Black Diamond Wealth Platform	Client View
	eMoney Advisor, LLC	Incentive
	Helios Integrated Planning	Estate Planning Platform for Financial Advisors
	Income Discovery	Holistic Retirement Income Disbursal Capability
	Morningstar Inc	Morningstar for Advisors Mobile App
	Practifi	Role-Based Apps
	Snappy Kraken	Text Message Marketing Application
Innovation Platforms	Envestnet, Inc.	Recommendations Engine
	Fidelity Investments	ESG Pro
	FIS	Unity's Advanced Analytics Module
	Goldman Sachs Private Bank	Securities Based Lending
	Jacobi	Workflow Apps
	Marstone, Inc.	Platform Enhancements
	Morgan Stanley	WealthDesk Field Engagement and Adoption
	Supernova TechnologyTM	Securities-Based Lending Platform
	YCharts	Custom Securities Tool
Marketing Automation	Clout	Growth Marketing
	eMoney Advisor, LLC	Bamboo
	Idea Decanter	Remote Video Marketing Program for FAs
	Snappy Kraken	The Cold to Gold Framework
Model Marketplaces	Adhesion Wealth	Manager Exchange
	Charles River Development	Wealth Hub
	Proteus LLC	Alternative Investment Model Portfolios
Portfolio Analytics	ALTSMARK	Quantitative and Operational Risk Analytics
	Andes Wealth Technologies	Visualizing Deep Analytics
	FactSet	Advisor Dashboard
	Magnifi	Semantic Search Investment Platform
	New Constructs, LLC	Self-Directed Portfolio Construction
	Zabo	Cryptocurrency Portfolio Dashboard for Financial Advisors
Portfolio Management, Accounting and Performance Reporting	AssetMark	AssetMark's PortfolioReview Tool for Advisors in Virtual Age
	First Rate, Inc.	Client Reporting Solution
	Interactive Brokers	ESG Investing Dashboard
	Morningstar, Inc.	Morningstar Office with Goal Bridge
	Northern Trust Company	Anchor Analytics
Real Estate	Cadre	Direct Access Fund
	RealVantage	Real Estate Co-Investment Platform
	REINNO	Commercial Real Estate Investing
Rebalancing	AdvisorPeak	Digital Asset Trading Solution
	Just Invest	Tax-Smart Multi-Account Rebalancing with Asset Location
	Rowboat Advisors, Inc.	Tax-Efficient Automated SMA Investing
	SS&C Advent	Advent Genesis
	Vestmark	Platform Enhancements
Risk Tolerance / Client Profiling	Andes Wealth Technologies	Holistic Risk Tolerance and Client Profiling
	CyborgTech LLC	Client Profiling and Loss Simulation
	Positivly	Personalized Planning Platform
Social Media Leadership	Cobutler	Social Media Calendar
	Seismic	Seismic LiveSocial
	Snappy Kraken	Advisor Marketing Research Report
Specialized Planning Applications	Asset-Map	Property and Casualty Insurance
	Income Discovery	Holistic Retirement Income Disbursal Capability
	IncomeConductor	Retirement Income Technology
Thought Leadership	Apex Clearing Corporation	Next Investor Outlook
	CAIS	Education Learning System
	Envestnet, Inc.	The Big Reveal Podcast Series
	Laserfiche	Digital Transformation eBook
	Lifeworks Advisors	The Future of Advice™ Video Podcast
	Panoramix Financial	Spotlight Video Series
	Whealthcare Planning	The Realities, Opportunities, and Risks Associated With Diminished Capacity
Unified (All-In-One) Systems	Advisor360°	Unified Data Fabric™
	CircleBlack	Enhanced Investor App and Portal
	FIS	Unity Unified Experience
	Morgan Stanley	WealthDesk Field Engagement and Adoption
	MyVest	Strategic Portfolio System
	Orion Advisor Solutions	Integrated Advisor Portal
	Vestmark	Platform Enhancements
Wealth Reporting / Personal Finance Managers	Addepar	Optimizing Capital Allocation
	BNY Mellon | Albridge	Insights Report Designer
	Wealth Access, Inc.	Enterprise-Wide PFM