WM Industry Awards

WealthManagement.com 2023 Industry Awards Finalists/Honorees

AWARD CATEGORY	COMPANY	INITIATIVE OR INDIVIDUAL
ADVISOR SUPPORT PLATFORMS		
Office of Supervisory Jurisdiction (OSJs)	Affiliated Advisors	Thought Leadership Program
	Pilot Financial	Succession Planning Enablement
Registered Investment Advisors (RIAs)	Bluespring Wealth Partners	Blueprint for Growth
	Carson Group	Marketing Monitor
	Carson Group	Women in Wealth Management
	Dynasty Financial Partners	Transition to Independence
	Hightower Advisors	Value-Added Serrvices
	Private Advisor Group	Advisor Alignment & Equity Program
	RFG Advisory	Transition Playbook
ASSET MANAGERS		
Alternative Investments	AllianceBernstein – Bernstein Private Wealth Management	Risk Mitigation
	AXS Investments	The Innovation Trade
	CrowdStreet Advisors	CrowdStreet Advisors
	Eaglebrook Advisors	Franklin Templeton Crypto SMAs
	Franklin Templeton	Alternatives Education Program
	Hamilton Lane	SCOPE
	KraneShares	Mount Lucas Managed Futures Index Strategy ETF
	StepStone Private Wealth	SPRING Venture Capital and Growth Equity
	+SUBSCRIBE	Unified Alternative Investments Platform
	Unlimited Funds	Index Replication ETF
Charitable Giving/Donor Advised Funds	Fiduciary Trust Company	Philanthropic Program
	Schwab Charitable	Partnerships with a Purpose
Chief Executive Officer of the Year	Allspring Global Investments	Joseph "Joe" Sullivan
	AXS Investments	Greg Bassuk
	First Ascent Asset Management	Scott MacKillop
	Karner Blue Capital	Vicki Benjamin
	Vert Asset Management	Samuel Adams
	Wilmington Trust	Doris Meister
Chief Marketing Officer of the Year	Cambiar Investors	John Le
	Nuveen Investments	Tara Guiliano
	Prosperity Capital Advisors	Matt Seitz
Client Experience Initiative	FS Investments	Thrive
	J.P. Morgan	Casey Virtual Analyst
	Wilmington Trust	Emerald GEMs Podcast
Digital Marketing Campaign of the Year	Cohen & Steers	Real Assets Campaign
	FS Investments	Break-up Letter to the 60/40
	Hamilton Lane	Market Overview
	Natixis Investment Managers	Yield is Back in Bond Markets
Direct Indexing	Natixis Investment Managers	Direct Indexing Education
	Neuberger Berman	New Direct Indexing Strategies
	Parametric	Short-term Reversal Factor
Diversity, Equity and Inclusion	Bay Street Capital Holdings	Resthaven Properties
	Nationwide Financial - Retirement Institute	Diverse Market Program
Environmental, Social and Governance (ESG) Investing	Fiduciary Trust International	International Shareholder Engatement
	GoldenTree Asset Management	Tailored Approach to ESG
	Hamilton Lane	Sustainability Report
	Karner Blue Capital	Biodiversity Impact Strategy
	TOBAM	Anti-Benchmark Civil and Democratic Rights-Focused Strategy
	Vert Asset Management	Build It Bootcamps
ETFs	American Century Investments	Tax Planning Tool
	AXS Investments	ETF Market Entrance
	F/m Investments	US Treasury ETFs
	Innovator ETFs	Premium Income Barrier ETFs
	KraneShares	Enhanced Income Generating ETFs
	NightShares	Night Shares ETFs
	Unlimited Funds	Index Replication ETF
Fixed Income	Fidelity Investments	Bond Beacon
	PIMCO	Model Portfolios
	Rockefeller Asset Management	Differentiate Active Management
	VanEck	CLO ETF
Goals-based Investment Platforms	Franklin Templeton	Wealth Splitter
	Nebo by GMO	Nebo Pro
New Product Development	AXS Investments	ETF Market Entrance
	DLP Capital	Building Communities Fund
	Eaglebrook Advisors	Franklin Templeton Crypto SMAs
	flexPATH Strategies	CIT Portfolio Expansion
	Kestra Investment Management	Model Portfolio Series
	NightShares	Night Shares ETFs
	Sagona Capital	Venture Capital Secured Program
	TrueShares ETFs	Eagle Global Renewable Energy Income ETF
	VanEck	ETF Product Enhancements
	WisdomTree	Portfolio and Growth Solutions
Thought Leadership Advisor Education	BlackRock	Emerging Leader Lab
	CION Investments	Advsor Lab Podcast
	FlexShares Exchange Traded Funds (Managed by Northern Trust)	New Rules in Growing Wallet Share Program
	Janus Henderson Investors	Lessons in Behavioral Finance
	Kestra Investment Management	Markets in a Minute Newsletter
	KraneShares	US China Diplomatic Series
	SpiderRock Advisors	Volatility as an Asset Class
	Voya Financial	Hire Thru Retire Podcast
Thought Leadership Product Enhancement	J.P. Morgan	Catalog Personalization
	NightShares	Night Effect Tools
	VanEck	Advisor Education Campaign
BROKER-DEALERS (1,000 Advisors or More)		
Chief Executive Officer of the Year	Advisor Group	Jamie Price
	Concorde Investment Services	Drew Jackson
Chief Technology Officer of the Year	LPL Financial	Greg Gates
	Merrill Wealth Management	Casey Franz
	Raymond James	Vin Campagnoli
Digital Marketing Campaign of the Year	Cambridge Investment Research	Something Wonderful Campaign
	Voya Financial	Hire Thru Retire Podcast
Diversity, Equity and Inclusion	American Portfolios Financial Services	Creative Entrepreneurs in Ferguson, MO
	Cambridge Investment Research	Appreciating Diversity Series
	Cetera Financial Group	Connect2Impact Video Series
	Cetera Financial Group	Courageous Conversations
	Lincoln Financial Network	LincAble Program
	LPL Financial	Advisor Institute
	LPL Financial	Emerging Leaders Program (ELP)
	Stifel Independent Advisors	Growth Program
Practice Management	Cambridge Investment Research	RPM Program
	Cetera Financial Group	Growth360
	Commonwealth Financial Network	Entrepreneurial Capital Program
	Kestra Financial	Peer Perspectives Program
	LPL Financial	Partial Book Sales
	Raymond James	STEER Program
Service	Advisor Group	Operation Council and Experience Dashboard
	Atria Wealth Solutions	TeamAssist Program
	Avantax Wealth Management	Service-led Organization
	Commonwealth Financial Network	NextGen Business Development Program
	Kestra Financial	Paraplanning Services
	LPL Financial	Tax Planning, Research and Scenario Analysis
	Raymond James	Private Wealth Advisor Program
Technology	J.P. Morgan Wealth Management	Wealth Plan
	Merrill Wealth Management	Collaborative Onboarding Experience (COBE)
	Morgan Stanley	Fractional Share Functionality
	Morgan Stanley	Directed Share Program
	Raymond James	Tech Savvy
	TradeStation	Trading Platforms
Thought Leadership	Advisor Group	W Forum
	Cambridge Investment Research	Let's Talk Podcast
	Cetera Financial Group	Fed Monitor Dashboard and Fed-O-Meter
Transition Support	Cetera Financial Group	Accesslink
	Kestra Financial	Onboarding Reimagined
	Prudential Financial	Transition and Transformation Program
BROKER-DEALERS (Fewer Than 1,000 Advisors)		
Chief Executive Officer of the Year	Arkadios Capital	David Millican
	Midwestern Securities Trading Company	Michael Graham
Digital Marketing Campaign of the Year	Bernstein Private Wealth Management	Seize the Moment Campaign
	Concorde Investment Services	Financial Representative Recruitment
	Prospera Financial Services	Success Your Way
Diversity, Equity and Inclusion	Janney Montgomery Scott	FACT Program
	Prospera Financial Services	BRIDGE Mentorship Program
	Sigma Financial Corporation	Nova Women's Collective
Practice Management	Hornor, Townsend & Kent	Fee-based Financial Planning Program
	Regal Financial Group	Increase Your Quality of Life Program
	Sigma Financial Corporation	Endeavor Planning Community
Service	Prospera Financial Services	Virtual Service Associate Program
	Sigma Financial Corporation	EducationHub
Technology	Bernstein Private Wealth Management	Sanford the Chatbot
	Copper Financial	Guided Investing Solution for Credit Unions
	Janney Montgomery Scott	Secure Client Portal
Transition Support	Janney Montgomery Scott	Transition Video Campaign
	Sigma Financial Corporation	LaunchPad Onboarding Experience
COMPLIANCE/LAW FIRMS		
	Kupfer & Associates	DealQuest Podcast
	MarketCounsel Consulting	MARK by MarketCounsel
CORPORATE SOCIAL RESPONSIBILITY		
	Allworth Financial	Kids Program
	Cambridge Investment Research	Little Achievers Center
	Cetera Financial Group	Caring Cetera
	Janney Montgomery Scott	DEI Event Support
	John Hancock Investment Management	Women, Wealth and Wisdom Campaign
	Thrivent Advisor Network	"Building Businesses for Good" Initiative
	TrueShares ETFs	Patriot ETF
CUSTODIANS		
Practice Management	BNY Mellon | Pershing	Next Leadership Forum
	Fidelity Investments	Client Insight Tool
Technology	Altruist	The Modern Custodian
	Apex Fintech Solutions	Onboarding Edge
	Equity Advisor Solutions	Alternative Assets Solution
Thought Leadership	Apex Fintech Solutions	FDIC Sweep Program and Education
	Fidelity Investments	Young Investor Toolkit
DISRUPTORS		
Industry	Advisor Circle	Future Proof
	BridgeFT	WealthTech as a Service Platform
	Merrill Wealth Management	Collaborative Onboarding Experience (COBE)
Technology	Altruist	Vertically Integrated Custodian
	Amplify Reviews	Compliant Online Reviews
	BridgeFT	WealthTech API
	Daffy.org	Daffy for Families
	DFD Partners	AI-based Distribution Platform
	Guardian Mineral Management & Consulting	Specialty Asset Software System
	Morgan Stanley	Genome
	Orion Advisor Solutions	Data Accessibility, Delivery and Transparency
FAMILY OFFICES		
Client Initiative	Bank of America Private Bank	Family Office of the Future
	Key Family Wealth	Family Governance Framework
	Wilmington Trust	Emerald Family Office and Advisory Services
Thought Leadership	Family Office Real Estate Institute	Family Office Real Estate Institute
	Key Private Bank	Enhancements for UHNW Clients
	Morgan Stanley Family Office Resources	Family Legacy and Governance Institute
	NewEdge Wealth	Women Leadership Showcase
	Rockefeller Global Family Office	Excellence in Wealth Management Leadership
	Wilmington Trust	Emerald GEMs Podcast
INDIVIDUAL RIA FIRM LEADERS		
Chief Executive Officer of the Year	Allworth Financial	Scott Hanson
	Aspiriant	Rob Francais
	Bailard	Sonya Mughal
	Integrated Partners	Paul Saganey
	Merit Financial Advisors	Rick Kent
	NewEdge Wealth	Rob Sechan
	SignatureFD	Heather Robertson Fortner
	SteelPeak Wealth	Reza Zamani
	The Colony Group	Michael J. Nathanson
	Verdence Capital Advisors	Leo Kelly
	Wealthcare Capital Management	Matt Regan
Chief Marketing Officer of the Year	Allworth Financial	Brad Boekestein
	Aspiriant	Cammie Doder
	Choreo	Marissa Fox-Foley
	Mercer Advisors	Gary Foodim
	Robertson Stephens	Louis Calabrese III
	The Colony Group	Stephanie Goldstein
Chief Technology Officer of the Year	Cresset	Paul Algreen
	Mercer Advisors	Christine Cataldo
	Merit Financial Advisors	JP Pattinson
	Robertson Stephens	Vikram Chugh
Innovator of the Year	Carson Group	Mary Kate Gulick, Senior Vice President, Advisor Marketing
	Mercer Advisors	Jeremiah Barlow, Head of Family Wealth Services
	NewEdge Advisors	Alex Goss, Co-Founder and Co-CEO
M&A Leader of the Year	Allworth Financial	Pat McClain, Co-Founder and Senior Partner
	Carson Group	Jamie Hopkins, Managing Partner of Wealth Solutions
	MAI Capital Management	Jim Kacic, President, M&A and Shared Services
	Mercer Advisors	Dave Barton, Vice-Chairman and Head of M&A
	Merit Financial Advisors	Kay Lynn Mayhue, President
	Prime Capital Investment Advisors	Glenn Spencer, Chief Executive Officer
	The Colony Group	Zinovy Iosovich, President and Chief Services Officer
Rising Star of the Year Honorees	49 Financial	Kristian Mtetwa, Vice President
	CAPTRUST	Marcus Magyar, Vice President and Financial Advisor
	Carson Group	Smantha Allen
	Crescent Grove Advisors	Andrew Krei, Co-Chief Investment Officer
	Ellevate Advisors	Brooklyn Brock, Founder
	Hoskin Capital	Nate Hoskin, Founder
	Integrated Partners	Andree Mohr, Chief Implementation Officer
	Mercer Advisors	Jennifer Baick, Senior Director, Financial Planning Group
	NewEdge Advisors	Alex Goss, Co-Founder and Co-CEO
	Signature Estate & Investment Advisors	Hayley Wood Bates, Financial Advisor
	Snowden Lane Partners	Alison Burkett, Senior Partner, Managing Director, and Head of Enterprise Development
	Thrive Financial Services	Erik Schuster, Financial Advisor
	Ullmann Wealth Partners	Caitlin Frederick, Director of Financial Planning
Thought Leader of the Year	Blue Chip Partners	Dan Seder, Managing Partner
	Carson Group	Erin Wood, Senior Vice President of Financial Planning
	Hoskin Capital	Nate Hoskin, Founder and Lead Advisor
	Intrepid Wealth Partners	Derek N.H. Notman, Founder and CEO
	Joule Financial, A Bluespring Wealth Partner	Quint Tatro, Managing Director and Chief Investment Officer
	Mercer Advisors	Martine Lellis, Chief Talent and Administrative Officer
	Transitus Wealth Partners	Ross Marino, CEO
INDUSTRY RESEARCH PROVIDERS		
	The American College of Financial Services	RIA Growth and Specialized Knowledge Survey
	The American College of Financial Services	Trust in Financial Services Study
	VettaFi	Research innovation
INSURANCE		
	Global Atlantic Financial Group	Your Thriving Practice
	Jackson National Life Insurance	Advanced Planning Team
	Modern Life	Insurance Experience Transformation
	Nassau Financial Group	Living Longer and Living Better
MARKETING | PR FIRMS		
Digital Campaign of the Year	FiComm Partners	End-to-End Podcasting Solution
	Intention.ly	2-day Masterclass
	Three Crowns Copywriting & Marketing	The Holistiplan 10K Challenge
PR Campaign of the Year	FiComm Partners	SEC Marketing Rule Update
	Haven Tower Group	Quad A
	Keramas	Defined Outcome ETFs
	Lyceus Group	F/m Investments Suite of ETFs
RETIREMENT INCOME		
	Allianz Life	Advisory Solutions
	RISA	Retirement Income Planning
	TruStage	Secure Future Program
RETIREMENT PLAN SUPPORT AND ADVISOR SERVICES		
401(k) Service	Candidly	Student Loan Retirement Match Program
	intellicents	Worksite Financial Planning Program
	LeafHouse	InvestGrade
	Morningstar Investment Management	Personal Target-date Funds
	Pontera	Professional 401(k) Management
	Wise Rhino Group	Enterprise Value Education
401(k)Technology	BidMoni	Retirement Plan Marketplace
	Candidly	Student Loan Retirement Match Program
	Fidelity Investments	Goal Booster and Emergency Savings
	LeafHouse	reallocateIT API-based Software
	Pontera	Professional 401(k) Management
	RPAG	Rollover Analyzer
Aggregators > CEO of the Year	Marsh McLennan Agency	Craig Reid
	RPAG	Vince Giovinazzo
	SageView Advisory Group	Randy Long
	Strategic Retirement Partners	Jeff Cullen
Broker-Dealers - Wealth and Retirement Integration	Advisor Group	Generation (k)ultivate
	Cambridge Investment Research	RPA Program
	Morgan Stanley	Corporate Retirement Portal
	UBS	Central Sales and Service Model
DCIO Providers > Advisor Value Added Programs	Franklin Templeton	Voice of the American Worker Program
	Putnam Investments	DCIO Visualizer Suite
	Stadion Money Management	Managed Accounts Insights Series
In-plan Retirement Income - Product or Service	Allianz Life	Lifetime Income+
	Annexus Retirement Solutions	ARDX Platform
	Edelman Financial Engines	Income Beyond Retirement
	Income America	Protected Retirement Service
	PensionPlus	Personalized Retirement Income Service
Record Keepers > Retirement Plan Advisor Support	John Hancock	Prospect Finder
	John Hancock	Helping with SECURE Act 2.0
	Nationwide	Capital Cost Comparison Calculator
SUCCESSION/OWNERSHIP TRANSITION SERVICES – NON-CUSTODIAN/BROKER-DEALER		
	DeVoe & Company	Valuation Services
	Hightower Advisors	Center for Leadership
	Succession Resource Group	Advisor M&A and Equity Update
	The AmeriFlex Group	SuccessionFlex
TAMPs		
Model Marketplaces	Amplify Technology	Tax Loss Harvesting
	FusionIQ	Digital Model Marketplace
	SMArtX Advisory Solutions	Model Comparison Tool in Model Marketplace
	The Pacific Financial Group	Strategy PLUS SDBA Model Portfolio Program
TAMPs	AssetMark	Digital Solutions for Middle-back Office
	FusionIQ	finTAMP
	GeoWealth	Modern TAMP
TECHNOLOGY PROVIDERS		
Account Aggregation	Blueleaf	Aggregation as a Service
	Method Financial	API for Personal Debt Consolidation
	Wealth Access	Data Aggregation and Unification Platform
Alternative Investment Platforms	AltExchange	Advisor Vue
	Broadridge	Alternative Investments Hub
	CAIS	Custom Funds
	Canoe Intelligence	Canoe Connect & Canoe Intelligence
	iCapital	New Products and Capabilities
	Opto Investments	Private Investment Recommendation Wizard
	TIFIN Private Markets	Democratizing Access to Alts
Artificial Intelligence	Alphathena	AI Workflow and Personalization
	Atlas Point	AI-Powered Business Insights
	CogniCor Technologies “CogniCor”	AI Enabled Meeting Assistant
	DFD Partners	AI-based Distribution Platform
	HedgeSPA	Graph Neural Network and Quantum AI Application
	Pulse360	AI Writer
Business Support Systems | Workflow Automation	CogniCor Technologies “CogniCor”	AI Client Maintenance Assistant
	eMoney Advisor	Solvers in Decision Center
	Panoramix	Annual Amendment Automation
	Pulse360	1-click Automation
Cash Optimization	Flourish	RIA Program
	MaxMyInterest	Embedded Cash Management Platform
Chief Executive Officer of the Year	Apex Fintech Solutions	Bill Capuzzi
	Asset-Map	H. Adam Holt
	CAIS	Matt Brown
	iCapital	Lawrence Calcano
	Mirador	Joe Larizza
	Nitrogen	Aaron Klein
	Smarsh	Kim Crawford Goodman
	Snappy Kraken	Robert Sofia
	Vestwell	Aaron Schumm
	Wealth Access	David Benskin
Chief Marketing Officer of the Year	CAIS	Abby Salameh
	Docupace	Ryan George
	Nitrogen	Craig Clark
	Snappy Kraken	Angel Gonzalez
Client Onboarding / New Account Opening	Apex Fintech Solutions	Onboarding Edge
	Orion Advisor Solutions	Automated Account Solution
Client Portals	AssetBook	Valian
	Mirador	Gateway, by Mirador
	SS&C Black Diamond Wealth Platform	Client Experience
	Wealth Access	Client Portal
Compliance	Hearsay Systems	Testimonial Management System
	Orion Advisor Solutions	Share Class Monitoring
	Presults	Email Monitoriing and Archiving
	SIGNiX	FINRA Compliance Lock
	Smarsh	Professional Archive
	Smartria	Compliance Management Platform
CRM	Orion Advisor Solutions	Redtail Campaigns
	WealthHub Solutions	Trust and UHNW-specific CRM
Direct Indexing	Charles River Development	Tailored Portfolio Solutions
	Interactive Brokers	Custom Indexing for RIAs
	Orion Advisor Solutions	Bespoke Custom Indexing Technology
	Rowboat Advisors	Tax Simulator for Direct Indexing
	Vestmark	VAST
Diversity, Equity and Inclusion	Apex Fintech Solutions	Culture and DEI Workshop
	Broadridge	AIF® Designation Diversity
	Choir	Voices
	DFD Partners	AI-based Distribution Platform
	SEI	Inclusion in Wealth Management
Document Management	Canoe Intelligence	Canoe Connect & Canoe Intelligence
	FutureVault	Digital Vault
	Laserfiche	Intelligent Data Capture
	Wealth Access	Digital Document Vaulut
Innovation New Applications	CogniCor Technologies “CogniCor”	AI Enabled Meeting Assistant
	FP Alpha	Estate Planning Snapshot
	Method Financial	API for Personal Debt Consolidation
	Nitrogen	"Check-Ins" Coaching Tool
	Orion Advisor Solutions	Orion BeFi
	Summit Wealth Systems	Wealth Journey
	VRGL	CAPM & R Tool
Innovation Platforms	BridgeFT	WealthTech API
	CapIntel	Seamless ESG Metrics
	Elements Technology	Financial Assessment Software Platform
	Envestnet	Wealth Data Platform
	FactSet	Intelligent Prospecting
	Halo Investing	Protective Investment Solutions
	Invent	PaaS Digital Ecosystem
	Practifi	Propel
	Vanilla	Estate Advisory Platform
	Zoe Financial	Wealth Platform
Marketing Automation	Catchlight	Lead Engagement Platform
	FMG Suite	Lead Generation and Business Growth Program
	Orion Advisor Solutions	Redtail Campaigns, BeFi20 and Proposal Generation
	Snappy Kraken	Freedom360 campaign
Model Marketplaces	Adhesion Wealth Advisor Solutions	AMX
	Charles River Development	Wealth Hub
	Kwanti	Model Marketplace
Portfolio Analytics	FactSet	Advisor Dashboard
	HedgeSPA	Graph Neural Network and Quantum AI Application
	InvestSuite	Portfolio ESG Insights
	Zephyr	Portfolio Insight(ers) Powerful Perspective
Portfolio Management, Accounting and Performance Reporting	d1g1t Inc.	Risk-based Wealth Management
	LeafHouse	reallocateIT API-based Software
	Pontera	Professional 401(k) Management
Rebalancing	Advyzon	Quantum Rebalancer
	intelliflo	Redblack
	MyVest	Expanding Tax Optimization
	SMArtX Advisory Solutions	Automated Trade Builder & Rebalancer
	Vestmark	Rebalancing Engine
Retirement Income	Broadridge	Retirement Income Consortium
	Future Capital	Advisor Solutions for Held Away Assets
	IncomeConductor	RMD, Roth Conversion and Tax Optimization
	Panoramix	Days of Future Past
	PensionPlus	Personalized Retirement Income Service
Risk Tolerance / Client Profiling	Andes Wealth Technologies	Holistic and Defensible Risk Tolerance/Client Profiling
	Helios	Portfolio Tools
Securities-based Lending	Goldman Sachs Private Bank Select	GS Select
	Supernova Technology	Democratizing Access to SBL
	UPTIQ	Securities Based Lending
Specialized Planning Applications	Asset-Map	Signals+
	Bento Engine	Serving the Next Gen
	Special Needs Map	Special Needs Planning Software
	Vanilla	Estate Advisory Platform
	Wealth.com	Digital Estate Planning Platform
Thought Leadership	Advisor360°	Connected Wealth Report
	AdvisorEngine	Action! Magazine
	Asset-Map	AdviceTech.LIVE
	eMoney Advisor	Candid Conversations Campaign
	Finance of America Reverse	Morningstar Collaboration
	Invent	Big Reveal Podcast Series
	Nitrogen	Fearless Investing Summit
	Snappy Kraken	Jolt! Conference
Unified (All-In-One) Systems	Advyzon	Technology Platform
	Envestnet	Enterprise Platform
	MyVest	Optimizing the Enterprise
	Orion Advisor Solutions	Orion Stacks
TRUSTS		
	Bank of America Private Bank	Trust Business Support Model
	Fiduciary Trust of New England	New Hampshire Trusts
	Trustate	Estate and Trust Administration Software