FAMILY WEALTH REPORT AWARDS NEW YORK 2016

Information Pack

Format

Now in its third year, the *Family Wealth Report* Awards set to spread the word about the profession's achievements to a wider audience. For 2016 the awards will attract over 450 senior banking and wealth management professionals to the industry's most prestigious gala event.

The awards are focused around three main category groupings:

- **experts** (individuals and teams);
- **products** and
- **services** for wealth managers and clients and institutions of all sizes and types.

Independence, integrity and **genuine insight** will be the watchwords of the judging process. This involved specially convened expert panels drawn from both private banks and trusted advisors and support by relevant third-party organizations.

Winning a *Family Wealth Report* award sets firms and individuals apart from their peers and is a tangible demonstration that they have something special to offer, rewarding achievement, showcasing top class performance and innovation.

We look forward to receiving your entries and seeing you at the 2016 awards ceremony.

"Well done last evening. It was perfect. Once again you have set the bar for excellence in wealth management and family office services."

C Steven Crosby, Americas Wealth Leader, PricewaterhouseCoopers

Venue

Mandarin Oriental
10 Columbus Circle
New York
NY 10019

Dates for the diary

Entries open	August 2015
Entries close	November 12, 2015
Shortlist announced	December 10, 2015
Award ceremony	**March 10, 2016**

How to enter

http://clearviewpublishing.com/events/family-wealth-report-awards-2016/

Click on **"categories"** tab / Click on **"enter category"** button / Select categories you wish to enter, fill in form and submit / Once submitted, you will automatically receive the **awards questionnaire** you will need to complete your submissions.

Trusted Advisor Panel

Judging Process

There will be two judging panels for the awards. A panel of trusted advisors who will be responsible for judging the private banking categories. A second panel of private bankers will judge the trusted advisor categories. This is to ensure that commercially sensitive information is kept confidential and to avoid conflicts of interest.

Patti Boyle
Global Marketing Consultant

Mary K Duke
Family Wealth Advisor

Joseph W Reilly JR
Family Office Advisor

Scott T Baker
President
Perspecta Trust

Judy Green
President
Family Firm Institute

April Rudin
Founder & President
The Rudin Group

Steven L Cantor
Managing Partner
Cantor & Webb

Thomas J Handler
Chairman, Advanced Planning and Family Office Group
Handler Thayer

Sigrid Seibold
Managing Director, Sales & Market Making, Financial Services/Capital Markets, North America
Accenture

Jon Carroll
President and Chief Executive
Family Office Metrics

Thomas R Livergood
Founder & CEO
The Family Wealth Alliance

Avi Sharon
Chief Marketing Officer
Blackstone

Kimberly A Cassford
Co-Founder
Cassford Management

James McLaughlin
Founder and Chief Executive
J H McLaughlin & Co

Jane Swan
Managing Director
Sheffield Haworth

Steve Crosby
Senior Managing Director
PwC

Stephen E. Prostano
Founder and Managing Partner
SPI Partners

Bruce Weatherill
Chief Executive
Weatherill Consulting

Judging Process

Private Bankers/Family Office Panel

There will be two judging panels for the awards. A panel of trusted advisors who will be responsible for judging the private banking categories. A second panel of private bankers will judge the trusted advisor categories. This is to ensure that commercially sensitive information is kept confidential and to avoid conflicts of interest.

David C Albright
Head of Client Development - Americas, EMEA & APAC Global Family and Family Investment Offices
Northern Trust

Jacqui Allard
Senior Vice President, Head WM Solutions & Client Experience, Global Wealth Services
RBC Wealth Management

Lisa Featherngill
Managing Director, Planning
Abbot Downing

Stephen Horan
Managing Director
CFA Institute

Rebecca A Meyer
Managing Director of Client Strategy
Pitcairn

Mark McLaughlin
Senior Managing Director, Products & Services
Ascent Private Capital Management
of US Bank

Peter E Ruhlin
Partner
FallLine Strategic Advisors

Erich Smith
Executive Director – Family Office, Charitable Solutions and International Wealth Management
BNY Mellon Wealth Management

Loraine B Tsavaris
Senior Client Advisor and Managing Director
Rockefeller & Company

Michael Zeuner
Managing Partner
WE Family Offices

The *Family Wealth Report* Awards will be assessed on innovation and excellence achieved in 2015, as recognized by the wealth management industry.

The nomination process is changing for the 2016 awards in order to make this a more time efficient exercise for nominees and for the judges.

Key acronyms

HNW	High-net worth	CSR	Corporate, social responsibility
UHNW	Ultra-high-net worth	TER	Total expense ratio
AuM	Assets under management	IFC	International finance center
AuA	Assets under advisement		

QUESTIONS FOR ALL CATEGORIES

Important note

Please ensure that your submission does not exceed 1000 words. The judges will be taking this into consideration during their deliberations.

Please provide the following in your submission:

1 Thumbnail profile (150 words max) on your organization, geographical reach and operating/service delivery model.
2 Confirmation of a clean bill of regulatory health.
3 Information on any relevant changes in ownership or control if appropriate.
4 Short profile of the team or individual.
5 Key achievements and developments during 2015.
6 Identify what marks you out from your peers.
7 Please provide any metrics that you feel are appropriate. The judges will be particularly sensitive to quantitative information provided which will allow them to factually assess that the reasons for which your firm believes it deserves the award are grounded.

You may provide an appendix of case studies and testimonials to support your submission if you so wish. Please limit this to 2 pages. This does not form part of the word count.

General Guidance

- Maximum of 1,000 words per category, not per question.
- Entry to be submitted in no more than 5 pages of A4 portrait format.
- Graphics can be included but should be done so judiciously and to illustrate a specific point.
- No links to marketing material is required.
- All entries must be submitted in PDF format, clearly showing the following within the body of your document:
  - Company name
  - Name of award category (as detailed in this questionnaire)
  - Total word count
- Please type out each question and answer in the order they appear in this questionnaire.
- When you save your document, please ensure that you display the award category followed by your company name e.g. ***US Private Bank – Company Name***.
- Please submit your nomination to Jackie Boole, Event Director, email: **jackie.boole@clearviewpublishing.com** by midnight New York time on **November 12, 2015**.

Family Office Categories

- **Multi-family office (Up to and including $5 billion AuM/AuA)**
  Awarded to: MFOs with up to and including $5 billion AuM/AuA.
- **Multi-family office (Above $5 billion AuM/AuA)**
  Awarded to: MFOs with above $5 billion AuM/AuA.
- **Multi-family office** (National)
  Awarded to: MFOs with a genuinely national reach.
- **Multi-family office (Regional)**
  Awarded to: MFOs with a predominantly regional offering and client base.
- **Multi-family office (New entrant)**
  Awarded to: New MFO offering of any size or reach.
- **Multi-family office (Client initiative)**
  Awarded to: New initiatives for clients from MFOs of any size or reach.
- **MFO wealth structuring offering**
  Awarded to: Teams within MFOs that deliver tailored wealth structuring solutions to HNW and UHNW clients.
- **Outstanding MFO executive**
  Awarded to: Individuals in an MFO of any size or type in a senior management position.
- **Canadian MFO**
  Awarded to: MFOs headquartered in Canada.

Private Banking Categories

- **US private bank**
  Awarded to: Banking operations in the US that deliver a differentiated and high level of service to HNW and UHNW clients on a national level.
- **Canadian private bank**
  Awarded to: Banking operations in Canada that deliver a differentiated and high level of service to HNW and UHNW clients on a national level.
- **Private bank – wealth structuring offering**
  Awarded to: Teams within private banks that deliver tailored wealth structuring solutions to HNW and UHNW clients.
- **Private bank - offering for family offices**
  Awarded to: Teams within private banks that deliver tailored solutions to family offices.

Investment Management Categories

- **Canadian investment offering**
  Awarded to: Non-bank wealth manager based in Canada.
- **Private client investment platform**
  Awarded to: Investment platform specializing in servicing the investment needs of the HNW community.

Asset Management Categories

- **Alternative asset manager**
  Awarded to: Collective investment managers with an alternative investments range suitable for the HNW community.
- **Fund provider**
  Awarded to: Providers of collective investment schemes for the HNW community.
- **National private asset manager**
  Awarded to: Wealth management businesses that deliver a differentiated and high level of service to HNW and UHNW clients on a national level.
- **Best asset management firm serving family offices and private banks**
  Awarded to: Asset managers with a significant proportion of private client assets and a dedicated offering.
- **ETF provider**
  Awarded to: Fund/asset manager that makes exchange-traded products available for local wealth management clients.

"The FWR Awards has quickly become one of the most anticipated events for family office professionals. It offers a rare opportunity for us to recognize the many remarkable accomplishments of our sector's stars and innovators." Rick Flynn, Managing Partner, Flynn Family Office

"Wonderful to spend an evening with new and old colleagues, celebrating our collective efforts in serving the needs of our clients. A fabulous venue and well-run event."
Kathy Engle, Head, Thought Leadership, RBC Wealth Management

Marketing/PR Categories

- **Best marketing campaign (Online, print, brand launch/relaunch)**
  Awarded to: Wealth managers or other private client practitioners who have used online or print channels to promote their services to private clients or to raise their profile either within the industry or to clients. This might include effective and innovative brand launch or relaunch in the private client world, either a whole business unit or a product/service within an existing business.
- **Best PR program**
  Awarded to: An in-house PR team or PR agency operating in the North America wealth management sector for the impact of their work (campaign or project). Judges will be sensitive to all quantitative information presented to help them assess the merits of the submission.

Private Client Categories

- **Legal team (Regional)**
  Awarded to: Regional law firm team dedicated to private client issues.
- **Legal team (National)**
  Awarded to: National law firm team dedicated to private client issues.
- **Legal team (International)**
  Awarded to: International law firm team dedicated to private client issues.
- **Institutional trust or fiduciary company**
  Awarded to: Entries only eligible from trust companies that are part of a non-trust parent.
- **Independent trust or fiduciary company**
  Awarded to: Entries are eligible from trust companies independent of larger non-trust businesses for instance not part of a bank, law firm or accountancy firm.

Consultants to Family Offices Categories

- **Investment advice**
  Awarded to: Consultants to family offices who provide investment advice.
- **Tax advice**
  Awarded to: Consultants to family offices who provide tax advice.
- **Accountancy advice**
  Awarded to: Accountants who provide advice to family offices.
- **Philanthropy advice**
  Awarded to: Consultants to family offices who provide advice on philanthropic activities.
- **Management consultancy**
  Awarded to: Consultants to family offices who provide management consultancy.

"The Family Wealth Report Awards process and procedures are participatory and merit-based. It has set a new standard."
Jamie Mclaughlin, CEO, J H McLaughlin & Co

Wealth Management Technology Categories *(open to technology vendors only)*

- **CRM system**
  Awarded to: Client relationship management systems for wealth managers.
- **Portfolio management**
  Awarded to: Technology solution providers specializing in tools for managing clients' investment portfolios and monitoring against mandate.
- **Client communications**
  Awarded to: Technology solution providers specializing in tools for wealth managers to communicate with clients including companies monitoring and record-keeping (which may or may not relate to social media).
- **Client reporting**
  Awarded to: Technology solution providers specializing in tools for wealth managers to communicate with clients.
- **Outsourcing solution**
  Awarded to: Third-party organizations providing business processes or systems to wealth management businesses.
- **Compliance**
  Awarded to: A technology providers specializing in solutions and tools to help compliance, AML and KYC.

Wealth Management Technology Categories *(open to any organization)*

- **CRM system**
  Awarded to: Client relationship management systems for wealth managers.
- **On-boarding**
  Awarded to: Technology solutions to help wealth managers bring new clients into their organization.
- **Portfolio management**
  Awarded to: Technology solution providers specializing in tools for managing clients' investment portfolios.
- **Client communications**
  Awarded to: Technology solution providers specializing in tools for wealth managers to communicate with clients.
- **Client reporting**
  Awarded to: Technology solution providers specializing in tools for wealth managers to communicate with clients.
- **Change management process/Best implementation of a technology solution**
  Awarded to: Banks, wealth managers, technology vendors or their clients who have successfully implemented multi-functional change programmes to significantly improve client experience and performance.
- **Risk profiling solution**
  Awarded to: A technology solution to help wealth managers assess and document the risk appetite of clients.
- **Risk management**
  Awarded to: Technology solution providers specializing in tools for wealth managers to manage risk.
- **Innovative client solution**
  Awarded to: This award seeks to recognize institutions which have developed innovative products and services for their clients as part of a solutions-focused service model.

Other Wealth Management Categories

- **Corporate social responsibility/diversity**
  Awarded to: Organizations with a good record in being modern, responsible and inclusive.
- **International finance centre**
  Awarded to: Open to IFCs wherever they are in the world.
- **Best insurance brokerage provider**
  Awarded to: Insurance brokerage provider or intermediary that provides specialist products and services to the family wealth community.
- **Best insurance product provider**
  Awarded to: Insurance product provider or intermediary that provides specialist products and services to the family wealth community.
- **Specialist service firm**
  Awarded to: Specialist service firm provider for the family wealth community.
- **Responsible investing**
  Awarded to: Asset/fund managers or wealth managers that offer responsible investing programs, strategies or funds.
- **Wealth management service provider**
  Awarded to: Organizations that provide middle and back office securities processing and trust accounting services to the affluent and those that serve them.
- **Global custodian**
  Awarded to: Custodians offering services to private client business.
- **Leading individual (MFO)**
  Awarded to: Age and experience is no bar but something special should mark out this individual working in the private client world.
- **Leading individual (Service product provider)**
  Awarded to: Age and experience is no bar but something special should mark out this individual working in the private client world.
- **Women in wealth management (Individual contribution)**
  Awarded to: Open to women in private banking or wealth management who are an inspiration both to female clients and colleagues.
- **Woman in wealth management (Company contribution)**
  Awarded to: For wealth management organizations which demonstrate support for women in their career development.
- **Outstanding contribution to wealth management thought leadership (Individual)**
  Awarded to: Open to individuals who have made an outstanding contribution to thought leadership in wealth management.
- **Outstanding contribution to wealth management thought leadership (Company)**
  Awarded to: Open to organizations who have made an outstanding contribution to thought leadership in wealth management.
- **Lifetime achievement**
  Awarded to: No entries required. The judging panel will put forward entries.

"The organization and attention to detail was extraordinary."
Caroline Kung, Appway

Benefits

These prestigious awards recognize excellence within the wealth management and family office industry.

In addition they provide your business with a highly affluent, captive audience of private bankers, lawyers, accountants, financial advisors and technology providers across the wealth management sector.

Consequently these awards present your business with a unique opportunity to be involved in industry sector sponsorship giving your company the following:

- Exposure across our subscription base and associated international media (60,000 subscribers worldwide).
- Extensive brand exposure on the night to over 300 of the North America's leading wealth management professionals.
- The opportunity to target an affluent market with high disposable income.
- Excellent networking opportunities with senior decision-makers.
- Association with leading industry awards.
- The chance to develop new contacts and expand your sales network.
- Increased brand exposure within the wealth management sector.
- Listing in IFC world

"Congratulations on hosting an outstanding event. There was a palpable buzz and energy level at the event, and I am confident those attending really enjoyed the evening. The venue and food were excellent, only adding to the night's success."

Peter E Ruhlin, Partner - Falline Strategic Advisors

Partners who support our global awards

Ascent Private Capital Management of U.S. Bank

Appway Onboarding the future.

Atlantic Trust Private Wealth Management

CIBC A CIBC Company

Bessemer Trust

citi Private Bank

Crystal & Company The integrity of independence.

Columbia Management

Dynamo by NetageSolutions

Evercore Wealth Management The new standard in wealth management

FFO Flynn Family Office

Investedge

Hawthorn PNC Family Wealth

Perspecta Trust

Pioneer Investments

Tamarind Partners Inc.

U.S. Trust Bank of America Private Wealth Management

Wells Fargo Asset Management

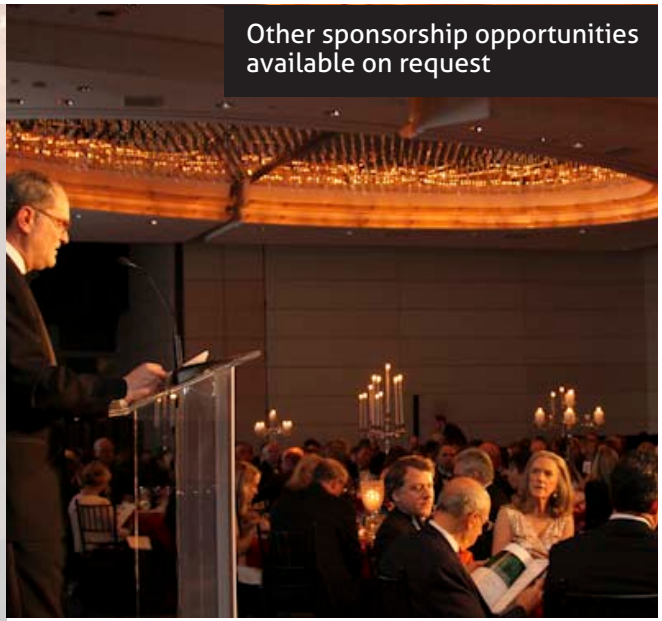
Media

All sponsors will receive coverage in *Family Wealth Report and* also feature in the awards program, together with other media listed as follows:

- *WealthBriefing*
- *WealthBriefingAsia*
- *Family Wealth Report*
- *Offshore Red*
- *Compliance Matters*

SPONSORSHIP BENEFITS	SPONSORSHIP TYPE				
	HEADLINE	DRINKS RECEPTION	AWARD CATEGORY	AFTER PARTY	WINE
Verbal acknowledgement from awards host	✓	✓	✓	✓	✓
Tickets to awards dinner	20	10	10	5	5
Branding on awards backdrop	✓	✓	✓	✓	✓
Logo in awards programme	✓	✓	✓	✓	✓
Full-page colour advertisement in awards programme	✓	✓	✓	✓	✓
300-word profile in awards programme	✓	✓	✓	✓	✓
Web banner on main awards event website with link	✓	✓	✓	✓	✓
Opportunity to for welcome speech from main awards podium	✓	✓			
Name associated with an award category	✓				
Opportunity to present award to category winner	✓				
Opportunity to present 3 key awards	✓				
Banner on home page	✓				
Logo on table plan	✓				
Logo on table numbers	✓				
Interview with the Editor	✓				
Branding in the drinks reception area (to be approved by the organiser)		✓			
	USD 43,000	USD 18,000	USD 17,000	USD 14,000	USD 9,000

Thank you for organizing such a great event. Our team said it was a fantastic evening."
Natalie Chow, Canaccord Genuity Wealth Management



Ticket prices

Single ticket	USD 1,200
Table of 12	USD 11,880

+VAT (where applicable)

For sponsorship opportunities contact

Adriana Zalucka - *Family Wealth Report*
Tel: +44 (0) 207 148 0188
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Family Wealth Report is part of ClearView Financial Media Ltd, registered at Heathman's House, 19 Heathman's Road, London, SW6 4TJ, United Kingdom. Tel: +44 (0)207 148 0188

Previous attendees

Abbott Downing
Accenture
Advent Software
AKH Consulting
AM Global Family Investment Office
Appway
Archway Technology Partners
Ascent Private Capital Management of US Bank
Aspiriant
Atlantic Trust
Backstop
Banyan Partners
Bavelas Group
Bessemer Trust
BNY Mellon Wealth Management
Booz & Company
Brown Brothers Harriman
Cantor & Webb
Capital G Bank
Caron New York
Cassford Management
Citi Private Bank
Columbia Management
Convenant Multi-Family Office
Convergent Wealth Advisors
Crystal & Company
Crystal Capital Partners
CTC Consulting l Harris my CFO
Del Monte Group
Deloitte
Envestnet
Equipos
etrade
FallLine Strategic Advisors
Family CLO
Family Firm Institute
Family Office Exchange
Family Office Metrics
Family Wealth Advisor
Family Wealth Report
FamilyWealth Consulting
Fieldpoint Private
FinaMetrica
Financial Planning
Finantix
First Republic Bank
Fortigent
Foundation Source
Futurestep - Korn/Ferry
GenSpring Family Offices
Gresham Partners
Handler Thayer
Hawthorn, PNC Family Wealth
HTG Investment Advisors
Institute for Preparing Heirs
InvestEdge
IPR International
Israel Discount Bank New York
J H McLaughlin & Co
JP Morgan Chase
Kozusko Harris Duncan
Lifestylist Advisory
Majestery LLC
McLagan
Merrill Lynch
Millennium Trust
Northern Trust
O'Connor Davies
Pershing
Pitcairn
Portcullis Group
PricewaterhouseCoopers
Private Client Resources
Privilege Underwriters
Reciprocal Exchange
Purposeful Planning Institute
RBC Global Asset Management
RBC Wealth Management
Regal Financial
Rockefeller & Co
Rothstein Kass
Roundtable Investment Partners
S&P Capital IQ
Saybrook University
Schwab Charitable
Scorpio Partnership
SEI
Sheffield Haworth
Signature US
Smart KYC
Strenta Family Office Services
SunGard
The Rudin Group
TrustedFamily
U.S. Trust, Bank of America
UBS Wealth Management Americas
Vestmark
Vogel Consulting
WE Family Offices
Wells Fargo Asset Management
Withers Bergman

"I look forward to attending again next year as this inaugural event was excellent."
Steven L Cantor, Managing Partner - Cantor & Webb

Profile of attendees

- President, Family Office
- EVP, Wealth Management
- EVP, Family Office
- President and CEO
- Head of Global Ultra High Net Worth Services
- Founder and CEO
- Tax Principal
- Senior Managing Director
- Managing Partner
- Vice Chairman and Principal
- President
- Managing Partner
- Managing Partner
- Partner and Managing Director
- Chief Investment Officer
- Head of Client Development