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RECOGNISING LEADERS ACROSS THE GLOBAL WEALTH MANAGEMENT INDUSTRY
THROUGH THE **WEALTHBRIEFING** AWARDS PROGRAMME

EXCLUSIVE

**WINNERS OF THE
WEALTHBRIEFING
WEALTHTECH AMERICAS
AWARDS 2022**

MARCH 2022



Powering financial institutions with a core modular and API-based wealth management platform to launch digital business models faster to market and at a fraction of the cost, saving years of development time and resources. Some of the modular solutions we can launch include:

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- Digital Robo Advice
- Hybrid Digital Advice
- Digital Retirement Solution
- Self-directed Investing
- Portfolio Management Solutions

Learn more at
wealthobjects.com





FOREWORD

Tom Burroughes, Group Editor, *WealthBriefing*

The wealth technology segment has become such a significant space that it is important to highlight the achievements of the people and firms who work in it. This news organization is proud to be part of the conversation around the challenges and great opportunities for better client service, enhanced profitability and more flexible business models. The awards program is designed to help drive such a conversation.

As with all our awards, considerable effort goes into the judging process – and *WealthBriefing* has been able to draw from a wonderful array of experts in their fields. We thank them for the diligence and effort in this regard.

The range of categories here reflects the complexity and range of the wealth technology area, and we continue to fine-tune the program to account for changes where necessary. It is essential that the industry gives us plenty of ideas about how we can update these programs. The dynamism of this sector is infectious and speaks to the tremendous innovation taking place. It also speaks to an industry that must engage the custom and interest of the next generation. We hope these awards reflect some of that focus.

These awards are, as well as necessary recognition for excellence, particularly valuable for firms and individuals as marketing tools, as ways to build brands and reputations and as a way for the industry to take stock of where it is going. The team at *WealthBriefing* also values the awards as a chance to catch up with old friends and make new ones.

As editor, I know how useful these awards are in finding out more about the sector, in connecting with readers, and staying on top of trends. Whatever the technology is, it is ultimately the people who are at the heart of this process.

CONTENTS

WEALTHBRIEFING WEALTHTECH AMERICAS

AWARDS ADVISORY PANEL 5

INTERVIEWS:

| | |
|---|----|
| Addepar | 7 |
| Andes Wealth Technologies | 9 |
| Backstop Solutions Group | 11 |
| Bill.com | 13 |
| BlackCloak | 15 |
| BRI Tech | 17 |
| Burgher Haggard | 19 |
| Canoe Intelligence | 21 |
| Croesus | 23 |
| d1g1t | 25 |
| Docupace | 27 |
| ETON Solutions, LP | 29 |
| FactSet | 31 |
| FIS | 33 |
| iCapital | 35 |
| LibertyFi | 37 |
| Mastro | 39 |
| MyVest | 41 |
| NICE Actimize | 43 |
| PLUMB Bill Pay | 45 |
| Practifi | 47 |
| PwC | 49 |
| Redtail Technology | 51 |
| Refinitiv | 53 |
| Sage Intacct | 55 |
| SEI | 57 |
| Seismic | 61 |
| SS&C Black Diamond® Wealth Platform | 63 |
| Summitas | 65 |
| SupraFin | 67 |
| The Collaborative for Investment Education, Inc. | 69 |
| The E-Valuator | 71 |
| The Rudin Group | 73 |
| Tiller Technology | 75 |

WEALTHBRIEFING WEALTHTECH AMERICAS

AWARDS WINNERS IN FULL 77

OVERVIEW OF THE WEALTHTECH SECTOR IN NORTH AMERICA

For the past two years, digitalization of the wealth management value chain has accelerated tremendously, and the pandemic was an obvious reason for that. Remote working, the greater use of two-way video, remote handling of legal, financial and tax documentation, as well as more digital displays of investment performance and financial plans, are now all “mainstream”. Relationship managers increasingly use tech tools to find new clients and map markets, as well as get a more comprehensive idea of what people want. Technology can aid in helping educate clients around risks and financial situations. Done right, technology augments the powers of advisors rather than replacing them. And with that comes higher productivity,

more scalable business propositions, and growth.

As this publication’s own research reports show, wealth managers know that the choices they make today in systems selection, configuration and implementation will reverberate down the years, and that their margin for error is worryingly small given the competitive pressures they face. Part of the challenge for wealth managers is choosing from a bewildering array of firms. To give just a flavor, organizations in “wealth tech” include InvestCloud, additiv, SS&C Technologies, FundCount, Refinitiv, Tiller Technologies, Canoe Intelligence, Summitas, d1g1t, Redtail, Addepar, and more.

The global wealth management software market size is expected to reach

\$5.80 billion by 2025, registering a compound annual growth rate of 15.3 per cent from 2019 to 2025, according to a 2019 study.

Wealthtech is a term covering several areas. Some wealthtechs use tools such as software programs to monitor portfolios, manage investment planning, and automation software for investing. Elsewhere, the term can cover all those areas of work around reporting, onboarding, risk-monitoring and client communication for firms that still predominantly rely on the human touch. Estimates of how large wealth tech is vary. And it can also cover the middle- and back-office work that, while not seen by the end-client, is crucial to the smooth running, growth and agility of businesses.

Connecting the Client Journey: Why Onboarding Remains an Untapped Opportunity for Wealth Managers
(in partnership with Fenergo)

The quality of wealth managers' client onboarding processes is increasingly recognised as a make-or-break factor in business growth and profitability, standing at the intersection of firms' most pressing compliance, cost-control and client experience concerns. This report stands as a global benchmark of onboarding processes across the global industry, as well as taking readers on a tour of the myriad ways industry leaders are leveraging new technologies.

External Asset Managers in Asia 2017 - New Directions for Rapidly-Expanding Sector
(in partnership with UBS)

Our second annual report examining the growth of Asia's EAM sector, covering both the powerhouses of Singapore and Hong Kong, and emerging markets like Thailand and the Philippines. This study looks at the growth prospects for independent advisors in the round as they seek to tap the region's booming wealth and growing client acceptance of the EAM model.

Family Office Focus: Efficiency in Accounting and Investment Analysis
(in partnership with Family Wealth Report & FundCount)

A deep dive into the key technological and operational challenges facing family offices in their accounting and investment analysis activities. Based on surveys and interviews among family offices

managing over \$72 billion in assets, this is an invaluable benchmarking tool for the sector which presents fascinating insights into future developments from a range of industry experts.

Applying Artificial Intelligence in Wealth Management - Compelling Use Cases Across the Client Life Cycle
(in partnership with Finantix & EY)

This comprehensive report identifies elements of the institution and advisor's workloads that are ripe for AI amelioration, and points the way for firms seeking to maximise the competitive advantages offered by new technologies. AI experts and senior industry executives enrich each chapter, answering crucial questions on risk, KYC/AML, compliance, portfolio management and more.

Global Compliance and Innovation Trends in Wealth Management
(in partnership with Appway & Deloitte)

This cutting-edge report takes readers on a tour of key compliance and innovation developments in the EU, Switzerland, the UK, the US, Canada, Singapore and Hong Kong. This study is intended to help firms strike the fine balance between being prepared for the onslaught of regulatory changes coming up in their jurisdictions, while also staying ahead of the innovation curve.

Winning Women in Asia-Pacific
(in partnership with VP Bank and Hywin Wealth)

Asia-Pacific's wealthy women represent a highly attractive target client group. Yet, they remain an

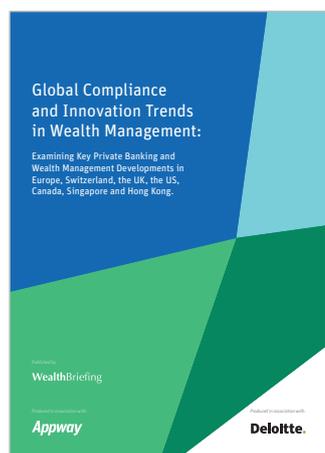
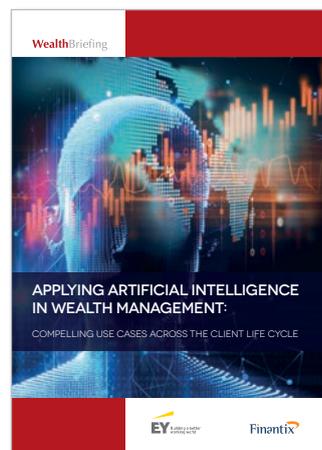
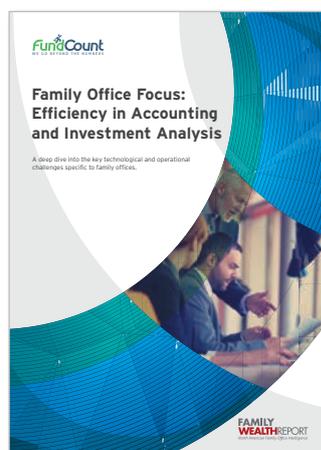
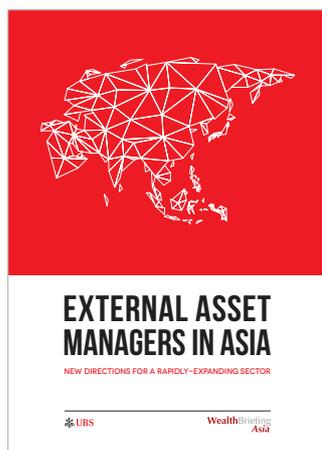
underserved one in many senses in spite of their growing financial power and pronounced need for professional advice. Our second report examining women's specific needs presents truly actionable insights drawn from interviews with H/UHNWIs and their advisors right across the region.

Technology & Operations Trends in Wealth Management 2021
(in partnership with SS&C Advent)

This succinct yet wide-ranging report shines a light on both macro and micro trends, beginning with industry growth sentiment and ending on operating model evolution, taking in every key area of development in between. It brings together datapoints and candid comments senior executives at leading consultancies across the world's major wealth markets to create an invaluable peer benchmarking tool.

Technology Traps Wealth Managers Must Avoid 2021
(in partnership with EY and leaders in wealth tech)

With EY providing the overview, this report draws on the front-line experience of many of the technology sector's biggest names, in recognition of the fact that they are the ones going in to solve wealth managers' most pressing problems and have typically seen the ramifications of firms' choices play out numerous times – not to mention in various contexts globally.



ADVISORY PANEL

The judging process was guided and assisted by a panel of independent experts, each of whom has been actively involved in the wealth management industry for many years and have an in-depth knowledge of the WealthTech sector.



VIKRAM CHUGH
Chief Operating Officer
Robertson Stephens



JONATHAN NORTH
Head of Products
4Pines Fund Services



LOGAN ALLIN
General Partner
Fin VC



CAROLE CRAWFORD
Managing Director,
Americas Region
CFA Institute



GREGORY F. ROLL
Co-Founder
Touchpoint



AMANDA ANDERSON
Chief Administrative
Officer
Ascent Private Capital
Management of
US Bank



DOUGLAS FRITZ
Founder and President
F2 Strategy



APRIL RUDIN
Founder and President
The Rudin Group



PATTI BOYLE
Entrepreneur,
Educator,
Consultant



HOWARD GELLER
Principal, Strategic
Consultant
Hudson Peak Group



MIKE SLEMMER
LP Sales Director
Dynamo Software



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Group Editor
ClearView Financial
Media, publisher of
WealthBriefing



STEPHEN HARRIS
CEO
ClearView Financial
Media, publisher of
WealthBriefing



WENDY SPIRES
Head of Research
ClearView Financial
Media, publisher of
WealthBriefing



JOE CALABRESE
COO Wealth
Management
Key Private Bank



TRICIA HASKINS
VP, Digital Strategy &
Platform Consulting
Fidelity Institutional



WILLIAM TROUT
Director of Wealth
Management
Javelin Strategy
& Research



JON CARROLL
Managing Director,
Private Client Services,
Family Office Advisory
EY



TANIA NEILD
CTO and Owner
InfoGrate



BILL WOODSON
Executive Vice President,
Head of Wealth Advisory
and Family Office
Services
Boston Private

Unlock the Power and Possibility with Addepar

Your clients count on you to have the full picture. Deliver **unparalleled innovation and investment outcomes** with our global platform that your clients can trust.

Addepar provides clients with a complete, meaningful financial picture and enables advisors to offer better advice through comprehensive portfolio reporting. Learn more about Addepar's tailored, tech-forward wealth management software at www.addepar.com

UNLOCKING VALUE OF DATA-DRIVEN INVESTING AND ADVICE

Peter O'Brien, Head of Global Sales at **Addepar**, talks to *WealthBriefing* about his business and its award-winning achievements.

What sets you apart from your peers this year and why?

Addepar was built with a mission to unlock the power and possibility of informed, data-driven investing and advice. When the company was founded in 2009, one of the most pressing challenges in financial services was a lack of transparency. Many people, especially those managing complex investment portfolios, were unable to answer basic questions like what do I own, where do I own it, what am I exposed to and therefore, what should I do about it.

Only Addepar allows advisors to consolidate and manage the myriad disparate assets that make up complex portfolios, and provide insight to make better-informed investment decisions in real-time. As an enterprise platform, we've differentiated ourselves from the beginning in the strength and quality of our R&D team.

Our clients are at the center of everything we do and the platform is purpose-built for professional wealth, investment and asset management firms to deliver innovation, trust and connectivity. Today, more than 700 leading firms use Addepar to manage and advise on more than \$3.5 trillion in assets, and we've been adding more than \$15 billion per week for many consecutive quarters. We are proud to be experiencing this velocity of growth as we continue to deliver for our clients.

Over the past year, we've doubled down on tech- and data-fueled innovation, and our product and platform roadmap is more ambitious than ever. Addepar has continued to invest in Marketplace, a new application offered through Acervus Securities to provide transparency for historically opaque alternative financial products. Marketplace gives advisors the ability to buy and sell alternative funds, secondary private company securities and cash deposit programs in one place, supplementing Addepar's reporting capabilities to offer the advisor community a more complete and meaningful financial picture.

Addepar also made two acquisitions in 2021. In January, Addepar acquired RCI, and in doing so, launched

Navigator which helps clients codify cash flow, liquidity and tax projections, and refine pacing models among other ex-ante capabilities. In November, Addepar acquired AdvisorPeak, which offers wealth managers enterprise-class portfolio trading and rebalancing tools.

Marketplace, Navigator and AdvisorPeak complement Addepar's flagship data aggregation, management and analysis capabilities. This brings intuitive "rear-view mirror" analysis and reporting features with powerful "windshield and headlights" capabilities that clients can use to consider and act upon a range of investment opportunities. These advances have positioned us to lead amongst our peers and provide unprecedented levels of transparency to advisors, enabling better, more data-driven decisions.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

There are currently more than \$250 trillion of investable assets globally, much of which is siloed without a common platform. Our commitment to R&D centered on client outcomes has put us in a position to dominate in our core markets and expand our business across multiple dimensions.

Investing is going through a rapid evolution, and there is an overwhelming number of systems available for wealth managers to choose from. We've committed to an open integrations approach that makes it easier for advisors' systems of choice to work together, allowing advisors to centralize financial information in one place for easy access and greater transparency. Addepar's open platform integrates with more than 100 software, data and services partners to deliver a complete solution for a wide range of firms and use cases.

What do you hope will be the result of receiving this accolade?

It's an honor to be named an Innovative Solution winner, and it's a testament to our team's hard work and dedication to transform the industry.



Peter O'Brien
Head of Global Sales at Addepar

The extraordinary challenges and disruptions the world and broader financial industry faced this past year have emphasized our founding purpose to maximize the positive impact of the world's capital on economies, communities and people's lives. This award will help bring our platform to a wider audience and further validates our investment in innovation and commitment to clients. ■

"THIS AWARD WILL HELP BRING OUR PLATFORM TO A WIDER AUDIENCE AND FURTHER VALIDATES OUR INVESTMENT IN INNOVATION AND COMMITMENT TO CLIENTS."



A New Way to Deliver Wealth Management

We are the first company to combine behavioral finance with risk analytics to help financial advisor deliver hyper-personalized services.

- Client onboarding
- Risk tolerance test
- Investment Policy Statement (IPS)



DELIVERING HYPER-PERSONALIZED SERVICES TO CLIENTS

J Helen Yang, Founder and CEO, **Andes Wealth Technologies**, talks to **Tom Burroughes**, Group Editor at *WealthBriefing*, about the firm's prowess.

What sets you apart from your peers this year and why?

Financial services have been increasingly commoditized, and wealth management has been looking for ways to de-commoditize. Andes Wealth Technologies is the first company to combine behavioral finance and risk visualization to help financial advisors deliver hyper-personalized services.

It starts with innovative ideas. We then bring them to life with creative designs and visualizations. In the end, we have a streamlined client onboarding solution that comprises the best tools in risk tolerance assessment, behavioral finance, risk analytics and Investment Policy Statement.

We also help financial advisors handle client emotions during market turmoil with confidence, using a combination of behavioral finance and our patent-pending deep analytics visualizations.

In addition to the inaugural WealthTech Americas Award, Andes Wealth Platform is a winner of the WealthManagement.com 2021 Industry Award, and a finalist of the 2022 *Family Wealth Report* Award and the 2021 MMI/Barron's Industry Award.

What have been the challenges you have had to overcome to reach such a standard?

The first challenge was to find an idea and theoretical framework. We were the first to see the potential of using the Adaptive Markets theory to disrupt the traditional cookie cutter service. Invented by Dr. Andrew Lo from MIT, the Adaptive Markets theory reconciles behavioral finance and efficient markets to better explain market dynamics and investor behavior. I worked with Dr. Lo and we shared the prestigious Harry Markowitz Special Distinction Award in 2011.

The second challenge was to identify specific pain points and to apply the theory to solve them. It was a slow and painful process, taking us several years to think things through and come up with workable designs.

The third challenge was the technical know-how. Our deep analytics, while conceptually elegant, had been a real technical challenge to build. At one point, we spent a whole month just on performance tuning to make it fast enough.

But we did it, thanks to our extensive experience in technology and product management, an exceptional engineering team, and a top-notch UX expert. We are also thankful for the help from many people including Dr Lo.

How has your business and business model reacted to the pandemic?

One of our primary use cases is to better explain market dynamics and manage investor emotions during market turmoil.

Prior to COVID, we had to use the 2008 financial crisis to illustrate the point, and it was getting old. One of the silver linings of the pandemic is a fresh example of financial turmoil that people can relate to.

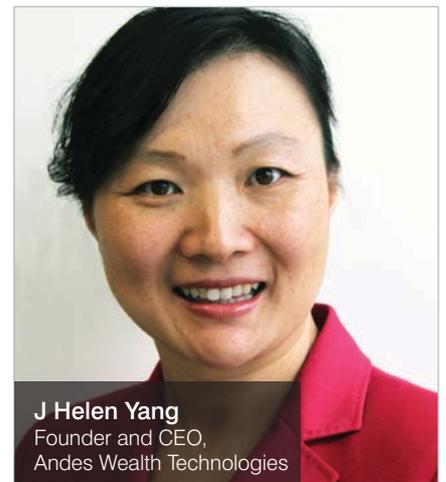
Have your differentiators become more important to your business?

We exist to be different. As a small company with limited resources, our strategy is to build things that nobody else has. Financial advisors often tell us, "I have never seen anything like this--why didn't anyone think of it before?"

Being completely different gives us a unique advantage. We don't directly compete with anyone; instead, we complement existing systems, to enable them to deliver the kind of client experience they have always wanted.

Whom do you look to for inspiration?

Dr Andrew Lo and his research have been our inspiration. The traditional cookie cutter service is based on traditional financial theory. To fundamentally transform the industry, we needed a new theory. I was lucky enough to have met Dr Lo at MIT, learned about his Adaptive Markets Theory and saw the potential in it.



J Helen Yang
Founder and CEO,
Andes Wealth Technologies

His papers on investor types and risk tolerance assessment have also influenced what we do.

These academic roots help us build credibility, and we love it when people ask about our methodologies.

What do you hope will be the result of receiving this accolade?

Being a winner of the inaugural *WealthBriefing* WealthTech Americas Award 2022 is an endorsement of our thought leadership. It sends a strong signal to wealth management firms that we are a trust-worthy partner to work with.

Our goal is to get our award-winning solution to the hands of more and more financial advisors so we will transform wealth management together. Receiving this accolade will play an important role to help us drive adoption. ■



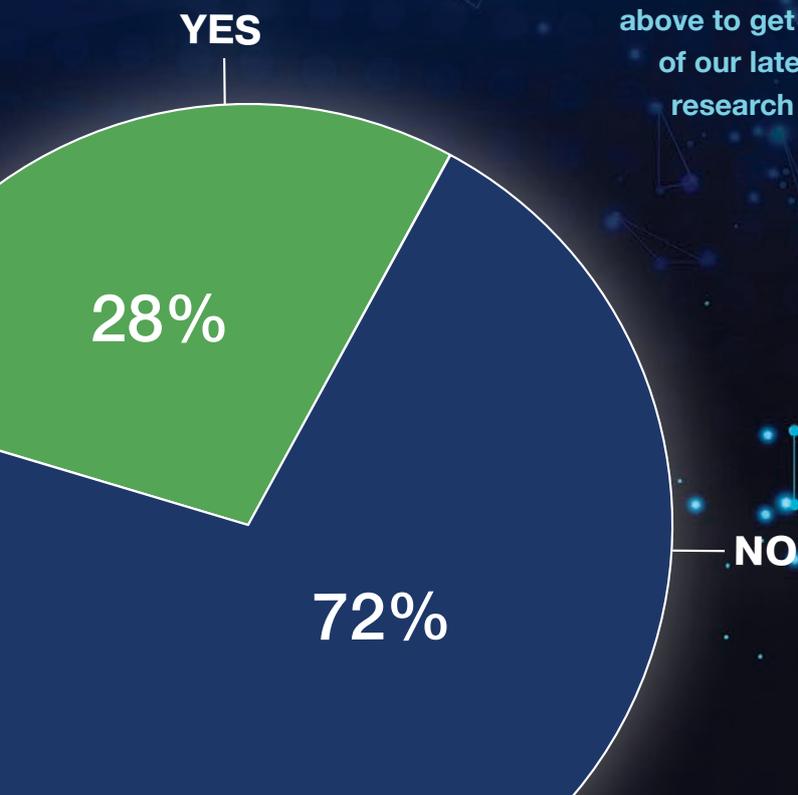


What Allocators Are Really Doing About ESG in 2021

Find out why **72%** of allocators still aren't tracking ESG metrics, along with other surprising insights.



Scan the code above to get a copy of our latest ESG research report.



MAKING THE MOST OF EVERY MINUTE

Clint Coghill, CEO at **Backstop Solutions Group**, talks to *WealthBriefing's* Tom Burroughes.

Because every minute matters, Backstop's mission is to help the institutional investment industry use time to its fullest potential. We develop technology to simplify and streamline otherwise time-consuming tasks and processes, enabling our clients to quickly and easily access, share, and manage the knowledge that's critical to their day-to-day business success. Backstop provides its industry-leading cloud-based productivity suite to pensions, institutions, endowments, foundations, family offices, investment consultants, funds of funds, hedge funds, private equity, real estate investment, and venture capital firms.

What set you apart from your peers this year?

Backstop Solutions helps institutional investors make the most of every minute with software that maximizes efficiency and productivity. This year, we gave time back to our clients in three powerful ways.

First, we launched a new and improved Backstop platform overflowing with customer-recommended enhancements. Our clients can make decisions faster and better than ever with streamlined navigation via a modern visual interface, increased functionality of the tools they use the most, and easier access to the data they rely on every day.

Second, we enabled our clients to break down data silos and connect information across disparate systems in real time through Backstop Integrator. With over 1,000 pre-built connectors, Backstop Integrator puts comprehensive information at our clients' fingertips so they can make the best investment decisions and deliver the best client service every day.

Third, we empowered our clients to increase their efficiency and optimize due diligence processes through Backstop IntellX: a straight-through processing platform for fund documents and transactions that is built for the needs of busy investment and operations professionals.

What are you going to do to stay "ahead of the curve"?

We make it a top priority to actively listen to what new and existing clients have to



Clint Coghill
CEO, Backstop Solutions Group

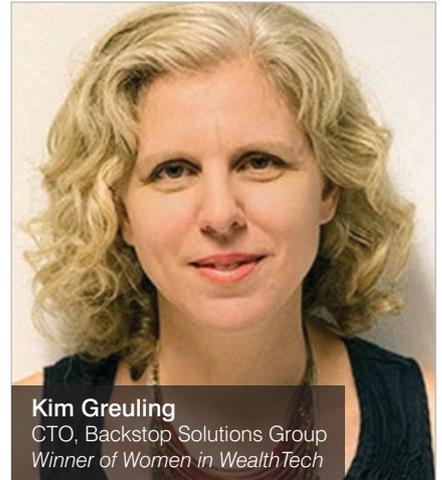
say so that we can evolve our technology accordingly. We invest revenues heavily in product development in order to continue to add new solutions and services.

We also invest deeply in our people. We have built a motivated and highly-skilled team with a commitment to quality. Our R&D department overflows with innovation, and our relationship managers keep in close contact with our clients as we constantly look for ways to bring additional value.

Specifically, how has your business and business model reacted to the pandemic?

Throughout the pandemic, Backstop has been hard at work to enable our clients to overcome the disruptions to the workforce and workplace caused by COVID. The stability of our digital systems gave our clients a firm foundation on which to continue daily operations. We took action to make it easier for our clients to work remotely by releasing powerful solutions such as our Capital-Raising Dashboards and Pipeline Manager. We put better data at their fingertips with MercerInsight™, our Multi Asset Class Research (MACR) module, and IntellX.

At all times, we have remained in close communication with our clients to ensure that we are aware of their needs and maximizing their productivity, efficiency, and effectiveness in a remote, flexible work environment



Kim Greuling
CTO, Backstop Solutions Group
Winner of Women in WealthTech

Whom do you look to for inspiration?

We are consistently inspired by direct feedback from our clients. Our clients provide us with the insights that drive innovation, resulting in rich enhancements and new solutions. We also keep our finger on the pulse of the industry, watching trends so that we can proactively develop targeted solutions.

What do you hope will be the result of receiving this accolade?

We truly value this award for Portfolio Management, Data Management, and Analysis. This is objective validation that our solutions are robust in their breadth and depth, and that they are perfectly fitted to the needs of institutional investors. We hope that family offices, funds of funds, pensions, endowments, foundations, investment consultants and OCIOs, hedge funds, and private equity firms will see this award as another reason to trust Backstop and discover for themselves how to make the most of every minute. ■





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— Bob Jacobson, Partner, Friedman & Huey Associates LLP

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SIMPLIFYING CLIENTS' LIVES MAKES ALL THE DIFFERENCE

Bora Chung, Chief Experience Officer, **Bill.com**, explains to **Tom Burroughes**, *WealthBriefing* Group Editor, why her company has excelled.

Bill.com is honored to be the recipient of the inaugural *WealthBriefing* WealthTech Americas Award in the 'Bill Pay' category. A bit about me: I'm Bora Chung, the Chief Experience Officer for Bill.com, leading our product strategy, customer experience (CX), user experience innovation and roadmap execution.

What sets you apart from your peers?

Bill.com's mission is to simplify the way small and midsize companies do business by making their financial management easier and more efficient. Our vision is to provide SMBs with an all-in-one solution, and part of that solution includes our tailored solution for wealth management firms to simplify, automate, and better manage end-to-end financial processes for their clients in one comprehensive, cloud-based platform.

Our commitment to our customers is inherent in everything we do - my role being a good example of this. We see product innovation and customer experience as intrinsically connected. In addition to product, my role includes overseeing CX (customer experience, which other companies call customer support), which helps us be even closer to our customers at every stage.

How have your colleagues contributed towards the success of your organization?

Starting with our CEO and founder René Lacerte, Bill.com is customer-focused, driven and passionate. Our core values - humility, authenticity, dedication, passion, and fun - define how we approach the work we do each day and keep our team strong and cohesive.

How have your colleagues contributed towards the success of your organization?

Every team member across Bill.com is committed to helping our customers

succeed. We keep our customers at the center (and heart) of every business decision we make.

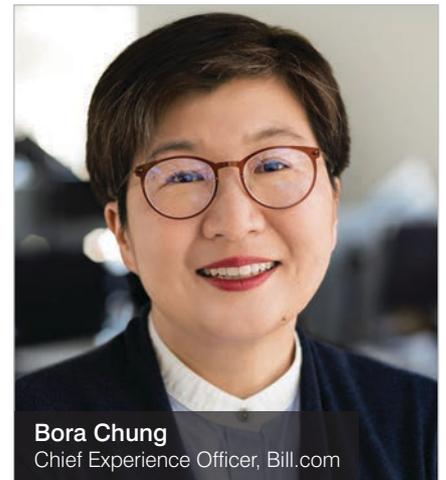
What are you going to do to stay on the front foot in a fast-growing but also challenging area such as this?

We're always thinking about the next innovation and how to adopt new technologies - that's part of our dedication to our customers. On top of our base-level offerings, which include automated bill payments and multiple flexible/fast payment options, we also recently bolstered financial control and approval features to provide our customers with more flexibility and greater control over their financial processes.

- Our enhanced approval policies help users save time by routing transaction approvals automatically via advanced rules using an expanded set of approval routing criteria.
- Additionally, our new dual control feature helps to reduce the risk of fraud or accidental error by allowing users to set multiple, required approvers for key changes to financial information and controls.
- Finally, Bill.com allows users to control access and increase security using a single sign-on (SSO). This makes accessing Bill.com quicker and more efficient and can reduce unnecessary strain on IT resources.

Whom do you look to for inspiration and ideas?

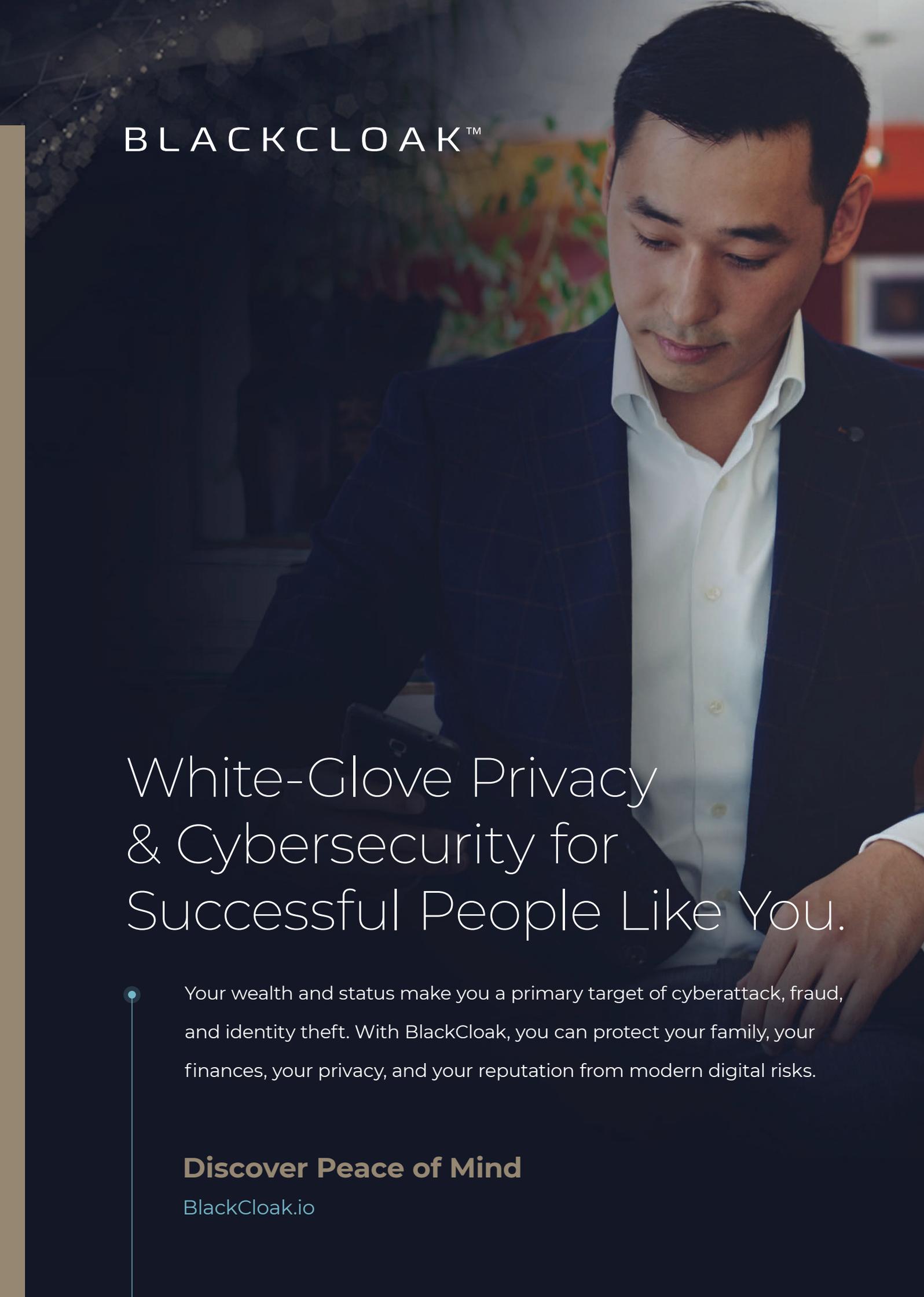
Our inspiration comes from our customers. We stay closely connected with our wealth management customers and partners to maintain an understanding of their challenges and opportunities to better understand how we can continue to provide increased support. Additionally, we closely analyze market trends and directional shifts to make sure we're anticipating what's coming next. ■



Bora Chung
Chief Experience Officer, Bill.com

"BILL.COM'S MISSION IS TO SIMPLIFY THE WAY SMALL AND MIDSIZE COMPANIES DO BUSINESS BY MAKING THEIR FINANCIAL MANAGEMENT EASIER AND MORE EFFICIENT."





BLACKCLOAK™

White-Glove Privacy & Cybersecurity for Successful People Like You.

Your wealth and status make you a primary target of cyberattack, fraud, and identity theft. With BlackCloak, you can protect your family, your finances, your privacy, and your reputation from modern digital risks.

Discover Peace of Mind

BlackCloak.io

PROTECTING CLIENTS IN AN ERA OF PRIVACY & CYBERSECURITY THREATS

Dr. Chris Pierson, the Founder & CEO of **BlackCloak**, talks to *WealthBriefing* about how it has made a dent in the industry universe.



Dr. Chris Pierson
Founder & CEO, BlackCloak

What sets you apart from your peers this year and why?

BlackCloak is the first and only cybersecurity and privacy solution built intentionally to protect the privacy, personal devices, and home networks of executives, high-profile, and high-net-worth individuals and their families. Our award-winning Concierge Cybersecurity & Privacy Platform™, which is trusted by thousands of members nationwide, combines proprietary and enterprise-grade cybersecurity software, built with privacy in mind, with white glove concierge client service, to reduce the growing risks of financial fraud, identity theft, reputational damage, and cyberattack.

How have your colleagues contributed towards the success of your organization?

BlackCloak is one of the fastest growing cybersecurity and privacy companies because of our people and their commitment to and passion for protecting our client's personal digital lives. Our team overwhelmingly delights our clients and helps them attain total peace of mind despite their risks and the constant hype of cyberattack.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

While North America is a competitive cybersecurity market, no other company yet specializes in protecting high-profile and high net worth individuals in their personal lives. To keep our competitive advantage and to further solidify ourselves as the most trusted cybersecurity and privacy guide, we continuously engage potential members via new and existing relationships with wealth managers, law firms, and financial advisors - those who are now asked almost as many questions about privacy and security as they are about finances. At the same time, we're constantly innovating our technology and expanding our concierge services to meet the challenges of current and future threats, and our client's unique needs.

How has your business and business model reacted to the pandemic?

The pandemic accelerated many additional opportunities for BlackCloak. As work shifted from in-office to permanently hybrid or remote, our partners' clients were increasingly targets of cyberattacks, such as business email compromise, impersonations and identity theft. When these highly at-risk individuals turned to their wealth managers for help and support, their wealth managers turned to who they trusted most: they turned to us. During the first few months of the pandemic, we spent time educating our partners on pandemic-induced threats, provided education to their clients on what they could do on their own, and showed them objectively how only a company like BlackCloak is built to reduce the risks. As we built more trust among our partners, they increasingly referred their clients and colleagues to us, and continue to do so today.

Has morale amongst your colleagues held up well during the pandemic?

What have you done to bolster their

spirits? As a mission-driven organization, we have always embraced our responsibility to help our clients attain peace of mind under extraordinary circumstances. Nothing motivates and inspires our team more than helping a person or a family that was recently a victim of fraud, or proactively preventing an entrepreneur or small business owner from succumbing to cyberattack. It's what we do.

Have your differentiators become more important to your business? Are they still relevant?

Our indirect competitors offer highly commoditized services that are built to only reduce risks stemming from the most basic cyberattacks and fraud. While such services are fine for the critical mass, our client's digital risks are far more frequent, targeted and complex; thus such solutions are mostly irrelevant to our business.

Whom do you look to for inspiration?

I have always been inspired by Teddy Roosevelt and his "The Man in the Arena" speech, which decries the men and women cynical of those who are trying to make the world a better place. "It is not the critic who counts; not the man who points out how the strong man stumbles, or where the doer of deeds could have done them better. The credit belongs to the [men and women who are] actually in the arena..."

What do you hope will be the result of receiving this accolade?

We want your members and readers to know that BlackCloak exists specifically to help protect the digital lives of people like them - those who are uniquely at risk but have little time and a lot to lose. ■





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A DRIVE TO COMPLETE CUSTOMER SATISFACTION AT BRITech

Yuryi Ferber, CEO of **BRITech**, talks to *WealthBriefing* Group Editor Tom Burroughes to explain his firm's high standing.

What sets you apart from your peers this year and why?

BRITech is founded on the principle of customer satisfaction. It is our goal to have 100 per cent satisfaction – not an easily achievable metric – which helps drive our focus and commitment. We have a global team of experienced wealth management professionals who collaborate with our implementation team to deliver customized solutions for our clients. This is a key ingredient in contributing to high customer satisfaction – the ability to configure our platform in such a wide variety of ways, without altering the base code, to allow us to meet the unique needs of our customers.

That capability, supported by our team members working closely for months with our clients during implementation, helps ensure high project success rates. It's been a winning formula for BRITech for over seven years and will continue to be our main brand element far into the future.

How have your colleagues contributed towards the success of your organization?

Our global team includes professionals with decades of experience in all forms of wealth management, private banking, advisory, etc. Our culture of collaboration enables us to draw upon this experience to drive decisions on product roadmap, customer implementation, and market alignment.

The BRITech team members are, and have always been, behind our success. We are very proud of our global team and depend on their experience and guidance for our continued growth and success.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

In a word, "communicate". For BRITech, staying in close contact with the market

and its changing trends is essential. That's why we routinely meet with our customers, with analysts like Gartner and Celent, with industry watchdogs, with influencers and experts to help assess trends and interpret changes to market needs. We host conferences – global annual and regional – to facilitate conversation on industry trends and evolving needs.

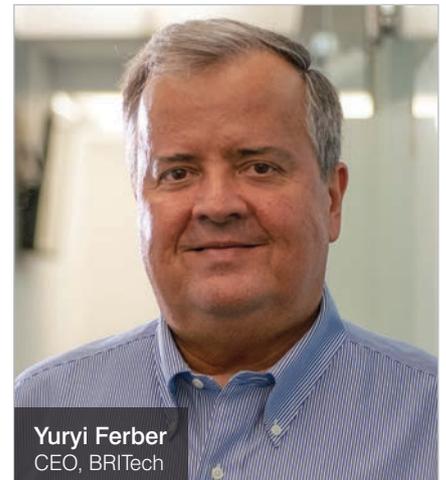
We constantly review our product roadmap to ensure alignment with customer demands. And we collaborate internally as a global team to maintain good visibility to the differing needs across the many global regions we support. This is not always easy to do, and it results in constant decision-making and reprioritization, but we believe it is a core element of our development.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

The pandemic has pushed the Wealth Management firms to speed up their path to digitalization, so it was good for us. With our comprehensive platform, WM firms can become almost entirely digital in just a few months.

Have your differentiators become more important to your business? Are they still relevant?

Yes, absolutely. Our differentiators have emerged through close collaboration with our customers over the years; namely, a highly configurable wealth management SaaS platform that we deploy with support from our experienced implementation team. We do not just simply give our customers a login and a handful of stock reports. We instead take our customers through a very diligent process of understanding their needs and helping configure our platform to support those needs and drive toward their goals. Ours is a very high-touch service that is part of the BRITech brand.



Yuryi Ferber
CEO, BRITech

It's why our customers stay with us over the long term, because they are getting exactly the solution they need to keep their businesses on the leading edge of the market.

What do you hope will be the result of receiving this accolade?

Winning this award is verification for us on the global stage, an opportunity to show how the BRITech Wealth Management Platform has grown into a well-recognized player offering insight and functionality to our customers worldwide. In the last 8 years, we have slowly and steadily gained a loyal following of wealth management and planning professionals looking for the best solutions and most flexibility for their investor clients.

This award represents our commitment to our customers and their clients and demonstrates the value of that loyal following. We are very proud to be recognized in this way. ■



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A CONSTANT DRIVE TO DRIVE EFFICIENCY WINS BIG FOR BURGHER HAGGARD

Clint Haggard, President at **Burgher Haggard**, talks to *WealthBriefing's* Tom Burroughes on how his firm has built an edge.

What sets you apart from your peers this year and why?

Burgher Haggard is a boutique service provider of outsourced accounting and financial administration services. Bedford and I had worked as CFOs, board members, advisors, and independent Trustees for multiple large families in Texas, Colorado, and Arkansas. We realized how much money was spent on the back office including accounting, reporting, record keeping – and how far services fell short of what was needed.

We are accountants for the most part, with a constant curiosity for technology to improve efficiencies. We are focused on being the “Controller-down” of someone’s family office. Each family is assigned a virtual team at our office in Fort Worth, Texas, to perform a scope of services that typically includes process based, non-strategic tasks: mail pick-up, scanning, electronic document management, bill pay, wire initiation, payroll processing, bank account reconciliation, high-volume credit card categorization, investment reporting, consolidated financial reporting, and federal and state tax compliance. Our goal is to help simplify the complexities of wealth by generating drill-thru consolidated financial reports that help clients understand what they have and how it’s doing.

How have your colleagues contributed towards the success of your organization?

We are built using a team model. Each client is assigned a virtual team which enables us to provide clients with comprehensive, high touch service with full segregation of duties. Every team member brings his or her own expertise and commitment to our clients. We are grateful for the agility of our team members and clients that have enabled us to continue to move forward despite the environmental challenges of the past few years.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We constantly evaluate our processes and technology to ensure we are staying

up to date with technological advances and providing our clients with the most efficient service. Our teams meet weekly to discuss processes and client requirements to ensure we are learning from each other and sharing knowledge within our firm. Team members across our organization bring ideas of how we can meet the ever-changing needs of our clients. Currently we are working on building out capabilities using robotic process automation (RPA). In addition to increased accuracy and efficiency using RPA for routine and repetitive tasks, our team members will be feed up to devote their time to more complex tasks.

What have been the challenges you have had to overcome to reach such a standard?

There are not many firms doing what we are doing: providing accounting and bookkeeping services apart from investment advisory, so it can be difficult to find peers in the marketplace. That is one reason we appreciate organizations such as the Family Wealth Report that connect us to firms within the same industry with whom we can knowledge share.

Additionally, there are not many software solutions focused on bookkeeping for family offices so we have had to build out various technology solutions to enable us to automate some of the work we do within the enterprise level reporting software we use.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

Our team did a fantastic job pivoting to a remote working environment. Our systems were set up to allow us to work outside the office so the transition to working from home went smoothly. We had to adjust to not seeing each other daily and continue to host virtual and in person events to keep team members engaged. We host virtual lunch and learns monthly that allow someone from the organization to share knowledge they have with the staff. We



Clint Haggard
President, Burgher Haggard

also host company events outside at our office periodically to give team members the opportunity to see each other in person. These events have been enjoyable for all and have kept spirits high.

Have your differentiators become more important to your business? Are they still relevant?

One of our largest differentiators is that we are not involved in any investment advisory. Our clients appreciate that we are agnostic when it comes to investment decisions and are able to provide accurate reports that allow them to make important strategic decisions. This differentiator continues to be important, especially as our clients hold investments across various managers and in private investments. Our role remains steady as a provider of useful records.

Whom do you look to for inspiration?

With the absence of many peers, we have had to look within our organization for innovation; encouraging team members to invest time and effort into evaluating our clients’ needs and how we can meet them. Our team members continue to amaze us with their drive to innovate and evolve. ■



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HELPING CLIENTS GO DIGITAL WITH PURPOSE-BUILT TECHNOLOGY

Tom Burroughes, *WealthBriefing* Group Editor, talks to Tim Loughrey, VP, Client Success at **Canoe Intelligence**.



Tim Loughrey
VP, Client Success, Canoe Intelligence

What sets you apart from your peers this year and why?

Canoe is a purpose-built technology. Originally incubated in a multi-family office, Canoe was designed to execute on the exact alternatives document and data workflows our clients are performing today. From collecting documents to extracting relevant data and delivering it to the needed systems, we thoughtfully consider our industry experience and client needs to make the transition from manually-intensive to automated workflows simple. This allows our evolution to be organic and drive continuous value for our clients and partners.

How have your colleagues contributed towards the success of your organization?

Our innovative and diverse team has played an immense role in Canoe's success. With a mix of industry expertise and top-flight engineering talent, we are able to balance client workflow needs and aspirations with the development know-how to execute on it. Much of our team began their careers as capital allocators and this is simply part of our DNA. This expertise shows itself in how we develop the platform and in how we provide our clients with solutions.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We truly partner with our clients and continually rethink the way we solve their challenges and help them achieve their ambitions. It's this iterative mindset that has led us to develop the Canoe product as it is today. We've been fortunate to assemble an innovative group of leading institutional investors and allocators and help them drive ROI in their businesses. We're excited about the future and continued growth of the product for our clients.

What have been the challenges you have had to overcome to reach such a standard?

The past two years have certainly posed challenges to the entire world and created new paradigms for working. Our cloud-based technology allowed Canoe's business to go uninterrupted with no loss in efficiency for our team or for our 150 global clients.

Canoe's machine-learning and AI platform continues running, learning, and processing client documents, even when employees aren't working. We're proud of what our team was able to accomplish for our clients during this time period in bringing stability, efficiency, and automation to an otherwise evolving and sometimes chaotic working environment.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

Entering the third year of this pandemic, our team has remained focused and engaged. Even though our team is dispersed globally, we meet in person on a regular basis to ensure we're aligned on our vision and product development priorities as well as maintain those connections with each other that sometimes get lost in a remote environment.

Have your differentiators become more important to your business? Are they still relevant?

Since the beginning, we focused on developing an end-to-end, automated workflow for those investing in and allocating to alternatives and private markets. From document collection to data extraction to system-agnostic data delivery, we were the first company to automate this work and our approach continues to be a key differentiator in the marketplace.

Whom do you look to for inspiration?

Our clients are our inspiration. As we listen to their challenges, it's our responsibility to translate their ideas into actionable technology solutions. In working with our innovative clients, we've uncovered new ways that Canoe can be used to empower data science initiatives and streamline how clients can gather documents from multiple, distributed portals. Moreover, having a team full of industry practitioners amplifies our creativity and allows us to spearhead the evolution of how to best manage alternative investments. Our clients push us to continue innovating, testing, and building purpose-built solutions.

What do you hope will be the result of receiving this accolade?

We are honored to be recognized by *WealthBriefing* in the WealthTech Americas 2022 Awards. Receiving this honor validates the tech-forward approach we've taken in building our company and in redefining alternative investment data processes for our clients. With additional awareness of Canoe and our approach, we hope to help many more family offices and wealth managers reduce friction in change management, unlock their alternative investment data and scale their businesses. ■





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KEEPING A FOCUS IN EVER-CHANGING, COMPLEX WEALTH MANAGEMENT SPACE

Matthieu Cardinal, Vice President, Business Development and Strategic Partnerships at **Croesus**, talks to **Tom Burroughes**, Group Editor at *WealthBriefing*.

What sets you apart from your peers this year and why?

2021 was a dynamic year for Croesus. Although the pandemic continued to impact a number of activities, we were successful in key areas of focus. Here are some of our 2021 highlights:

- Croesus was named among the 100 most innovative WealthTechs worldwide (May 4);
- Croesus became a member of the Platinum Club of Deloitte's Best Managed Companies (May 5);
- Croesus signed a strategic alliance with Conquest Planning (June 9);
- Croesus announced its transition to the AWS cloud (Jul 27);
- Croesus was named a 5-Star Wealth Tech Provider by Wealth Professional Canada (Oct 29);
- Croesus launched Croesus Central, a next-generation portfolio rebalancing product (Nov 3);
- Croesus inaugurated its newly renovated offices (Nov 13); and
- Croesus signed a strategic alliance with PSTOX to integrate Croesus solutions with Salesforce (Nov 24).

In spite of all the challenges we faced last year, Croesus remained committed to reach its strategic objectives. Our efforts in product innovation, strategic partnerships, and architecture design resulted in notable industry recognitions.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

Croesus is actively working to diversify its client base and enter new market segments and territories. The company is working on strategic initiatives which involves redefining how wealth management technologies and capabilities will be provided to clients in such a way that they will benefit from improved productivity and seamless access to a vast array of wealth management tools. User experience will continue to remain at the centre of our product vision and development.

What have been the challenges you have had to overcome to reach such a standard?

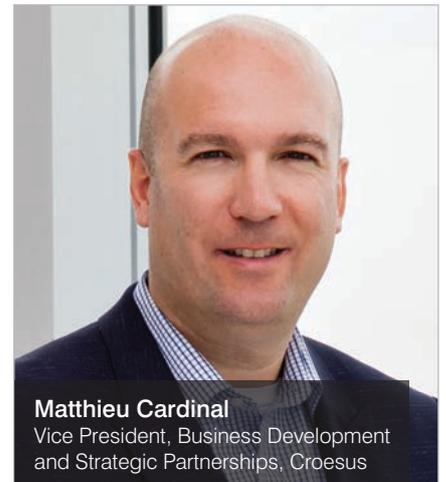
The wealth management market is ever more complex. It moves fast and lots of different components interact together. In such an environment, it is easy to lose focus and attempt to reach too many goals at once. The challenge we overcame was to keep our focus on what our clients and prospects were telling us and on our deep understanding of our market. This allowed us to deliver solutions and projects that truly fulfil the needs and requirements of our clients.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

Like for many companies around the world, the pandemic was a challenge for us. Nevertheless, our business model was not adversely affected because we have been providing our solutions in a SaaS model for over 20 years. For our employees, teleworking became the new normal and they adapted well to interacting with co-workers remotely rather than in person. Our Employee Experience team outdid itself in making the transition as seamless as possible. As a result, we developed and implemented a plan with various initiatives to help our employees adjust to the new reality. We also created online activities to maintain morale, a sense of belonging and to keep the Croesus Experience alive and thriving.

Have your differentiators become more important to your business? Are they still relevant? Whom do you look to for inspiration?

Our differentiators remained as important to our business as in the past. Our strategic planning also ensured that they remained up to par with market expectations. We obviously had to make a few adjustments here and there, but nothing major. We looked to our clients for



Matthieu Cardinal
Vice President, Business Development and Strategic Partnerships, Croesus

inspiration since they remain our best source of insights for improvement. We also look at our competitors and other FinTech players around the world. Our industry is moving fast and the tremendous number of new ideas that get to market compels us to adjust, evolve, and stay on top of this changing world. Changes in market regulations must also be taken into account since they chart the course for the industry's practices.

What do you hope will be the result of receiving this accolade?

Awards and nominations speak volumes and reveal the uniqueness of the Croesus experience. Indeed, we have won many awards in the past 10 years. They represent acknowledgment from the public and a tribute from industry peers to our capacity to innovate, grow, and succeed. These are valuable assets in an industry where trust is paramount. We are proud, yet humbled to have been selected. ■





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TURNING WEALTH ADVISORS INTO “ROCKSTARS” – WELCOME TO D1G1T

Dan Rosen, CEO, **d1g1t**, talks to *WealthBriefing* Editor Tom Burroughes on the firm’s accomplishments.

What sets you apart from your peers this year and why?

d1g1t passionately believes that financial advisors are irreplaceable when it comes to supporting client needs and goals, especially for high net worth and ultra-high net worth individuals and families. This is particularly true in a year like 2022 with uncertainty around inflation and the lingering impacts of the pandemic.

The d1g1t platform was designed from the beginning with the advisor client engagement at the forefront, and to make “rockstars” out of a firm’s advisors. Our purpose is to empower wealth management firms to scale up the high-value, human services that will set them apart in an increasingly digital world. It is this focus as a firm that sets us apart.

How have your colleagues contributed towards the success of your organization?

The other 2 co-founders of d1g1t, Benoit Fleury (CPO) and Philippe Rouanet (COO), are veteran entrepreneurs who have worked together with me for over 20 years, building and growing successful fintech businesses with strong financial engineering, R&D and end-to-end business teams.

Each of us has extensive experience in developing enterprise risk and portfolio management systems which have been used by many of the world’s top financial institutions.

Around this core, we have surrounded ourselves with an outstanding senior management team with an extensive track record in the Financial Services Industry while, at the same time, nurturing what I believe is the strongest financial engineering team in the industry.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

For d1g1t to stay in the forefront, we need to continue to prioritize the investment we have made in innovation which has been critical to our success to date. The recent advances in goals based

investing and Behavioural Finance in the industry are providing advisors with a broader range of discussion points as they engage with their clients. This approach is often more in line with how clients think about risk and return.

d1g1t is investing in the analytics and AI capabilities that can support and validate these discussions and, importantly, to make these analytics accessible to both advisor and client.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic?

The pandemic has created challenges of course, but also many opportunities. d1g1t was able to grow at just under 100% for the second consecutive year of the pandemic. Our business model has been able to thrive as the world, and our client base in particular, has embraced more on-line engagement.

From a people perspective, we have grown the d1g1t team by 80 % as well in the past year and greatly strengthen our senior management team. Today, the vast majority of our people joined the company during the last two years

What have you done to bolster their spirits?

I believe that the culture of a firm plays a very important role in fostering morale. The d1g1t culture has always been about innovation and delivering excellence, both in our product and our service to clients. For our people to fully appreciate our culture, we need to constantly engage with them beyond just their direct responsibilities and, importantly, provide them with ample opportunity to participate in the dynamic of the firm. We are still a small enough team that we can schedule firm-wide townhalls, educational seminars, and social events on a regular basis, with everyone contributing to these sessions. We are a hard working, high achieving team, but it is critical to carve out time for fun and humour in order to foster morale in a challenging environment.



Dan Rosen
CEO, d1g1t

Have your differentiators become more important to your business? Are they still relevant?

Right from the beginning, our biggest differentiator was that we developed the first truly enterprise wealth management platform powered by institutional-grade analytics & risk management tools.

Combining these capabilities while constantly placing the advisor client engagement at the forefront of the d1g1t platform is core to our value proposition to clients.

While many observers have predicted that technology will replace financial advisors entirely, we disagree wholeheartedly. Indeed, we believe that the role of the financial advisor will become increasingly critical in 2022 as investors continue to adapt to inflation and pandemic-related uncertainty.

In our mind, therefore, this differentiator has become even more relevant today as we continue to provide the deep (yet accessible) tools to support the success of financial advisors, enabling firms and their advisors to elevate the quality of advice & demonstrate its value to clients. ■





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SAVING CLIENTS' VALUABLE TIME AT DOCUPACE

David Knoch, CEO of **Docupace**, talks to Tom Burroughes, Group Editor at *WealthBriefing*, on how the firm has made a difference.



What sets you apart from your peers this year and why?

At Docupace we've leaned into our strategic vision to turn financial planning into financial planning well-executed and make back-office professionals the heroes of the next decade in financial services and wealth management. In 2021, as the largest and most tenured provider in our space, we processed over 25 million electronic documents, facilitated more than 500 million eSign transactions and opened more than 2 million new investment accounts for our clients.

Collectively, we saved our clients more than 291 million hours of processing time, which gave them more time to serve more clients, serve their current clients better, or spend more time with friends and family, all critically important outcomes in the middle of a global pandemic. Plus! We acquired two new companies, implemented five new internal systems, reorganized the company into customer focused teams, and implemented a new software development methodology!

How have your colleagues contributed towards the success of your organization?

Over the past year, we have executed on a substantial transformation of our

business, much of which is mentioned above. Without the vision, support, hard work, planning and contributions from Docupace team members world-wide we could not have attempted such far-reaching and sizeable projects, at the same time as making two new companies feel like part of the Docupace family (because they are!). I'm not sure there is a single person at Docupace who hasn't risen up to a new challenge, taken on new responsibilities, and created new results over this past year. The people I am privileged to work alongside every day set a bold vision, make robust plans, and turn these dreams into reality, for each other and our clients.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We're honored to be the largest, most-well established player in our space, but with incumbency comes incredible responsibility to the market we serve. To stay on the front foot, we're reinvesting our growth back into our business, listening with care to the future needs of our clients, empowering our product teams to dream big about the future, optimizing our business for success, and continuing to look for new companies to join the Docupace family and together turn financial planning into financial planning well-executed.

What have been the challenges you have had to overcome to reach such a standard? How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

Over the pandemic period we've paid close attention to our employee engagement scores and the verbatim commentary we receive. I'm proud to say our scores have improved every quarter since the pandemic began. As a remote

workforce, we've worked hard to maintain our connections by organizing into smaller, customer-focused teams, being intentional about spending time together virtually in non-work experiences (we did a kids Thanksgiving play over Zoom!), and cherishing the time together in person when we can get it.

Have your differentiators become more important to your business? Are they still relevant?

Our differentiators are more important today than ever. Multi-decade proven technology that accelerates digital transformations, a team of industry experts and veterans that know how to direct that technology to the benefit of our clients, a strong financial position and a "better-together" acquisitive mindset allow us to solve some of the most complex operations challenges at some of the US's largest financial institutions.

During a global pandemic digital transformation was no longer a should-have, it was a must-have and we were proud to be in a position to play a role in ensuring that financial planning was well-executed, even during a global pandemic.

Whom do you look to for inspiration?

I am inspired daily by the incredible care our team shows for each other and our clients, and the substantial results they create for others through demonstrating that care. ■





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A RANGE AND QUALITY OF SERVICE TO EXCEED CLIENTS' EXPECTATIONS

Robert Mallernee, CEO, **ETON Solutions, LP**, talks to *WealthBriefing* Group Editor **Tom Burroughes**.



What sets you apart from your peers this year and why?

One of our most notable distinctions from our peers is the quality and range of services we provide our clients. We provide our clients with specialized skills by offering dedicated resources in a variety of areas. If an office needs assistance with data aggregation, investment accounts, custom reporting, fund accounting, controller activities, or other services, Eton Solutions can support its requirements with our Global Service Center.

We've purposely built a team that includes both industry veterans and talented newcomers; the veterans provide the experience to ensure we define best processes for workflows while the younger team members bring fresh energy and modern ideas. Together, our team delivers premium service that ensures the office meets demanding expectations from clients - and it does this much more quickly than was previously possible (in hours and days instead of in months and quarters).

Our team members are the backbone of everything else we do: their experiences in family offices and wealth management has enabled Eton Solutions to craft well-defined processes that are validated by industry experts. These processes ensure we deliver service that exceeds our service level agreements (SLAs), irrespective of the employee working or their location. Our clients are assured that the outcome quality is dependable and consistent, and they receive ample metrics generated by our processes that provide further insight

and opportunity for continual improvement. Clients can also be confident that regulatory and compliance requirements are met.

AtlasFive provides all the support and enhanced controls necessary to exceed our clients' expectations with regards to accurate accounting, auditing, and reporting. Together - our people, our process, and our technology - form the infrastructure for a very scalable services organization.

How has your business and business model reacted to the pandemic?

Our business model showed impressive resilience throughout the recent pandemic. Because AtlasFive is a completely digital integrated platform, there was no need to move or adapt data for remote use. In fact, all of Eton Solutions' services and implementation methodologies were designed for remote delivery from our multiple offices around the world. This framework was designed by us to offer our clients scale and cost efficiencies, but an added benefit was the smooth adjustment to a fully remote workforce. Since our company's inception, our staff have been hired and trained to perform our entire range of activities remotely, so we already had the project management, collaboration, and productivity tools in place to ease the transition to 100 per cent WFH. Our employees were better positioned than others to quickly shift from office work to WFH which helped our teams maintain high morale and feel less disruption to their professional lives during this uncertain period.

Our clients also experienced virtually no changes to their use of our platform and services, even as countries around the globe faced various levels of "lockdown." We delivered all our implementation and service commitments during 2020 and 2021, and we have continued to grow our platform business and services by almost 100 per cent each year.

Have your differentiators become more important to your business? Are they still relevant?

Family offices are usually small teams - but they're expected to perform 300+ types of functions for their clients,

including investments, accounting, operations, and taxes. Eton Solutions' ability to support them across all these tasks is our biggest differentiator and is only continuing to grow in importance. As family offices continue to expand in complexity and take on more responsibilities for their clients, they'll need even more service support like we offer in order to scale without sacrificing efficiency.

Moreover, clients today have global investments, and family offices may find themselves mired in numerous regulatory and compliance challenges if they try to manage these requirements themselves. Our services teams work with clients in multiple continents and have the experience and knowledge to support the increasingly complex and diverse investment categories that are common today. Our pay-as-you-go model allows smaller family offices to expand their offerings and support to clients. As investment categories and complexities will only continue to grow, the range of services we provide to family offices will become even more essential to their ability to scale with minimized costs and risks.

What do you hope will be the result of receiving this accolade?

We are especially honored to receive this award because of the signals it sends about the direction the industry is moving. There is a growing appreciation of and acceptance for outsourcing some of the family office's tasks, and an increased understanding that quality and efficacy aren't diminished when outsourcing is done well. Family office personnel are recognizing they have additional time to focus on higher value tasks when certain responsibilities are outsourced, which leads to greater satisfaction for their clients. That client satisfaction, along with the opportunities for growth that outsourcing allows, validates Eton Solutions' business model and points toward the evolution of the family office of the future. ■



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HELPING CLIENTS SEIZE OPPORTUNITIES FASTER – THE FACTSET APPROACH

Gregory King, Senior Director, Wealth Management Strategy & Product Development, **FactSet**, discusses his firm's accomplishments this year.



Gregory King
Senior Director, Wealth Management
Strategy & Product Development,
FactSet

What sets you apart from your peers this year and why?

FactSet delivers superior content, analytics, and flexible technology to help more than 162,000 users see and seize opportunity sooner. FactSet helps wealth managers demonstrate their value to clients while protecting and growing their assets. Our all-in-one wealth management software combines portfolio analytics, multi-asset class research, global market analysis, and reporting tools as well as the building blocks to create custom, digital client experiences. FactSet's open and flexible technology allows wealth managers to consume data in a variety of ways via comprehensive data feeds, a configurable mobile and desktop platform, digital portals, APIs, and more.

How have your colleagues contributed to the success of your organization?

At FactSet, we are an inclusive community unified by the FactSet spirit to go above and beyond. Our best ideas can come from anyone, anywhere, and at any time. Our colleagues contribute to the success of the organization by rolling up our sleeves together to solve tough problems. One of the most notable accomplishment in the wealth management industry this

past year has been our deal with Royal Bank of Canada, where we virtually deployed a range of web and digital solutions to 8K+ wealth management professionals in Canada and the United States.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

FactSet continues to invest in enhancing our existing solutions for wealth managers and leveraging technology to support their digital transformation to meet client demands. We provide the tools needed to operate more efficiently, comply with local regulations, and grant a competitive edge. FactSet continues to enhance data quality and the collection and integration of additional datasets to help wealth managers uncover unique and actionable insights they need to reduce risk, operate more efficiently, comply with local regulations, and create a competitive edge to win and retain business.

What have been the challenges you have had to overcome to reach such a standard?

FactSet has focused our innovations and strategic investments on expanding our breadth of content—collected by FactSet and integrated from third parties—to support our clients' most sophisticated strategies. Our unique data symbology links and aggregates all of this content from disparate sources to ensure consistency, transparency, and data integrity. We not only collect and offer 30+ of our own datasets, but also work with over 1,000 third-party data providers to give our users a robust offering.

How has your business and business model reacted to the pandemic?

Our revenue has increased 6.5 per cent to \$1.59 billion this past fiscal year, up 6.3 per cent on an organic basis marking the 41st consecutive year of revenue increase for the company. Organic annual subscription value (ASV) plus professional

services rose 7.2 per cent, and our client count increased by 9.8 per cent during the year. That consistency of growth offers FactSet an opportunity to continue to invest in the technology and people that make our company successful. We grew our employee count by 3.9 per cent over the last 12 months, and remain focused on employee satisfaction as a primary metric of our success.

Have your differentiators become more important to your business? Are they still relevant?

FactSet's main differentiator is our industry-leading service and support. From the initial FactSet implementation, all the way through data organization and vendor management, FactSet's client service team is dedicated to learning every firm's unique workflows, understanding complex challenges, and designing solutions to make our clients more efficient. In addition to our industry-leading support, we recently released a new wealth management product, Advisor Dashboard, which combines each Advisor's book of business with FactSet's unique and differentiated content and analytics. Advisor Dashboard drives advisor productivity and enhances client outreach by surfacing personalized and actionable insights around relevant and impactful portfolio news, key events, AI-powered signals, and client exposures.

What do you hope will be the result of receiving this accolade?

Accolades such as these are a wonderful validation of our focus on our clients and our employees. If this award offers us the opportunity to reinforce the trust and confidence we've established with our clients and employees, that will be a great result. ■



LET'S SOLVE DIGITAL WEALTH

To thrive in the rapidly changing wealth management marketplace, you must move faster and think bigger than ever before. Working with the right partner with proven digital solutions will give you a leg up on your competition.

The FIS Unity wealth platform gives you advanced digital capabilities with a 360-degree view of your clients' financial holdings. This makes it easier to do business with your firm and enables your advisors to take a proactive approach to clients' investment needs. With Unity, your advisors will work more efficiently while spending time on business growth.

www.fisglobal.com/unity



**ADVANCING THE WAY THE WORLD
PAYS, BANKS AND INVESTS™**

HELPING CLIENTS IMPROVE EFFICIENCIES WHILE ADAPTING TO CHANGING INVESTOR NEEDS

Steve Schneider, Vice President, Product Manager, **FIS**, talks to **Tom Burroughes**, Group Editor at *WealthBriefing*, on the firm's achievements.



Steve Schneider
Vice President, Product Manager, FIS

What sets you apart from your peers this year and why?

FIS® wealth management business is recognized as a leader for breadth of solutions and expertise in outsourcing. As a strategic partner, we take a client-centric approach to developing and integrating our solutions and services, tapping into one of the most comprehensive solutions sets in the industry, to help clients overcome challenges and meet evolving business, regulatory and investor demands. Our goal is to provide a modern, comprehensive wealth ecosystem with a scalable operational service model to support firms of any size and complexity run their business more efficiently, connect with all generations of wealth and address the rapidly changing requirements of today's markets. Our Unity wealth platform provides the foundation for the delivery of a unified, end-to-end solution. There are three key differentiators that set Unity apart.

First, it delivers data analytics, workflows, alerts, and actionable dashboards that improve efficiencies and free up client-facing staff's time to focus on value-added activities. Unity not only leverages a native module to provide account-centric, client-centric and householding capabilities to track opportunities and perform actions, but it maximizes data, utilizing business intelligence and predictive analytics.

Second, it provides a single solution to manage transactions across all services with feature-rich tools to improve productivity. Unity provides a 360-degree view of the investor's accounts in a single pane of glass and is fully customizable with drag-and-drop widgets.

Third, its open architecture provides access to a broader ecosystem, positioning our clients to easily adapt to the changing needs of investors. With hundreds of products and partnerships in the FIS portfolio, we continually bring new relevant products through our API marketplace.

How have your colleagues contributed towards the success of your organization?

The recent release of the Unity wealth platform resulted in unifying the data and experience layers across multiple FIS accounting systems, bringing new capabilities for workflow and data analytics, plus integration with our banking solutions to deliver a modern, cross-platform digital experience to our clients. It is the culmination of the thousands of hours and commitment of the hundreds of team members to provide our clients with the solutions and services they need to be successful.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

FIS has moved fast to stay ahead of rapid technological change. We've accelerated the adoption of modern technologies such as artificial intelligence, multi-tenant cloud architectures and API-driven microservices so that we can increase our speed of delivery by 4x and continue to provide our clients the most modern fintech solutions. All this investment is focused on creating fast, agile and frictionless delivery, and modernized and simplified architectures for our solutions.

How has your business and business model reacted to the pandemic?

As the largest FinTech company in the world, FIS was ahead of the curve

and able to pivot quickly to an almost entirely remote workforce. This was an invaluable differentiator for us. We are in a relatively unique position in the market to have our technology tightly wrapped with secure and scalable business outsourcing services. This has not only been key in enabling our teams to remain agile and focus on service delivery, but also allowed most clients to transition to a remote environment with limited disruption. It really displayed our ability to nimbly adjust to world events and provide our clients with the necessary scale to maintain operations during difficult times.

What do you hope will be the result of receiving this accolade?

Being recognized with this award is a testament and validation of the hard work and dedication of the many people responsible for delivering this solution to our clients. At FIS, we believe that our colleagues are our greatest asset. Our hope at receiving this accolade is that the market knows that, too. ■

"AS THE LARGEST FINTECH COMPANY IN THE WORLD, FIS WAS AHEAD OF THE CURVE AND ABLE TO PIVOT QUICKLY TO AN ALMOST ENTIRELY REMOTE WORKFORCE. THIS WAS AN INVALUABLE DIFFERENTIATOR FOR US."





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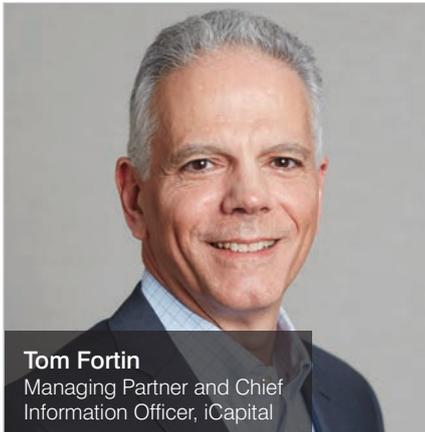
iCapital.

Powering the global alternative investment marketplace.



BLAZING A TRAIL IN THE ALTERNATIVE INVESTMENTS SPACE

Tom Fortin, Managing Partner and Chief Information Officer at **iCapital**, tells *WealthBriefing* about this firm's rapid ascent.



Tom Fortin
Managing Partner and Chief
Information Officer, iCapital

What sets you apart from your peers this year and why?

iCapital has modernized the way wealth managers access alternative investing opportunities and is recognized as the industry standard technology solution for alternative investing across the global asset and wealth management ecosystems.

In 2021, iCapital continued to invest in its technology platform, education offerings, and global support team to assist asset managers in accessing the growing pool of high-net-worth investors and help wealth management clients enhance their alternative investing processes. The iCapital global workforce, which now includes more than 700 employees, has increased assets over the past year by \$40 billion (59%) to now service more than \$108 billion on its platform. The firm more than doubled investments from investors outside the US to more than \$24 billion in international assets. To maintain support for a growing roster of international clients and investors, iCapital's global headcount increased to 150 team members providing on the ground support in Toronto, Zurich, London, Lisbon, Hong Kong, and Singapore.

Enhanced by two fundraising rounds and two acquisitions in 2021, iCapital's focus on expanding its investment and educational product offerings along with advancing the client experience, allowed the firm to increase the number of advisors using the iCapital platform to offer alternative investments to more than 8,500 advisors.

What have been the challenges you have had to overcome to reach such a standard?

Historically, individual investors have been unable to access high-quality alternatives, due to high minimums (\$1.0 million-plus), lack of product knowledge, and the absence of an efficient marketplace. At the same time, demand for access is growing. Over the last 20 years, the universe of publicly-traded companies has steadily eroded, with many of the best opportunities for returns residing in the private markets. Today's volatile markets, coupled with a shifting regulatory landscape – the SEC and DOL increasingly acknowledge the importance of allowing qualified investors to access private market strategies – further places alternatives like private equity and hedge funds in the limelight for their ability to increase portfolio diversification, generate returns and provide a smoother ride during volatility.

iCapital's technology has transformed and democratized the alternative investing process for the asset and wealth management industries through intuitive technology and robust education. iCapital's technology provides access to institutional-quality alternative investing opportunities for financial advisors at independent firms, wire-houses, and private banks and allows asset managers the opportunity to scale and reach new sources of capital. iCapital is fully integrated with custodians, administrators and transfer agents across the ecosystem to create a seamless investing process.

How has your business and business model reacted to the pandemic?

Technology companies serving many industries have seen an increased purpose and demand as a result of the pandemic. Over the past two years, as organizations implemented business continuity plans, many recognized the benefits technology can provide to keep operations moving seamlessly during widespread remote staffing and social distancing. Like many, iCapital increased the scope of our technology partnerships to add additional digital capabilities during this time. For example, firms that previously chose

to maintain wet signatures for certain transactions have opted to add our e-signature capabilities to simplify and streamline the investing process during the pandemic. There is no doubt that the workplace and society more broadly will be indefinitely changed as a result of the pandemic, and the importance of smart technology will be valued more than ever.

Have your differentiators become more important to your business? Are they still relevant?

iCapital has prioritized alternatives education since its founding. Historically, knowledge, resources and research specifically focused on the private markets have been elusive for financial advisors and their HNW clients. But the best results occur when financial advisors and their clients are appropriately informed on the risks and considerations of investing in alternatives. To address this issue, iCapital has developed comprehensive research, education, and portfolio analytics tools to support the wealth management community's understanding of how alternative investment strategies can potentially be incorporated into client portfolios. In February 2021, iCapital and CAIA Association announced a partnership launching AltsEdge, a robust and innovative alternative investing education program for financial advisors offering research-based, CE-accredited modules to prepare advisors to optimize the use of alternatives in their practices.

What do you hope will be the result of receiving this accolade?

Clients are at the heart of everything we do. Our hope is that iCapital's recognition as an industry leader will allow us to continue to responsibly bring private market investments to a broader pool of investors and clients, and that increased scale will encourage further innovation and efficiency for our clients. ■





We Help RIAs Grow

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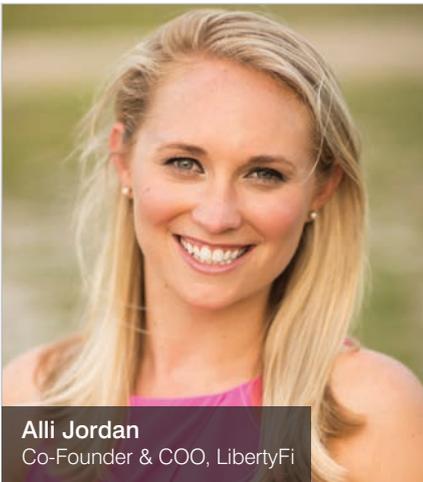
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- Established in 2017
- Serving RIAs nationwide
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LIBERTYFI KNOWS WHAT REGISTERED INVESTMENT ADVISORS WANT

Alli Jordan, Co-Founder & COO, **LibertyFi**, talks to *WealthBriefing* about its accomplishments.



Alli Jordan
Co-Founder & COO, LibertyFi

How have your colleagues contributed towards the success of your organization?

One element of our firm's success is that everyone at LibertyFi started their careers on the RIA side of the industry. We understand the challenges that advisors face when they create and run their firms. When we started our company, we wanted to help clients not only identify great wealth technology but also successfully deploy it by creating an organization that values collaboration and teamwork, both in how we work together and how we work with clients. Our success depends on the relationships we have within the company. We know and trust each other, and that comes across to our clients, who trust us and value the important role we play in their long-term success. There is nothing more satisfying to us than when a client tells us that they consider us a part of their team and success.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

We were fortunate when the pandemic hit because our business is based on cloud-based technology. With our strong culture of collaboration and customer

service, we were able to pivot to remote work without really missing a beat. Because we're a small team, we balanced remote work with socially distant in-office work. By closely collaborating, we were able to help our clients shift from office-based, in-person experiences to meaningful remote experiences for investors and their families. We have coached clients on how to get the most from their wealth management platform as well as from video conferencing technologies. During the height of the pandemic, we organized a few socially-distanced company events because we are friends as well as coworkers.

Have your differentiators become more important to your business? Are they still relevant?

An important differentiator for LibertyFi is that all of us have always worked on the RIA side of wealth technology. We understand RIAs who, like LibertyFi, are owned and managed by leaders whose experience was compiled in the RIA arena. We bring that experience to bear as we work to bridge the gap between wealth tech providers and users. We measure success not by how many subscriptions we install, but by how well we align with our clients to see that they adopt and adapt the technology to meet their immediate and longer-term business requirements. While the best wealth technology platforms are developed by tech innovators, there is no doubt that the best deployments are led by consultants who have spent their careers positioning firms to use advanced technologies to improve service and workflows.

We work as an extension of each firm, providing ongoing training, support, and troubleshooting to help advisors confidently deepen their client relationships by using automated workflows and tasks so they can spend more time serving clients and less time managing technology. This value proposition is core to our success. It's more valuable now than ever because of the increasing numbers of RIAs in the market—there are more advisors leaving large established firms who need our

help to successfully set up their new businesses and satisfy investors. Just ask our clients. We have done it over and over again.

Whom do you look to for inspiration?

We're always inspired by our strategic partners, Wealth Advisor Growth Network (WAGN) and WealthShield, and our clients who had the vision and determination to breakaway and create their firms. It's important to bear in mind that many advisors who leave larger firms may be experts at wealth management, but few of them have ever started or run a company. It really is a jump into the unknown for them when they break away. It's inspiring to see them make the leap and to help them, with WAGN and WealthShield, turn that risk into reward.

What do you hope will be the result of receiving this accolade?

This award is a validation of the hard work, energy, and passion we've invested into serving our clients and growing our business. It's rewarding to our entire team to have this industry recognition, which will further differentiate us in wealth tech space. ■

“ THIS AWARD IS A VALIDATION OF THE HARD **WORK, ENERGY,** AND **PASSION** WE'VE **INVESTED** INTO **SERVING** OUR CLIENTS AND **GROWING** OUR BUSINESS.”





Masttro empowers you to make informed decisions at a moment's notice from anywhere in the world.



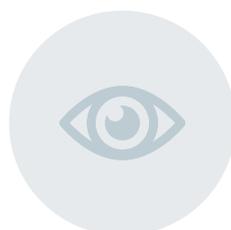
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Transparency across the entire estate. Easily view and report on every financial & non-financial asset, liability, transaction and document.



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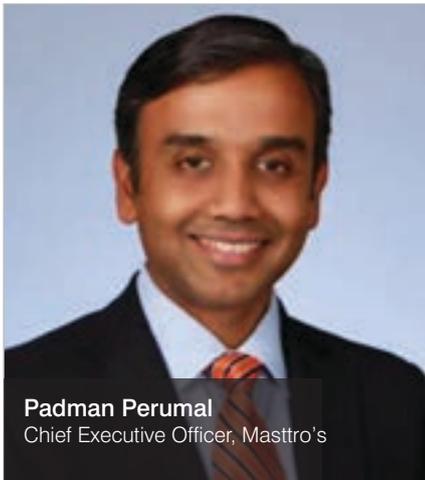


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MASTRO'S FULL VIEW OF FAMILIES' WEALTH WINS ADMIRERS

Padman Perumal, Chief Executive Officer of **Mastro's** North American operations, talks to **Tom Burroughes** of *WealthBriefing*, about its awards success in the Canadian market.



Padman Perumal
Chief Executive Officer, Mastro's

What sets you apart from your peers this year and why?

Mastro delivers easy-to-digest and interactive views of total net worth to provide complete transparency across the family enterprise's complete balance sheet, banking relationships, and overall estate - regardless of size or complexity.

The most advanced, military-grade cybersecurity and data security protocols are foundational to Mastro, as is our restricted visibility to our clients' data to provide unparalleled data privacy. This safeguard is unique to Mastro, and we believe it should be part of the new standard in wealth technology.

Our founders deeply understand and empathize with the pain points that family offices experience first-hand for more than thirty years prior to Mastro. In 2010, they set out to create Mastro, a fully integrated wealth intelligence platform designed from the perspective of the wealth owner.

How have your colleagues contributed towards the success of your organization?

Mastro is comprised of global team members with deep experience leading global private banking operations, serving family offices and private wealth clients, and building innovative technology solutions at leading institutions. We are a passionate team deeply rooted in our mission to empower and enable our clients across

the globe, including Canada, to make informed, data-driven decisions at a moment's notice that may impact their legacy and future generations.

What are you going to do to stay on the front foot in a fast growing but also challenging region such as this?

Our strength in aggregating data, particularly of non-financials and passion assets, is unique to Mastro and will remain a focus point in our innovation roadmap. The latest advancements in AI and Machine Learning enables us to build platform features that save our clients hours of manual input.

What have been the challenges you have had to overcome to reach such a standard?

At Mastro, data security, quality and integrity has been our priority from the onset. An initial challenge we've overcome is developing a proprietary technology that allows us to flexibly establish direct, server-to-server connections to any financial institution in the world in an expedited manner. Today we have mastered that process and have established connections across 450+ custodians in 28 countries that our clients are domiciled in. We opted to build this technology in-house versus relying on a third-party aggregator to protect and ensure the accuracy of our clients' information along with our auto-reconciliation process.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

With the uncertainty our clients have felt amidst the pandemic, our team remained rooted in our mission to enable and empower our clients to make informed, data-driven decisions. Mastro continues to offer unprecedented value to our clients and leads the industry with new capabilities that offer greater automation and efficiency.

The pandemic led to an increased demand from family offices to modernize

their technology stack for on-demand, data-driven decision making.

Have your differentiators become more important to your business? Are they still relevant?

Mastro's client service will always remain an important and gratifying differentiator to our global team. We are intentional and hands-on with each client interaction.

Whom do you look to for inspiration and ideas?

We build new innovations by looking not where the industry is going and what the trends are, but by thinking years ahead and having a deep understanding and empathy at the pain points of our clients.

What do you hope will be the result of receiving this accolade? How does it help your business in this region?

Real-time transparency in an automated matter should replace redundant processes that are prone to human-error, such as manual keystrokes in Excel. We hope to inspire those that are curious about leveraging technology to optimize their operations to explore technology solutions that suit their unique needs. It is deeply gratifying for our team to empower and enable our clients to win their time back and be able to make informed, data-driven decisions on-demand from any corner of the world. ■



A vibrant watercolor background with a spectrum of colors including yellow, orange, red, and purple.

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The logo for MYVEST, featuring a stylized 'M' icon composed of three vertical bars in blue and green, followed by the word 'MYVEST' in a bold, blue, sans-serif font.

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AT MYVEST, PEOPLE MATTER

Jennifer Hartmann, MyVest's Chief People and Culture Officer, talks with **Tom Burroughes, WealthBriefing** Group Editor, about its strategy to be a great employer.

What sets you apart from your peers this year and why?

"Inclusion" and "diversity" are two of the most popular words of this century. "They are equally important to us," Hartmann said. "We can't build or maintain diversity without inclusion, and diversity makes us a better company."

As the winner of both the 2022 Diversity and 2022 Wealth Tech Employer awards, MyVest is regularly ranked highly by employees for our inclusive culture. "We are proud of the recognition by WealthTech Americas of our efforts in Inclusion and Diversity," Hartmann said. "To formally support these concepts, a strategy was developed and we partnered with an I&D consultant to do a complete assessment of policies and practices across MyVest. They also analyzed our survey data and conducted employee interviews and focus groups." A roadmap was developed for our work:

Becoming data driven - We developed a data-driven approach to measuring, monitoring and improving our I&D efforts, and we conduct regular employee inclusion surveys to maintain our understanding of employee sentiment on I&D in our workplace.

Training - All employees are trained in unconscious bias and inclusive hiring and our management is trained in inclusive leadership. We've also added on-demand training resources so our employees can continue their I&D learning journey.

Recruiting - MyVest defined new employee recruitment and onboarding processes focused on eliminating bias and creating a more inclusive selection process. In tandem, we established new partnerships to expand our pool of job candidates, and we continue in our commitment to the nationwide Equal Pay Pledge.

Employee engagement - MyVest encourages the activities of employee-driven Employee Resource Groups

and celebrates different cultures throughout the year. The past two years, our employees joined in our Summer of Giving program to share with each other the charities and programs they support.

We participate in People & Culture awards to celebrate the strength of our diverse workforce. In the past several years we have won Best Places to Work in Fintech by American Banker, Best Tech Work Culture by Tech In Motion, and three Best Tech Manager awards.

Employee benefits - MyVest embraces flexible schedules, flexible PTO, paid parental leave and remote work opportunities. When we changed our paid parental leave to 10 weeks, we knew we needed to do more. This year, we added benefits for employees seeking fertility treatment and adoption. This went beyond adding fertility benefits to our medical plans, because some would-be parents need fertility assistance that is not considered medically necessary.

How have your colleagues contributed towards the success of your organization?

One of MyVest's core values is "People Matter," and it's a true guiding principle - everyone's voice is heard and encouraged. MyVestors, as we refer to ourselves, are so much more than just organizational resources - we're an indispensable part of our company's success.

As a technology company, we seek opportunities for input from all employees to advance our technical infrastructure for continuous innovation. This includes upgrading existing technical frameworks, adding new tools, or redesigning modules or components for better performance and scale.

In our Agile development model, we've created technical focus groups (i.e. UI, QA) that allow for MyVestors across teams and organizations to collaborate and make recommendations for improvements and adoption.



Jennifer Hartmann
MyVest's Chief People and Culture Officer

One MyVestor says it best, "What's really special about MyVest is the people. I appreciate that I'm not just a number. We are small enough that each individual is visible and can have a real impact." Our average tenure is 5.4 years (with many MyVestors here for 10 and even 20 years) so we know we're doing something right!

What Sets MyVest and its product apart?

MyVest builds enterprise wealth management technology for the digital age. Driven by a vision for client-centric advice, our Strategic Portfolio System™ (SPS) enables holistic, personalized portfolios at scale by automating personalization, tax management, and compliance across a firm in a single unified system. ■

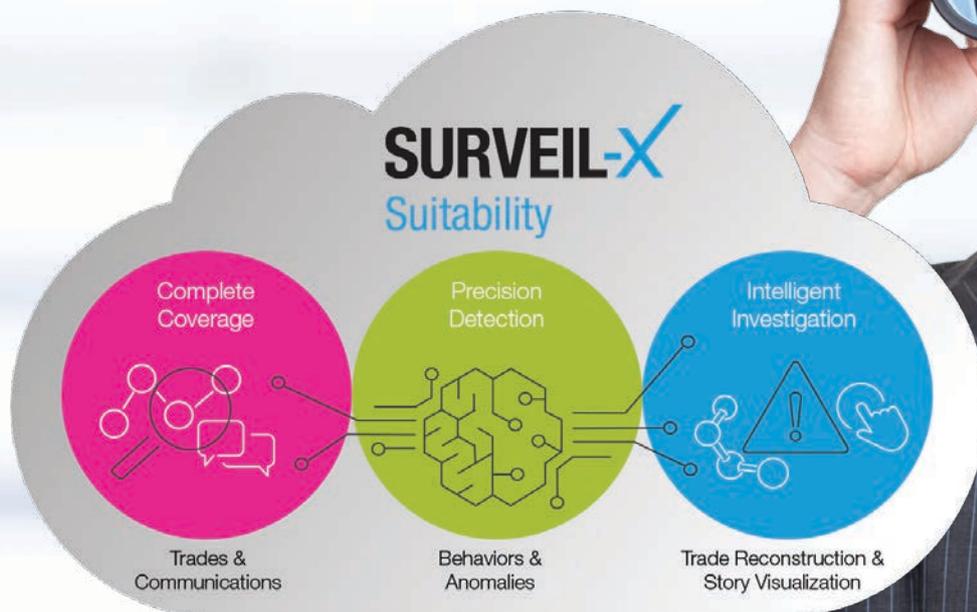


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- Discovers Previously Unknown Risk
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NICE ACTIMIZE BRINGS “BEHAVIORAL INTELLIGENCE” TO COMBAT CLIENT ABUSE

Lee Garf, General Manager, NICE Compliance Line of Business, at **NICE Actimize**, talks to Tom Burroughes, Group Editor at *WealthBriefing*.

Since FINRA's Regulation Best Interest and Rule 2111 went into effect in 2020, it has significantly impacted the wealth management, retail trading, and insurance communities. The industry has seen numerous fines levied against firms skirting the rulings, most recently up to a million dollars for one firm's alleged failure to adequately monitor clients' accounts for overconcentration in high-yield or "junk" bonds. Within this climate, there comes a demand for better supervision and surveillance. As a result, wealth management firms are looking for ways to manage their advisors, serve their clients, and address regulatory requirements while ensuring the best outcomes for all parties.

The primary trend that has emerged is focusing on "behavioral intelligence." Behavioral intelligence provides regulated firms with important insights into their employees behavior, and help firms be more proactive in detecting various forms of misconduct. This not only impacts regulatory compliance, but also addresses the relationships between advisors and their institutions as well as with their customer base.

"Today's wealth management focused technology, such as NICE Actimize's SURVEIL-X Suitability Surveillance solution, is more than just a client abuse detection tool," explains Lee Garf, General Manager, Financial Markets Compliance, NICE Actimize. "As we serve our wealth management and insurance customers, our surveillance solution provides behavioral intelligence data back to the firm, which can be used in determining both business strategies and in improving communications and relationships between internal advisors and their clients."

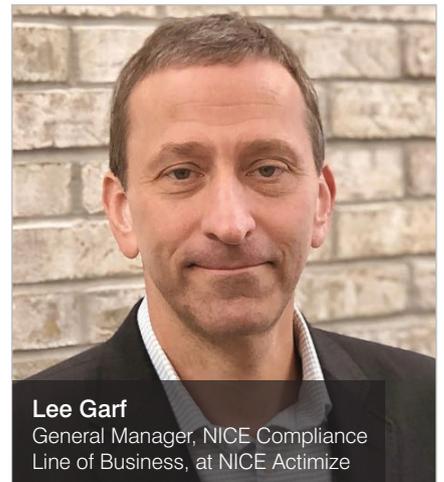
Garf also noted that the market for wealth management compliance solutions has shown strong growth over the past year, both at mid-sized institutions

and large-scale financial services organizations. "The ease of deployment, enhanced by cloud technology and lowered costs, has made these technologies critical for wealth management teams – not only for adhering to rules and government guidelines but also as they do business planning that impacts product development and their bottom line. So again, supervision and surveillance are key to success."

He added: "We continue to highlight the 'know your employee' aspect of suitability, which brings benefits across a financial services organization as the behavioral data becomes easier to access and analyze for both short term and long-term benefits to advisors and management."

NICE Actimize SURVEIL-X Suitability uses a built-in broker risk dashboard for an intuitive and instant view of risk posed by individual brokers. By automating oversight and supervision, firms can ensure consistency and maintain a consolidated audit trail, lowering regulatory risk while improving productivity and efficiency. Consistent controls and processes and sophisticated analytics address sales practices and investment suitability requirements from regulatory bodies such as FINRA, IROC, MiFID, CFTC, UK FCA, BaFin, AMF, CONSOB HKMA, and ASIC.

Additional benefits of the solution include automated alert generation, reporting, and audit documentation which work to eliminate manual look-ups and increase staff efficiency while creating more consistent processes across the enterprise using fewer resources. In addition, hierarchical organizational views increase oversight and transparency, ensuring brokers advise clients with suitable investment recommendations, enhancing client satisfaction, and mitigating the risks of litigation, regulatory penalties, and reputational damage. ■



Lee Garf
General Manager, NICE Compliance
Line of Business, at NICE Actimize

“WE CONTINUE TO **HIGHLIGHT** THE 'KNOW YOUR EMPLOYEE' ASPECT OF SUITABILITY, WHICH BRINGS **BENEFITS** ACROSS A FINANCIAL SERVICES ORGANIZATION AS THE BEHAVIORAL DATA BECOMES **EASIER** TO **ACCESS** AND **ANALYZE** FOR BOTH SHORT TERM AND LONG-TERM BENEFITS TO ADVISORS AND MANAGEMENT.”



Where High-Touch Accounting Fuses with Secure Technology.

Serving High-Net-Worth Individuals & Family Offices Since 1996.

Plumb was founded by financial experts and accounting professionals with a deep understanding of the unique needs of high-net-worth individuals and families.

We serve as an extension of your family office team, treating all of our customers and partners with the utmost of care and precision.

By providing high-touch technology services through our Plumb BillPay services and app, and our Family Office Accounting services, we act as stewards for your day-to-day and long-view financial wellbeing.



Bill Pay Technology Solutions

We are not financial advisors; we are stewards of your day-to-day financial well-being.



High-Touch Outsourced Accounting

We excel in the simplification and organization of complex accounting and consolidated reporting.



Stewardship in Service

We serve high-net worth individuals and family offices; and we partner with RIAs or Private Wealth and Financial Advisors in service to their clients.

FUSING BILL PAYMENT TECH AND HIGH-TOUCH SERVICE

Anneke Stender, Executive Vice President of **PLUMB Bill Pay**, talks to this news service about how it has stood out from the crowd.



Anneke Stender
Executive Vice President,
PLUMB Bill Pay

What sets you apart from your peers this year and why?

PLUMB Bill Pay was developed by financial experts and accounting professionals with a deep understanding of the unique challenges of high-net-worth individuals and the needs of family offices.

What sets PLUMB apart is our fusion of bill pay technology and high-touch services. Of course, we have expertise in family office accounting, but we fuse this with secure technology that streamlines and improves bill pay processes.

We serve as an extension of your family office team, treating all our customers and partners with the utmost care and precision - this includes overseeing not just bill pay and accounting, but managing wires, capital calls, and any other issues that arise that we can assist with.

How have your colleagues contributed towards the success of your organization?

At PLUMB, we stay ahead of the curve by creating our own proprietary Bill Pay Workflow Application tailored specifically to the HNW and single/multifamily offices. We understand the accounting necessary to support complex estate planning and consolidated reporting. The PLUMB Bill Pay app integrates with QuickBooks Enterprise, QuickBooks Desktop, QuickBooks Online, and SAGE Intacct to ensure ease-of-use and clear financial reporting.

The innovation behind our technology is powered by our ever-growing team of trusted professionals. Our team's high level of knowledge and service in the UHNW individual space is the foundation of our technology, as well as what fuels the ongoing innovation of our product.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

Our focus is "Service First". Serve our clients. Serve our referral partners. Do a great job and do that by embracing our role in the UHNW industry. Obviously, technology is important, and we will continue to invest and grow our software platform along with continuing to provide a high level of service, evolve based on customers' needs, and stay on the pulse of changes to stay ahead of the curve.

What have been the challenges you have had to overcome to reach such a standard?

We hire superstars. Now, our definition of a superstar is different than most. Our superstars are the foundation of great brands. Our superstars are client and Bill Pay associates, client relationship managers, and everyone else on the team that is there, day-in and day-out, serving their clients, contributing to their team, and providing white glove service. How do we sustain our high standard of service? By celebrating our team members. By investing in our team members. By creating technology that is industry leading and enables them to create an ever increasingly better client experience. Really, we're just getting started, there is so much more to build!

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

Team members are tough to come by and we do our best to retain and incentive them in unique ways to keep them with PLUMB. We embrace the challenges that our team members are going through and do our best to accommodate their needs.

Frankly, some of our team members' challenges initially caught us off-guard and we realized that the pandemic is not a "one size fits all" answer. We created a regular check-in between team members, virtual group events, and other team-building activities. Our "Monday Morning Kick Off" meeting became much more vibrant. Some things worked and have been adopted long term, other things did not. We will keep striving, trying new activities, while keeping our cadence of tried-and-true practices.

Have your differentiators become more important to your business? Are they still relevant?

High touch technology fused with top level service is our up-front differentiator. With that being said, when our clients' need us to dig deeper, they come to understand and value the depth and breadth our team brings. While we continue to invest in and improve our proprietary bill pay technology, it's our smart and caring people that routinely make the difference. Our team serves our clients and partners with the utmost care. Exceptional service will always be relevant.

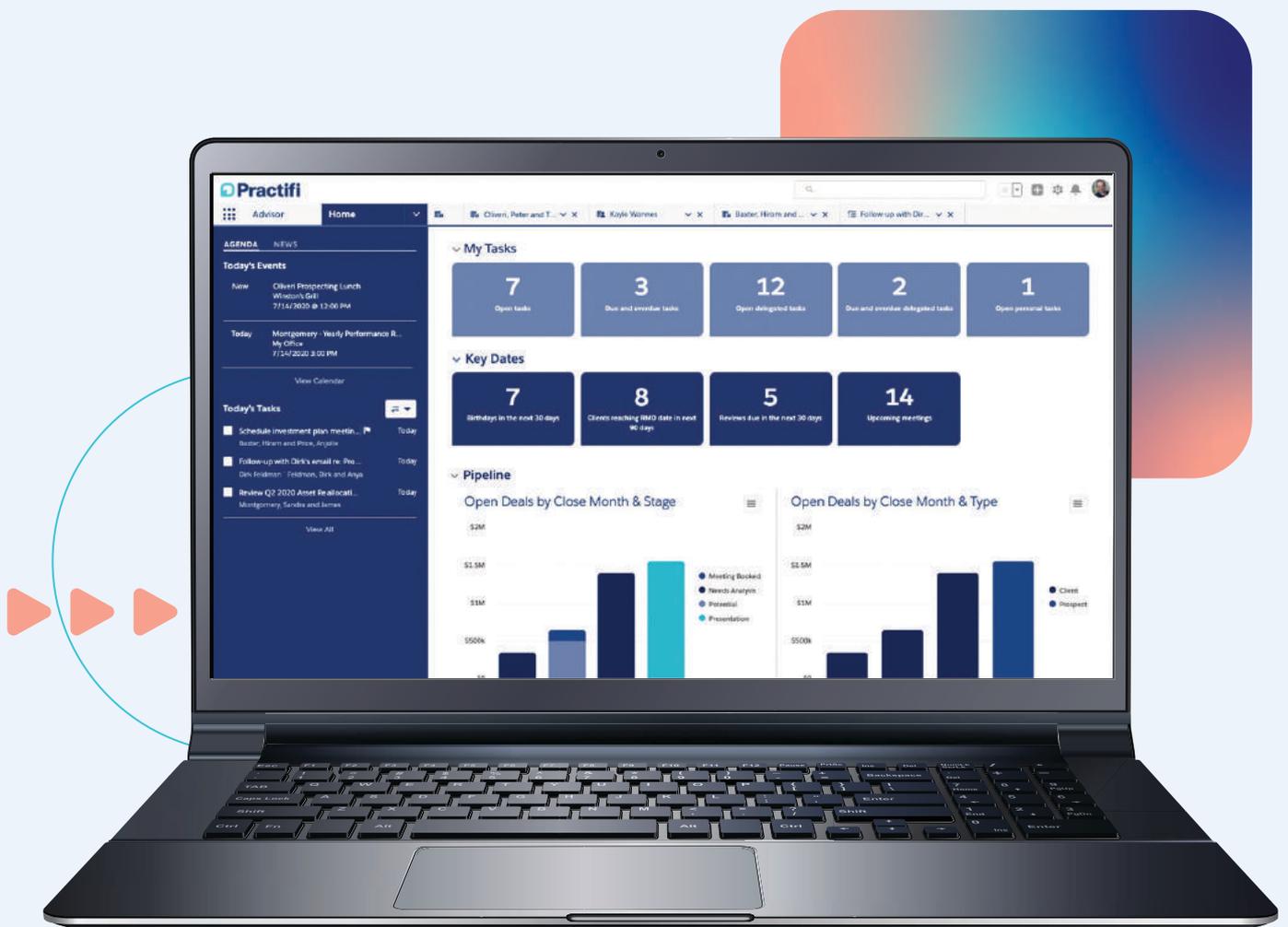
Whom do you look to for inspiration?

Our clients, old and new, bring us inspiration. Each one started with their dream, and they are inviting us to play a role in that dream. We take that role of stewardship seriously.

What do you hope will be the result of receiving this accolade?

Spread the word about us, our people, and our story. We are a 20+ year overnight success that the world is just starting to know. This award is a testament to our best-in-class services and a foundation of technology and bank-level security that has led to our growth and success this year. ■





Power more possibilities.

We're Practifi, an award-winning performance optimization platform pioneering innovative business solutions for the wealth management industry. Our technology empowers teams to leverage comprehensive APIs and integrations to automate workflows, centralize client data and gain greater visibility across their organization—all in a unified workspace.

Learn more at practifi.com

GIVING RIAs THE TECHNOLOGY EXPERIENCE THEY DESERVE

Adrian Johnstone, Co-founder and President of **Practifi**, talks to **Tom Burroughes**, Group Editor at *WealthBriefing* on its success.

What sets you apart from your peers this year and why?

At Practifi, we understand that today's RIAs rely on a number of critical software platforms to provide an excellent level of service. When these systems aren't well integrated, data becomes siloed and processes disconnected, making it difficult for advisors to find important client data when they need it most.

Practifi is the performance optimization platform purpose-built to handle the complex nature of RIAs. Built on Salesforce, our platform empowers teams to automate workflows, create rich client records, and access advanced analytics in a unified experience. With comprehensive APIs, a range of specialist wealth industry integrations, and an ecosystem of hundreds of integrated apps, our platform centralizes data and gives greater visibility across advisory organizations.

We also believe that everyone in an RIA deserves a technology experience curated for their role. Which is why in 2021 we rolled out bespoke apps for advisory, client service, compliance, marketing and management teams to cut down the noise and display the information most relevant to each team. Our revolutionary apps surface data, dashboards and reports most pertinent to the different roles within an organization helping teams save time, minimize risk and streamline processes.

Our clients are trusted to grow the prosperity of millions around the world and our job is to make that an easier, more connected, and more delightful experience than ever before. Ultimately, in a sea of disparate technologies, Practifi is a unifying force with our integrated solution, efficient operations and excellent customer service.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

Our team continuously strives to create a platform that stays ahead of the industry's needs and enables us to serve both our clients and theirs, with seamless, data-driven technology. With three major product updates throughout the year and a core focus on design and usability, we provide an innovative platform for RIAs

who depend on technology to speed up processes and keep up with evolving client expectations.

To ensure our product continues to provide value, exceptional service and client satisfaction, we've also built a strong leadership team of industry experts. Our goal is to be a true partner and trusted advisor to the wealth management industry, and we added deep domain expertise to understand the needs of our clients and future customers.

What have been the challenges you have had to overcome to reach such a standard?

Keeping up with the evolution of new technology and staying at the forefront of those trends can be challenging. It's even more challenging with ever-changing compliance requirements within the financial advisory industry. Advisors and financial planners operate in one of the most heavily regulated industries, so our biggest challenge was to be able to meet these complex needs and simplify the process.

Our platform's approach to this matter is proactive, our system offers the ability to maintain client records that are essential for compliance. We built a seamless client-data-capture solution that gives you instant access to the right data, accurate ownership of data, and robust client records.

Our solution offers advisor authorization management to ensure that advisors are only providing advice in the areas in which they are licensed. At multidisciplinary firms offering a range of services, it's essential to know who can provide the right advice. Practifi makes it easy to find and track which advisors can provide certain advice for a seamless client experience. By proactively managing authorizations, firms can prevent mistakes and ensure that all clients can trust the advice given to them.

Capturing all client interactions is another impactful way advisors can use Practifi in conducting their work with increased granularity. Our compliant technology makes it effortless to capture every client interaction with timestamps, changelogs and detailed business reports.



Adrian Johnstone
Co-founder and President, Practifi

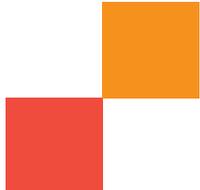
Have your differentiators become more important to your business? Are they still relevant?

A strong commitment to client success is what makes us different. At Practifi, we are more than just a technology provider, we strive to be a technology partner. We provide our clients with exceptional support through their journey with us. Our experienced onboarding, client success and professional services teams work closely with each firm to ensure they are achieving their goals, taking advantage of product features, and maximizing value with Practifi. However, the support doesn't stop there. With a dedicated learning team, we create tailored content that firms can use to increase product knowledge and adoption within their organizations.

Most importantly at Practifi, we believe that partnership means more than just picking up the phone when something goes wrong. Our team is wholly committed to working closely with our clients to understand their pain points and goals to find the solutions they need - or build them if they don't exist. Every member of our team, from client success managers to technical engineers, is laser-focused on making sure advisors get the most value out of our platform and our relationship. ■



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GIVING CLIENTS DEPTH, BREADTH OF EXPERTISE AT PWC

Danielle Valkner and **Frank Graziano** of **PwC**, explain how their firm reached an award-winning point.

What sets you apart from your peers this year and why?

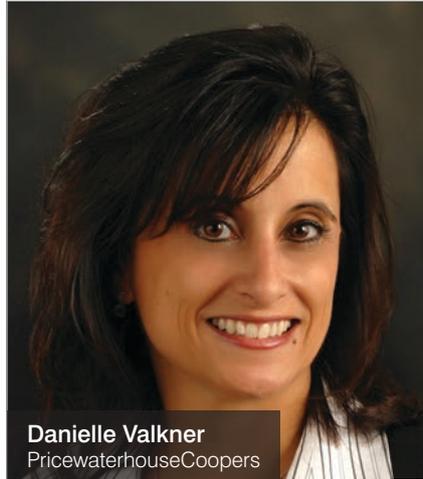
Danielle: Our differentiator? People. It's our human-led, tech enabled approach with a deep bench of talented professionals helping families and their family offices leverage powerful technology to manage the entire family enterprise. Today we can give ultra-high net worth families a digital, near real time view of their entire estate, including both their liquid and private assets that wasn't possible just a few years ago. Innovation happens fast and it takes skilled people to transform digitally. Family offices can outsource complex portfolio analysis and accounting to us and let us be an extension of their family office, with the high touch, custom service you expect from PwC.

Frank: In addition to the depth Danielle mentions in our bench, it's also our breadth that differentiates us. We advise on the full spectrum of wealth on both personal and business matters from governance, cybersecurity and ESG to tax strategy and preparation to help once we know what it is our clients need. We listen to our clients and build our solutions around them. They can come to us with their dreams for their legacy or their problems, and we'll convene a team clients can trust will help them solve almost any challenge.

What are you doing to stay ahead in a fast-growing, challenging region such as this?

Frank: We need to constantly think about what can be automated and how we manage workflow, so we free up people's time for value added services and to right-size our solutions. We are also always thinking about how we can leverage technology, automation, and data to understand and address the needs and complexities of our clients.

Danielle: With our managed service, Wealth Compass, for example, our PwC professionals help family offices take full advantage of the capabilities within the software to access near real-time investment insights and analysis across their estates. This is particularly helpful for private assets that tend to have manual reports. When I say people, I also mean



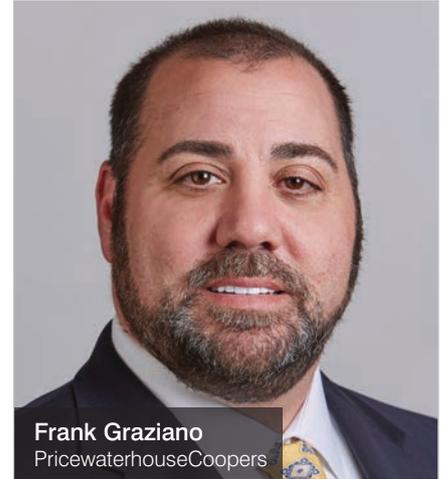
Danielle Valkner
PricewaterhouseCoopers

our external relationships. Our service is powered by Mastro, a leading wealth technology provider. We work closely together to serve our clients. In addition to highly visual reporting, the adoption of AI and machine learning technology to enhance its reporting solution sets Mastro apart from the competition. Our dedicated people combined with leading technology help family offices stay ahead of the curve.

Whom do you look for inspiration?

Danielle: It's our clients who consistently inspire me to want to do more and help them tackle the tough issues to help them see their visions come to life. Their dreams for the future often focus on solving the world's biggest problems like climate change, income inequality, and diversity and inclusion. When you have a higher purpose, it helps you stay motivated and inspired when you are working so hard on the tough issues.

Frank: I agree. It is our clients. For example, take philanthropy. We have the knowledge and skills to help our clients do more with their resources with proper planning. And that can go towards improving social justice, education, or any philanthropic cause they are passionate about. The amount of good happening in the world isn't something you always hear about. We want to be a part of making more of that good happen and help our clients leave legacies that help generations to come.



Frank Graziano
PricewaterhouseCoopers

What do you hope will be the result of receiving this accolade?

Frank: We want to continue working more and more with family enterprises, family offices and others in this ecosystem. These families are increasingly seen as a force for the future given the sheer volume of long-term capital they have to invest. Ultra-high net worth families tend to invest in private businesses, which have become the most trusted institutions in the US. With younger leaders' social consciousness, the amount of good that can come out of their investments in ESG-aware businesses, impact and philanthropy has the potential to be a game changer for our planet and people.

Danielle: We find when we collaborate with others, it raises the level of play for everyone and gives us all the ability to have greater impact together. We are here to share and to learn. You're only as good as the company you keep. And we are in good company among these wealth tech leaders, families, and family offices with whom we hope to build and deepen relationships. ■





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A DRIVE TO HELP ADVISORS GROW THEIR BUSINESS

Rick Williamson, Director Of Training at **Redtail Technology**, explains what the firm has done to reach its high level.



Rick Williamson
Director Of Training, Redtail Technology

What sets you apart from your peers this year and why?

Much of what distinguishes Redtail as a leader in this space has been applicable since our founding in 2003. It begins with our dedication to helping advisors efficiently grow their firms by providing them with the core technologies, including our flagship solution Redtail CRM, that drive their day-to-day operations. We also strive to set Redtail apart through our passion for offering world-class support and training, as well as by establishing and maintaining an incredibly deep stable of quality and diverse integrations advisors can take advantage of to make their working lives easier and more productive.

How have your colleagues contributed towards the success of your organization?

Companywide, the contributions made at both the individual and the team level have been instrumental in everything we've accomplished. At Redtail we pour a lot of resources into building a thriving company culture and we believe this drives our staff members to do their best for Redtail and for those Redtail serves. Whether it's sparking the ideas that drive innovation, developing solutions that better equip advisors to service their clients, or supporting those solutions once they are released, Redtail is staffed with

individuals serious about delivering an amazing, positive experience.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We're a forward-looking company and we always have the next iteration of our solutions in mind. The challenges facing those in financial services are ever-changing, and opportunities to meet those challenges via technology evolve rapidly as well.

In January of 2022, we released an all-new version of our compliant text/chat solution, Redtail Speak, both to incorporate new functionalities that our subscribers requested as well as to open up the offering to those advisors who don't use Redtail CRM (previous versions were offered as an add-on component within the CRM). Texting's here to stay, and we're confident financial service firms of all shapes and sizes will be looking to incorporate a compliant way to embrace it as a communication medium within their businesses in the coming years. We'll continue enhancing Redtail Speak to help them meet their communication challenges.

Of course we will continue to evolve our other solutions as well. Neither the challenges nor the technological opportunities to address them remain stagnant.

What have been the challenges you have had to overcome to reach such a standard?

It's certainly not a challenge unique to only Redtail in this space but staying abreast of new regulatory/compliance requirements faced by advisors is an ongoing challenge we must proactively address in order to meet the needs of our users.

Fortunately, we've been able to forge relationships over Redtail's nearly two decades through millions of miles of travel to industry conferences and events. These relationships, both with those building fintech solutions and those using them in their practices, are a big part

of what helps keep us informed about what is happening in financial services and allows us to collaborate in innovative ways to meet the needs of the advisor community.

How has your business and business model reacted to the pandemic?

In terms of the business itself, we were able to rapidly transition all employees to full work-from-home status without a hitch. Since the solutions we offer to advisors are cloud native and we use them ourselves, the ease of this adjustment didn't surprise us.

Of course, outside of the technical aspects of the transition, everyone reacts differently to suddenly finding themselves at a physical remove from their coworkers whom they are used to spending their days with. Because we were able to deal with the general logistics of the transition relatively easily, this did allow us to shift our focus to a great extent toward the cultural challenges of the rapid change.

To address those, we sought out opportunities for technology-enabled connections after hours. We've always found that culture and camaraderie are strengthened through after-hours activities, and we didn't want to give up on those just because in-person get-togethers were no longer an option. Since the pandemic began, we've hosted virtual meeting events for trivia and karaoke nights, pizza parties, holiday get-togethers, and much more.

Using a mix of available technologies, we've given our employees the opportunity to "meet" outside of work and maintain connection with one another in a hundred different virtual ways. Attendance has in no way been required, but it's been exciting to see how many of our employees choose to spend time together outside of regular working hours. ■



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Bobby Anselmo, Head of Technology
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TRUSTED DATA PROVIDER, UNPARALLELED GLOBAL REACH - THE REFINITIV ACHIEVEMENT

Sabrina Bailey, Global Head of Wealth, Data & Analytics Division at **Refinitiv**, an LSEG business, talks to *WealthBriefing*.

What sets you apart from your peers this year and why?

Refinitiv, an LSEG business, is powering participants across the global financial marketplace with a focus on facilitating the sustainable growth and stability of our customers and the communities they operate in. We are one of the largest providers of financial markets data and infrastructure, delivering information, insights, and technology to over 40,000 customers and 400,000 end-users across 190 countries – enabling our customers to execute critical investing, trading, and risk decisions with confidence. By combining a unique open platform with best-in-class data and expertise, we connect people to choice and opportunity – driving performance, innovation, and growth for our customers and partners.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We are focused on achieving the purpose of our wealth business - to enhance the financial well-being of all people by delivering personalized, data-driven insights to our customers that facilitate sound investment and financial decision making and fuel rich human connection. In order to realize this purpose, we've made investments and delivered on initiatives that further our value to the industry and align with macro trends.

For example, to respond to the trend of personalization, and build upon the strength of our content and our openness to partnering with our customers, we launched a number digital advisor and investor tools powered the combination of our robust data and our customers proprietary data to provide our customers with personalized, and actionable, insights that drive greater financial wellness for their clients.

What have been the challenges you have had to overcome to reach such a standard?

We understand that our industry is not standing still so we are actively investing in enhancing the products and services

we deliver our clients and have a clear strategy to help our clients accelerate their growth through data and technology. In a highly saturated market, wealth firms struggle to find a trusted data provider that can not only be a source of truth, but that can also provide the breadth and depth of information needed to help their advisors and clients.

To solve this industry challenge, we listened to our customers, identified their key pain points, and provided products and services promptly to meet their needs. We quickly respond to customers who seek to drive business growth through the expansion of their capabilities for their advisors and self-directed investors. We closely engage with our clients and continually incorporate their voices into our product and service roadmap so that we consistently deliver to the highest standard and meet market challenges.

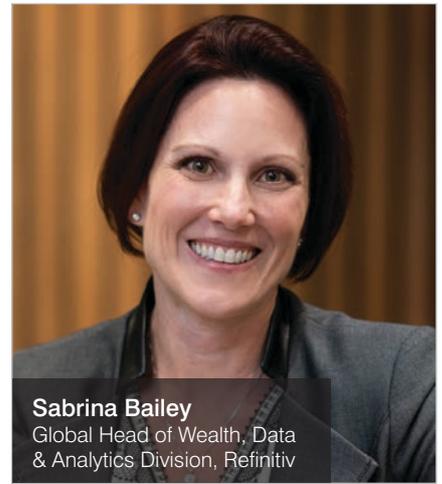
Have your differentiators become more important to your business? Are they still relevant?

We have five powerful differentiators for our business that remain relevant to how we show impact in the industry.

The first is our global scale – we are one of only a few firms that can deliver a single platform, with consistent data, to our global customers. The second is the breadth and depth of our content and analytics services which are differentiated by our ability to combine our customers' data and internal investment views with our own.

The power of the combined data actively supports advisors' investment decision-making. Our openness to partnering with our customers so they can deliver upon their growth goals is our third advantage. We do this by bringing together third-party data, our data, and our customers' data into a single view. The fourth advantage is our ability to provide tailored customer experiences from front-to-back-office services.

Finally, the resiliency of our services is the differentiator most often cited by our customers. In fact, during the global



Sabrina Bailey
Global Head of Wealth, Data
& Analytics Division, Refinitiv

pandemic, our services were up 100% of the time. This resiliency provides security for our customers and their end investors. Our clients hire us because we can deliver robust content sets at speed, linked directly to our customers' client data, and enable tailored, real-time investment decision-making by advisors.

What do you hope will be the result of receiving this accolade?

Winning the 'Best Data Provider' Award in the Americas region is a testament to our commitment and investment in the development of solutions to help wealth management firms serve their investors. It is a highly encouraging win for us as we are motivated to deliver and expand into new content sets and personalized insights for our customers. Off the back of this honor, we hope to highlight the value of data combined with best-in-class technology and how it can accelerate growth for our clients and all wealth firms.



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A SCALABLE PLATFORM THAT PUTS CLIENTS IN FULL CONTROL

Tom Burroughes, Group Editor at *WealthBriefing*, talks to **Ben Collins**, Senior Director, Financial Services Industry Marketing at **Sage Intacct**.

What sets you apart from your peers this year and why?

Like many of the businesses we serve, we began as a small business and have grown beyond what seemed imaginable. Focused on ensuring our customers' success, our flexible platform scales every step of the way as their business grows.

Today, Sage Intacct offers a cloud based accounting and financial management platform that complements the way finance teams thrive in today's ever changing digital world. From creating workflows within existing workstreams to generating dynamic reports using multiple dimensions, the platform allows users to make data driven strategic decisions across multiple entities in real-time.

Our broad ecosystem of marketplace partners aligns with our customers to create a seamless experience for data to flow from disparate systems into Sage Intacct.

How have your colleagues contributed towards the success of your organization?

People and innovation are at our core and shape the way our organization thrives. Sage Intacct fosters an inclusive culture made up of diverse experiences, backgrounds and perspectives and two-way communication is valued and respected. Keeping our customers at the heart of our decisions, we solve problems as a team, pushing and supporting each other so that we can fulfill our goal of delivering an unmatched client experience.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

Financial services is the fastest growing vertical segment here at Sage Intacct, and we are committed to continuing the growth and momentum that we have been building. We continue to invest in and improve our product functionality, partner network and service model. Our roadmap is very much informed by client and partner conversations, and we continually look to these cohorts to help drive our innovation. Our primary focus is to

always deliver the best-in-class solution to our clients.

What have been the challenges you have had to overcome to reach such a standard?

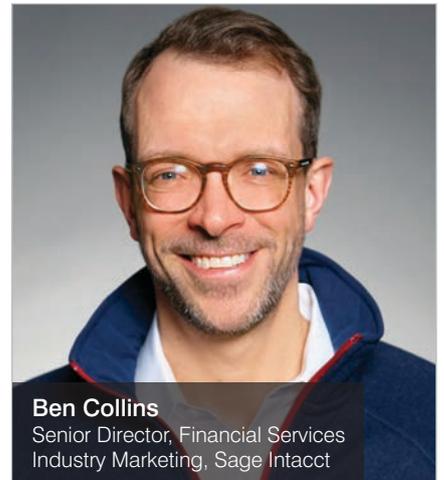
In recent years, we have seen tremendous growth and change within the financial services vertical and certainly in the wealth management segment. The pace of change and demand for accounting and financial management tools is at all-time high, and we continue to invest in our people, our product and our partners to adapt and evolve to meet these everchanging market needs.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

The past few years have been challenging, but our people and our culture have been key to our continued success. We faced the challenge of the pandemic together and it was quickly apparent that we had a resilient group. Despite what was going on around us, we bonded together and were able to take care of not only our customers and our partners, but each other. Fortunately, as a global technology company with a geographically diverse workforce, we had the infrastructure in place so that disruption to our business model was minimal.

Have your differentiators become more important to your business? Are they still relevant?

Our differentiators absolutely remain highly relevant in today's marketplace. The combination of a flexible platform, best in class reporting capabilities and the extensive partner ecosystem that we have built is critical to supporting our customers in this everchanging environment. Using a consultative approach to working with our customers has required us to build a highly engaged and collaborative team that has made a massive difference in differentiating Sage Intacct.



Ben Collins
Senior Director, Financial Services
Industry Marketing, Sage Intacct

Whom do you look to for inspiration?

It really comes back to our customers, our colleagues and our partners. As we look at the future of our platform, who better to inspire us than the people that are using our product daily. Within the company, we motivate and inspire each other with a culture that genuinely feels like family from the top down. By challenging each other and lifting each other up, we can continuously innovate and deliver a best-in-class solution to our customers and partners.

What do you hope will be the result of receiving this accolade?

We are very excited and honored to receive this award. We take a lot of pride in what we do here at Sage Intacct, so this truly is a testament to who we are as a company, the value our solution brings to the market and our unwavering commitment to our clients. It will be fun to share this win with the many teams who contribute to delivering an incredible product – and it absolutely gives us something to strive for again next year! ■



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SETTING WORLD-CLASS STANDARDS IN IMPLEMENTATION

Al Chiaradonna, Senior Vice President of the SEI Wealth Platform, North America Private Banking, **SEI**, discusses how the firm reached its high level

What sets you apart from your peers this year and why?

Wealth management is at the core of everything we do. It is an honor to win for Implementation/Partner because our implementation process to bring clients onto the SEI Wealth PlatformSM (SWP) is a proven process. We look at implementations as an opportunity for significant business model transformation - and our approach is to evaluate people, process, and technology considerations as firms revisit their operating model. Given the complexity of an SWP implementation, we are focused on implementing with, not to, our clients.

How have your colleagues contributed towards the success of your organization?

We operate as one unified project team in support of our clients. Colleagues are empowered to be part of the team, no matter their role or level, with the main objective of helping clients be as successful as possible. SEI's mission is to build brave futuresSM through the power of connection. With this mission at the heart of our work, our team collaborates across organizational boundaries, united by the goal of bettering themselves, our company and our clients. We are very fortunate to have a dedicated staff of over 125 employees, with an average of 10 years of industry experience.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We're always investigating new tools and capabilities to do things faster and more efficiently for our clients, as a company investing 8-10 per cent of our annual revenue in research and development. Our remote implementation process is a great example, as the team completely reimaged implementations in a remote environment due to the pandemic. While the core of our implementation approach remained the same, we enhanced several aspects to account for remote support through technology, process, and performance measurement. Many of these improvements are now a part of our DNA.

What have been the challenges you have had to overcome to reach such a standard?

Scaling learning for clients, employees, and consultant partners is both a challenge and an opportunity. Constant learning and deliberate processes are crucial for the team to operate at scale and provide consistent quality for our clients across the board. We have built highly customized and scalable learning tools and a robust certification program for our consultant partners - all of which can be run physically and digitally.

We intentionally design our programs to cater to various styles of adult learning. We recognize individual team members have different levels of experience, so SEI established Centers of Excellence, providing oversight and expertise to individual project teams where they need additional support. The learning never stops.

How has your business and business model reacted to the pandemic?

We've had to look at how to replicate the camaraderie, connection, and experience our team was getting in-office and translate that to a virtual world. This included being there for our teammates on a personal level and doing things like calling to check in and virtual go-live celebrations with our clients. We also implemented new technology and processes to help replicate the benefits we previously achieved in person. Our proudest achievement during this time is successfully implementing 12 clients in a remote environment, hitting all planned dates and milestones from the start of the pandemic. This is due entirely to the dedication, creativity, and partnership between our employees and our clients.

Have your differentiators become more important to your business? Are they still relevant?

Technology and a partnership focus are our two greatest differentiators. We treat colleagues and clients like family. These implementations are intensive, challenging, and lengthy. Trust has to be at the center of the project. We all have to trust each other and communicate openly and frequently to keep the project on track - and everyone needs to feel as though they



Al Chiaradonna
Senior Vice President,
SEI Wealth Platform

can do so. From a technology standpoint, we're always focused on getting ahead and finding new and easier ways to do things for our clients. This has been especially relevant in the past two years, when we have had to innovate overnight to meet clients' needs remotely.

Whom do you look to for inspiration?

Our colleagues are our inspiration. The work they're doing every day to ensure they're providing the best service to their clients and support to their fellow team members, all while having some fun along the way is what makes us excited to be a part of the experience.

What do you hope will be the result of receiving this accolade?

This accolade is truly a reflection of the outstanding work that the SEI team does every single day. This recognition reinforces the strength of our team and will further solidify us as a people first, technology-driven, highly adaptable, and collaborative strategic service partner. ■



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We help you solve problems, manage change, and protect assets—
so you can connect to your future.

We don't just build solutions, we build relationships.

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DELIVERING CUSTOMIZATION TO CLIENTS IN A FAST-MOVING MARKET

Phil McCabe, Senior Vice President, Head of Investment Manager Services at **SEI**, tells *WealthBriefing* about what makes this business a high achiever.



Phil McCabe
Senior Vice President, Head of
Investment Manager Services, SEI

What sets you apart from your peers this year and why?

One of SEI's key differentiators in the market is the ability to drive customization. Asset managers choose our solutions because they have a high degree of flexibility and are easily adaptable. We pride ourselves on being a partner that asset managers grow with. As our clients evolve and consider different structures and distribution channels, such as moving from mutual funds to ETFs, our operational and technology platform manages those changes seamlessly.

How have your colleagues contributed towards the success of your organization?

What sets SEI apart are both our people, and our superior technology and workflow processes, honed over decades of experience. Since our founding over 50 years ago, SEI has had a highly engaged and empathetic workforce that cares deeply about each other and our clients. Our mission is to build brave futuresSM through the power of connection. With this mission at the heart of our work, our team collaborates effortlessly, united by the goal of bettering ourselves, our company and those our solutions touch.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

SEI sits at the center of the financial services ecosystem, which offers us a

tremendous perspective into where the industry is moving. We partner with more than 550 traditional and alternative asset managers, sovereign wealth funds and family offices, including 49 of the top 100 asset managers worldwide. Through those partnerships, we have a direct line of sight into emerging trends. Since connectivity, community, and integration are at the heart of our business, we are well-positioned to capitalize on and anticipate trends before they fully take shape. As part of this commitment, we invest 8-10% of our annual revenue to research and development.

What have been the challenges you have had to overcome to reach such a standard?

SEI was quick to respond to the market's shift towards customization and the challenges that came with it. There is an intense demand for customization – not on a mass scale – but true, individualized customization that takes a concerted effort to deliver. With our strong technology infrastructure and talented data science team, we were very quickly able to build the bespoke solutions to meet this demand. We are constantly evaluating the market and anticipating potential challenges, which is a large part of why SEI has some of the best solutions in market for asset managers today.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic?

The entire financial services industry faced challenges transitioning to working remotely. This shared experience has only strengthened our relationships with our clients because we overcame those challenges together. At SEI, we've always prided ourselves on being true partners to our clients, and the pandemic deepened those relationships.

As a team, we've come together for virtual social events including wine tastings, casual team catchups, and town halls. Several of our senior leaders host regular video calls where the team can join to talk about anything from last night's basketball

game to an emerging client opportunity. These calls have offered a way to replicate casual office hallway chats or lunchroom catch-ups. In many ways, connecting via video calls has brought members of our team closer together because we have a different window into each other's lives.

Have your differentiators become more important to your business? Are they still relevant?

Our key differentiators – partnership, customization and collaboration – have never been more relevant or important to our business than they are right now. Over the past two years, our clients have expressed their appreciation for our partnership and collaboration more than ever before. SEI has a unique combination of exceptional people, processes, and technology. The strength and stability of each of those three elements is central to our success.

Whom do you look to for inspiration and ideas?

SEI is comprised of more than 4,000 entrepreneurs and collectively, they are our greatest source of inspiration. We're always looking within our own virtual walls to elevate the insightful ideas our teammates are bringing to the table, informed by their close daily partnership with our clients.

What do you hope will be the result of receiving this accolade? How does it help your business in this region?

This award recognizes SEI's Global Wealth Management Services teams for exceptional technology solutions and service, and underscores our more than 50-year commitment to delivering world class solutions that are uniquely designed to meet the needs of our clients' complex businesses. This recognition reflects our continued effort to deliver our clients a high-touch, technology-driven and highly-adaptable strategic partnership. ■



Smarter Enablement. Better Outcomes.

Accelerate asset and revenue
growth with Seismic.



SEISMIC EMPOWERS ADVISORS AND CLIENTS IN TESTING TIMES

Chris DeLisle, Vice President, Financial Services Customer Success at **Seismic**, talks to **Tom Burroughes**, Group Editor at *WealthBriefing*.

What sets you apart from your peers this year and why?

Seismic is the global leader in enablement thanks to our industry leadership and continued innovation of our platform. More than 315 financial services firms use Seismic as their enablement platform of choice, and more than 2,000 organizations worldwide work with us today. Since our founding in 2010, Seismic has catered to the needs of our clients in highly regulated industries including financial services, enabling them improve the client experience, differentiate from competitors, and mitigate risk - ultimately, helping to accelerate asset and revenue growth for their firm. Our focus on our clients and their success has led to four of the top five wealth management firms in North America to trust Seismic, as well as 22 of the top 25 global asset management firms by AuM.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

We've always led our category with investment and innovation in our product, and we'll continue prioritizing our mission to deliver the most powerful and comprehensive enablement platform to our clients. The fintech space is growing and shifting quickly - firms not only need to have the best technology for their clients, but they also need to invest in technology for their employees, who are increasingly from younger generations and expect to do their job using best-in-class technology. The new normal of remote work and digital client engagement has led to a surge in demand for better technology to service clients. Seismic is proud to help our clients meet this challenge, invest heavily in our product, and win with our clients.

Have your differentiators become more important to your business? Are they still relevant?

Wealth managers use Seismic for content and document management with four main priorities: empowering advisors, improving team efficiency, driving collaboration, and augmenting compliance processes. Of these four priority objectives, empowering advisors and maintaining compliance are going to continue to be incredibly relevant to our business and our clients. Today, advisors spend hours and hours creating, updating and searching for client-facing content. Seismic eliminates the need to spend hours searching for and creating content, enabling advisors to become more productive and giving them more time to spend with prospects and clients.

In addition, today's remote-first environment means advisors must find new ways to be compelling and engaging without the benefit of in-person interactions. They need effective content to support their knowledge and inspire their clients to act. The result is a better experience for clients, and asset and revenue growth for the firm. Of course, throughout all of an advisor's client interactions and personalized content shared across digital channels, there needs to be peace-of-mind that it meets compliance.

Today's client interactions taking place across email, SMS, social media and Zoom means that compliance can easily become an afterthought. When an advisor uses Seismic, they can trust that the content is personalized, up-to-date, and compliance-approved. This is an industry built on trust and reputation, and for more than 11 years we've specialized in creating compliance guardrails for our clients to use our product without fear of breaking compliance protocols or disclosure policies. ■



Chris DeLisle
Vice President, Financial Services
Customer Success, Seismic

"WE'VE ALWAYS LED OUR CATEGORY WITH INVESTMENT AND INNOVATION IN OUR PRODUCT, AND WE'LL CONTINUE PRIORITIZING OUR MISSION TO DELIVER THE MOST POWERFUL AND COMPREHENSIVE ENABLEMENT PLATFORM TO OUR CLIENTS."



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Designed to meet the complex business needs of wealth management professionals and their clients, the SS&C Black Diamond® Wealth Platform provides advisory firms:

- Comprehensive **Portfolio Management & Reporting**
- An Immersive **Client Portal**
- Modern **Communication Tools**
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- Intuitive **Dashboards**
- Connections to an **Extensive Integration Network**

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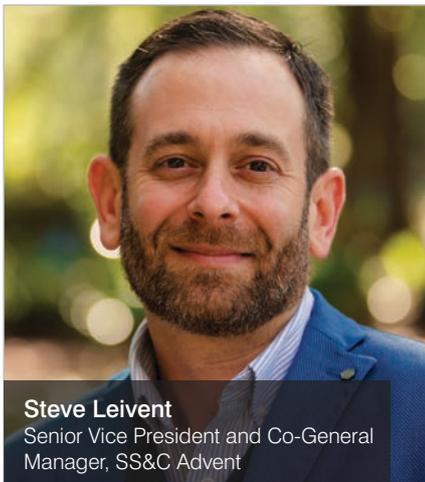
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BLACK DIAMOND WEALTH PLATFORM REINFORCES HUMAN TOUCH

Steve Leivent, Senior Vice President and Co-General Manager of SS&C Advent, talks about the success of **SS&C's Black Diamond® Wealth Platform**.



Steve Leivent
Senior Vice President and Co-General
Manager, SS&C Advent

SSS&C's Black Diamond® Wealth Platform is an offering of SS&C Advent, a business unit of SS&C Technologies. Financial management firms of all sizes leverage Black Diamond to streamline operations, deliver business insights, and connect with prospects and clients to build long-lasting relationships.

This cloud-native solution empowers advisors to manage unique and complex portfolios via an end-to-end technology stack. From the front office to the back office, Black Diamond provides firms with the tools to operate efficiently while delivering a sophisticated, modern client experience.

What sets you apart from your peers this year and why?

Black Diamond has always stood out in the marketplace because our development team focuses on the human touch. We deliver a solution that acts as the hub of an advisory firm's business and addresses their priorities. That means not only helping them be more efficient and productive but helping them strengthen their client relationships and stand out

in their clients' eyes. For example, the *Client View* feature introduced this past year empowers advisors to oversee portfolios in the context of the entirety of a client relationship, look for subsets of entities, or view household by household. There is also a strong personal service component to our offering; and no one can match our vast integration ecosystem, which gives advisors many choices in building the right technology stack for their business. Most of the functionality built into the platform is the direct influence of ideas and input from our clients.

How have your colleagues contributed to the success of your organization?

We are fortunate to have an extraordinarily talented and dedicated team across every aspect of our business and solid client service and collaboration culture. I have been genuinely impressed with the team's resilience over these past couple of years. We have adapted well to the realities of how people now work going forward.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

It's a testament to our people and our collaborative culture that we function very cohesively. The majority of the team that serves the Black Diamond client base is located in the Jacksonville, Florida, area. The *Jacksonville Business Journal* has named SS&C the "Best Place to Work" for the last five years in a row. That says a lot when you consider the team was displaced from the workplace for much of that time. As a business built around a cloud-native platform, the transition to working from home was seamless, but

more importantly, everyone stepped up, and our clients knew they could count on us to be there for them. We've also continued to attract top talent in this very competitive labor market.

Have your differentiators become more important to your business? Are they still relevant?

Absolutely. As I said earlier, we want advisors to depend on Black Diamond as the hub of their business. So, we focus on delivering an outstanding user experience to the advisor and an equally impressive digital experience for their clients through our portal and mobile features. Our dedicated service model is core to our success. With Black Diamond, advisory firms don't just get a robust technology solution. They also get the support of an entire team and the operational support that goes with that.

What do you hope will be the result of receiving this accolade?

Of course, we always welcome new business, and we hope this award will encourage prospects to join the Black Diamond community. In addition, we expect the award will remind our existing clients that they made the right choice selecting Black Diamond as their technology partner. Most importantly, this award motivates our internal team when they see that the industry recognizes their efforts. It further encourages them to keep doing their best to deliver a great product and exceptional service. Complacency is not in our DNA. ■



"FROM THE FRONT OFFICE TO THE BACK OFFICE, BLACK DIAMOND PROVIDES FIRMS WITH THE **TOOLS** TO OPERATE **EFFICIENTLY**."

GO ABOVE AND BEYOND

WITH YOUR CLIENTS.

Award-winning Summitas Platform® helps wealth managers enhance client engagement with an unsurpassed combination of security, privacy, and flexibility. Keep confidential information, financial documents, and everything else clients need at their fingertips in an easy-to-use portal that facilitates communication and collaboration. Protect it all with controlled access and cryptography. And maintain a consistent client experience regardless of changes to back-end systems and third-party software.



SUMMITAS

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POWERING NEW CLIENT ENGAGEMENT MODEL AT SUMMITAS

Bill Wyman, President, Family Office Services at **Summitas**, talks to this news service about its award-winning prowess.

What sets you apart from your peers this year and why?

Summitas is powering the world's newest client engagement model. Our platform transforms how people interact while organizing, securing, and sharing their digital lives. Summitas is the first company to stress facilitating access to a spectrum of client information beyond financial data and related documents.

Wealth management firms use Summitas to differentiate their offerings by creating a holistic online service and brand presence. They experience reduced costs and increased client retention and AUM when clients have everything they need at their fingertips.

Families use Summitas to collaborate privately, share planning information, preserve legacies, and bring generations together. SFOs use Summitas to engage their families, protect digital assets, electronically sign and deliver documents, and communicate securely.

How have your colleagues contributed towards the success of your organization?

We have a unified vision and shared focus on our plan and the people we touch. Our mission values ensure we gain our customer's trust by delivering on our promises and helping them measure the benefits of partnering with us.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

Innovate - during 2021, we completed many platform enhancements and app improvements. Examples include:

Platform: improved performance and scalability; security infrastructure and monitoring; data importer checkpoint restart; multi-language support; and control file ingestion for external systems without APIs. Added data localization and residency, etc.

Apps: Contact Directory synchronization; enhanced partner, client, personal, and private digital vault folder trees; improvements to fine-grained permissions for folders and files; document and spreadsheet editing within the digital vault viewer; Schwab eSignature

compliance and approval with Schwab workflow enhancements. We plan even better things for 2022!

How has your business and business model reacted to the pandemic?

The global health crisis accelerated a work-at-home, "edge computing" ethos where robust security at the office is missing. Summitas Platform provides strong security and privacy for home users, and that fact became more palpable during the pandemic.

Family offices and wealth advisory firms were also rethinking security and anticipating threats. Their independent learning helped our layered protections make more sense.

While we were always a security-centric company with a platform designed around a robust security model, we invested in rigorously defining our human security policies and controls and the processes around gathering evidence to prove we adhere to them. Increasingly, customers were looking to third-party Information Security questionnaires and experts to process RFPs and perform due diligence. We decided to invest in completing our SOC 2 Type II certification in 2021. Although we already adhere to most of their policies and controls, we intend to be GDPR compliant and ISO27001 certified in 2022.

Have your differentiators become more important to your business? Are they still relevant?

Yes. Summitas Platform® consists of a system kernel (providing security, authentication, and App services) and three surfaces that touch the outside world: presentation (user interfaces), system services (operating and networking), and connectors (a vendor-neutral abstraction to external applications like portfolio management and CRM). The platform's architecture makes it extensible and ensures it performs at scale.

Summitas configures customers' portals to their unique sets of requirements. The flexibility of a plug-and-play architecture solves today's SFO, MFO, and Wealth Advisory challenges. Its app-driven solutions and vendor-neutral connection layer make it a hedge against technology



Bill Wyman
President, Family Office Services,
Summitas

change, future strategies, and complexity.

Organizing, securing, and sharing information will always be relevant. It's up to Summitas and our customers to ensure we are always ready to inspire and adapt to change. Today, our customers:

Push articles of interest, statements, reports, portfolio summaries, and insights to families and clients.

Communicate securely with private messaging, blogs, forums, a social "Wall," and video conferencing.

Store and share documents, photos, videos, family trees, ticket and vacation property schedules, and collaborative interactions.

Enable workflows using electronic signatures, dynamic forms, document annotation, and secure sharing.

Knowing that all "apps" inherit the platform's security, performance, and scalability gives peace of mind.

Whom do you look to for inspiration?

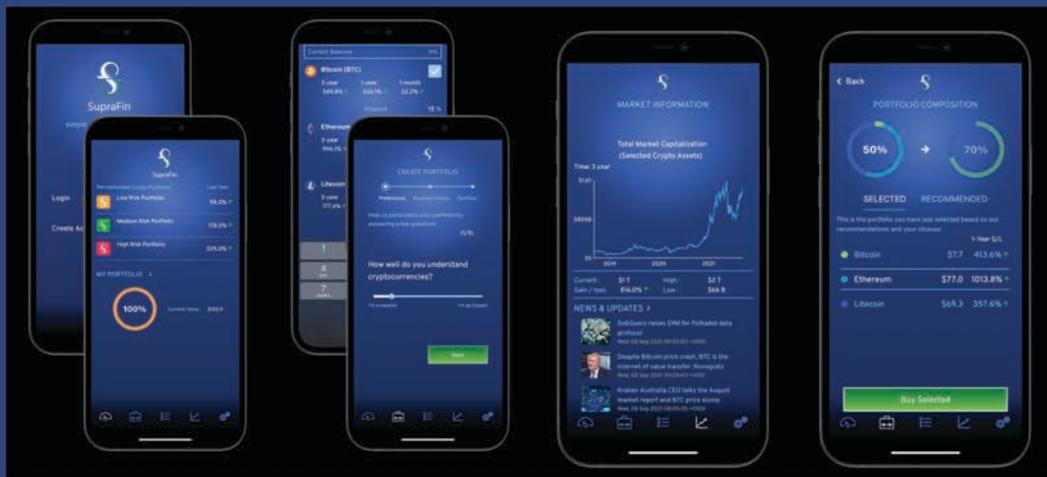
Our customers. The deep partnerships we have built with them result from their input and patience and our effort to be more responsive and valuable. Given the market we are in, we've met many remarkable people - both wealth holders and those that advise them - that have helped us improve our services through their insights and convictions. ■





<https://suprafin.io/>

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- Helps you invest in crypto like a Professional
- Powerful investment algorithms for crypto – all on your mobile

SOPHISTICATED INVESTING IN CRYPTOS – WIDENING ACCESS AT SUPRAFIN

Liliana Reasor, CEO and Founder of **SupraFin**, talks to *WealthBriefing* on what has taken her business to a high level.



Liliana Reasor
CEO and Founder, SupraFin

What sets you apart from your peers this year and why?

What sets SupraFin apart is that it is the first intelligent app with institutional-like investment algorithms in the background that assess the relative value of hundreds of cryptocurrencies and recommend the most appropriate as part of a diversified portfolio based on the client's risk profile preferences (customized). The app allows individuals interested in cryptocurrencies to invest as little as \$100 (financial inclusion) but still benefit from a sophisticated investing solution.

How have your colleagues contributed towards the success of your organization?

SupraFin's management team's uniqueness has been instrumental in helping SupraFin build an excellent WealthTech solution for crypto and successfully launch its app in the US market in 2021.

I spent more than 20 years in big finance as an executive at JP Morgan and Morgan Stanley and I am a thought leader in cryptocurrencies and fintech and have participated in more than 40 crypto/blockchain events as a speaker globally. I have an MBA from UCLA Anderson and an MS in Computational Finance from Carnegie Mellon University.

SupraFin's additional management team members include Laurent Nguyen-Ngoc, Chief Quant at SupraFin, and Bernardo Mesa Urdinola, CTO at SupraFin.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

The US region is the best in the western world for a business-to-consumer solution like SupraFin's app. To stay on the front foot, SupraFin plans to focus on rapid customer acquisition, adding new functionalities to the app based on customer feedback, adding a web solution, providing excellent customer service, and partnering with private wealth managers to increase customer reach.

What have been the challenges you have had to overcome?

Creating a WealthTech solution that simplifies the investment process for a new asset class such as cryptocurrencies has been complex. For starters, automating the investment process in cryptocurrencies has meant that we have had to find the right technology partners to be integrated into the SupraFin app seamlessly. Also, creating the investment models for the SupraFin app has required that we create an investment framework from scratch.

How has your business and business model reacted to the pandemic?

SupraFin's reliance on technology for its operations and flexible working policy has meant that the pandemic did not impact its operations. SupraFin is a lean company with a team that works from the US, India, and the UK. It relies on the best-of-breed technologies for secure content collaboration (e.g., cloud computing), video communication, and email communication.

Have your differentiators become more important to your business?

Many people don't have the desire, time, or expertise to research these cryptocurrencies. Most people want a

simple solution to help them navigate the complexity of cryptocurrencies smartly and professionally. SupraFin's easy-to-use app combined with investment models on the background is even more relevant nowadays as the crypto universe expands and more people become interested in investing in cryptocurrencies smartly.

Whom do you look to for inspiration?

Our current and future customers are our biggest inspirations. We created the SupraFin app to democratize access to analytics to help anyone invest in cryptocurrencies like a professional.

What do you hope will be the result of receiving this accolade?

Winning this accolade in WealthTech Americas, Blockchain & Cryptocurrencies category brings a prestigious independent third-party endorsement to SupraFin as the leading crypto investment app in the US. ■

“SUPRAFIN'S
MANAGEMENT TEAM'S
UNIQUENESS HAS
BEEN **INSTRUMENTAL**
IN HELPING SUPRAFIN
BUILD AN **EXCELLENT**
WEALTHTECH SOLUTION
FOR CRYPTO.”



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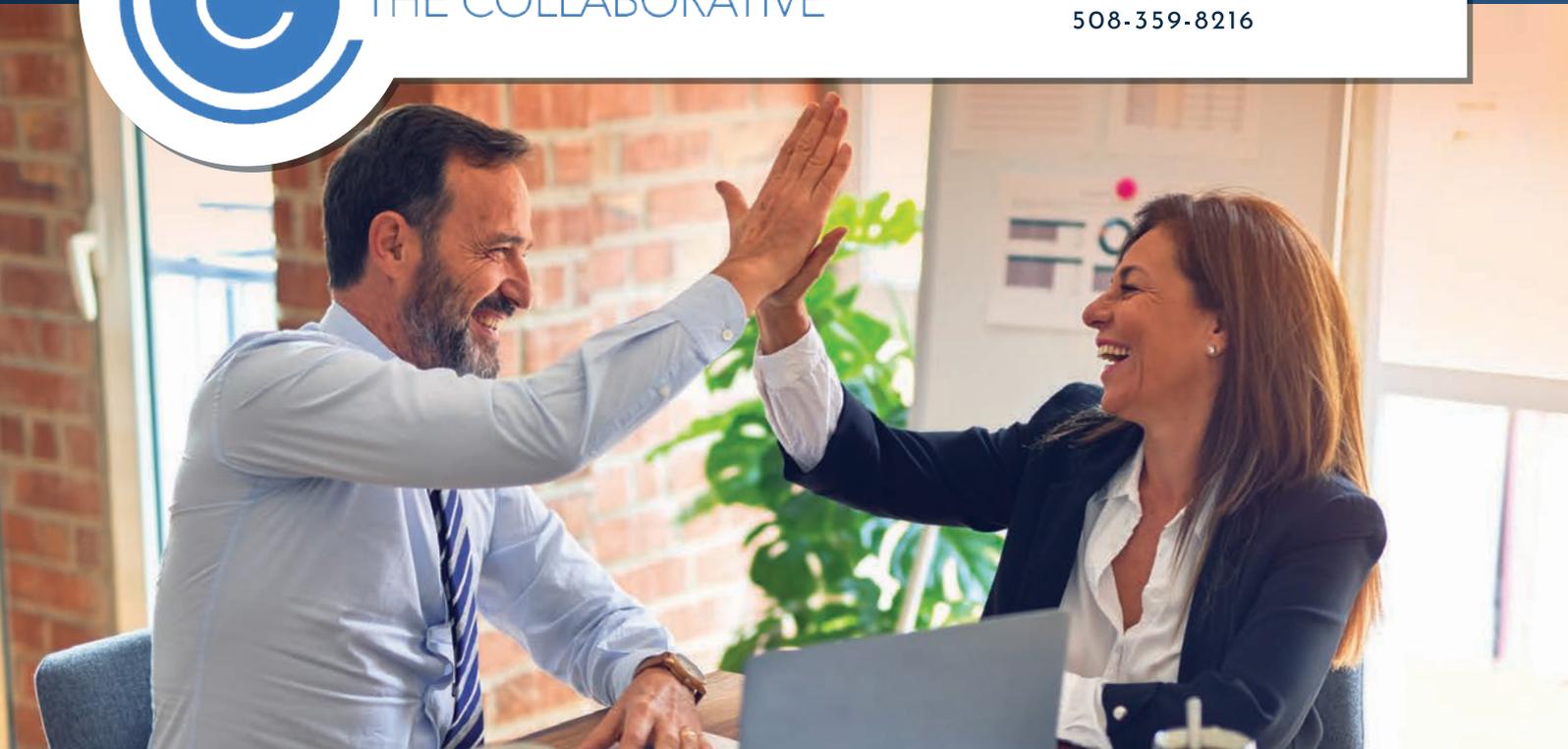
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DELIVERING PROVEN LEARNING EXPERIENCES IN FAST-CHANGING TIMES

Beverly Flaxington, Founder & President, **The Collaborative for Investment Education, Inc.**, talks to **Tom Burroughes**, Group Editor at *WealthBriefing*, on her organization's successes.

What sets you apart from your peers this year?

Prior to COVID we identified trends in the industry requiring unique delivery of training services in order to accommodate firms large and small, in all geographic locations. To address this need, we began the process of moving proprietary, proven training material to a virtual platform accessible from anywhere, by anyone. In addition, we combined our deep knowledge of human behavior and how people not only learn but make important behavioral changes necessary to be successful in today's competitive world. This allowed us to leapfrog over the training firms who were scrambling to move their material to a virtual delivery. We not only had the delivery platform in place, but the unique underlying material as well.

How have your colleagues contributed towards the success of your organization?

We are fortunate to have a team with decades of experience and success in the financial services industry. While many training firms face pushback from participants with deep experience, the participants in our virtual training sessions yearn for more because all of our trainers and facilitators are experts who have been in their seats. We are able to facilitate discussions, coach effectively and train on material that advisors and others who have been doing this work for decades find new and complementary to their experiences.

How has your business and business model reacted to the pandemic? Has morale amongst your colleagues held up well? What have you done to bolster their spirits?

We have kept morale high because we enjoy delivering our material and the

virtual world has not changed this. We have modified our approach to be very hands-on with small group sessions, and what we call Mastermind groups and Ask the Expert sessions. This has allowed our team to stay close to our clients and hear the same enthusiasm and excitement from the learners we have always had in person. Our team has stayed connected throughout the pandemic and we are lucky to enjoy and trust one another.

What are you doing to stay on the forefront?

We stay in close connection with our clients to understand how their experiences are changing with market dynamics, competition and internal pressures. We are always customizing the learning experience so that it matches the environment our clients operate within. We continue to obtain new credentials. (Beverly Flaxington became Emotional Quotient™ Certified in 2021.) We stay cutting edge on adult learning and behavioral change techniques in order to ensure our training material has the highest impact.

Have your differentiators become more important to your business? Are they still relevant?

Keeping a focus on the human element and staying abreast of industry challenges and changes continues to differentiate us. After almost every program we receive feedback it is "the best" training the advisor or financial professional has ever attended. We continue to do what we do well – put the focus on the client and ensure they receive the best experience possible by every member of our team.

Whom do you look to for inspiration?

Our clients! We consider ourselves to be part of their team. We work collaboratively with their internal team members and treat every single client as though



Beverly Flaxington
Founder & President, The Collaborative
for Investment Education, Inc.

they are our only client. We listen to what they need and incorporate their ideas and concerns into everything we do. They inspire and inform the changes we make.

What do you hope will be the result of receiving this accolade?

We believe we are a well-kept secret in the industry. Clients who work with us stay with us for years, sometimes decades. We hope others who have not been able to enjoy the training we offer will learn about our secret and try us out. We have an amazing track record of success and hope to build upon this in 2022! ■



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The E-Valuator makes it quick and easy to assess the health of an Investor's portfolio. The software compares mutual funds and exchange-traded funds (ETFs) to their Morningstar benchmarks based on user established criteria. It excels at creating highly customized portfolio accounts, analyzing and visualizing complex data, and making investment management easy.

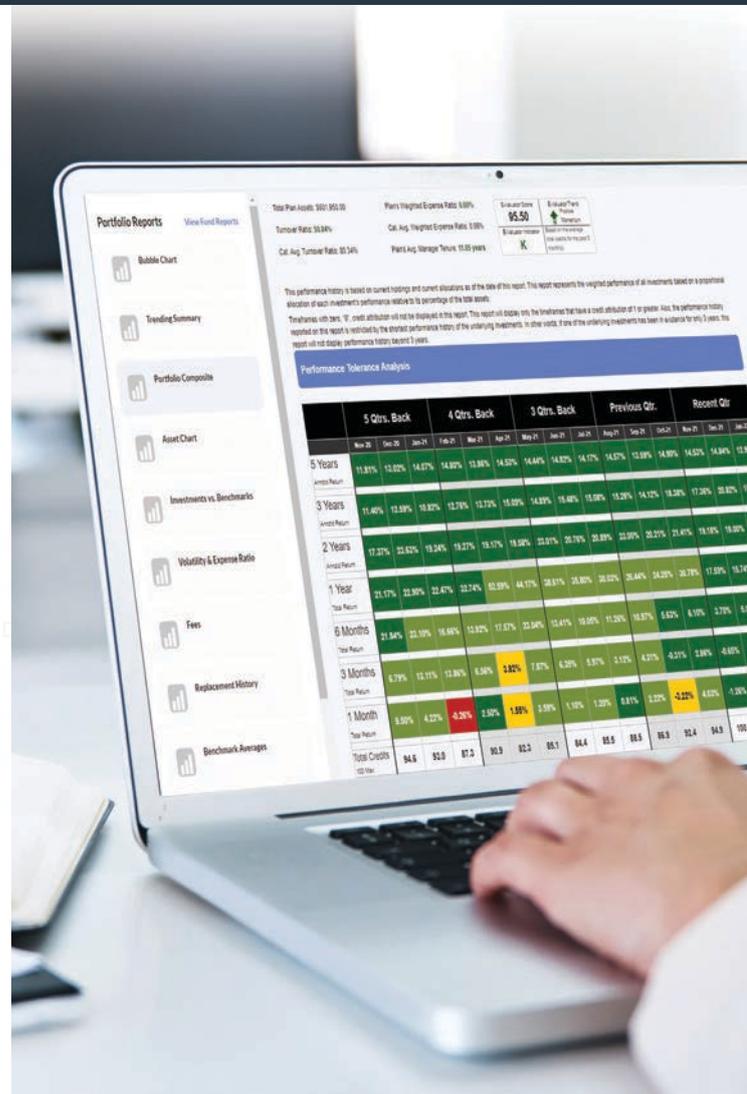
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- Maximize Efficiency while saving **time** and **resources**
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CONTINUAL EVOLUTION TO SERVE CLIENTS NEEDS: THE E-VALUATOR FORMULA

Kevin Miller, CEO/President, **The E-Valuator**, discusses his firm's prowess with *WealthBriefing*.



Kevin Miller
CEO/President, The E-Valuator

What sets you apart from your peers this year and why?

The continual evolution of our software to meet the ever-changing demands of the financial service industry. Our dedicated staff was, and still is, able to navigate covid related workflow disruptions and keep our product evolution on track. Client retention remained very strong through these covid times.

How have your colleagues contributed towards the success of your organization?

The organization's work schedule flexibility coupled with the team-oriented environment enables our team members to keep the workflow process intact while everyone deals with their own individual reality of distance learning, untimely illnesses, etc. The ability to work outside the normal 8-5 business hours and having other associates take on tasks outside their typical job description helps maintain production continuity and supports/builds a strong team environment.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

- Listen to the marketplace as to what will be needed in the future and adjust accordingly;
- Continually developing new features and field testing their application to the industry; and

- Maintaining an optimal operating system through use of the latest software enhancements while sustaining a current look/feel of the software to the end user.

What have been the challenged you have had to overcome to reach such a standard?

- In the near-term, the most obvious challenge has been the impact of covid and managing through the personal demands this has brought to our organization.
- While change can generate opportunity, it can also temporarily impede the longer-term development when industry changes require re-focusing from the task-at-hand to respond to the newly implemented regulatory requirements.
- Tracking that our development based on the anticipated future needs of our industry stays in-line with the actual direction of the financial service industry.

How has your business and business model reacted to the pandemic?

The pandemic has forced all of us to adjust our work schedules and workflow. Thankfully, being a software-based product, we were able to transition into remote work environments rather seamlessly.

Morale has stayed strong primarily due to the fact that we all understand that we are on the same team and all of us have needed a fellow associate to step-in and briefly assist on the project. This teamwork builds and sustains morale, and develops a synergy from which a small company can leverage into greater growth

Have your differentiators become more important to your business? Are they still relevant?

Differentiators are the most important attribute to a software, along with providing a solution to a problem and ease of use. The longer a software is on the market the more likely that software's differentiator can be duplicated in a modified manner by competitors. This requires the never-ending evolution of product development to stay

ahead of the market place "copycats" to maintain a discernable distance between where we are with product development and were we are going.

Whom do you look to for inspiration?

Given the massively competitive space The E-Valuator exists within, it's hard not to look at our competition for inspiration. Technological progression seems to be increasing at a faster and faster rate every year, and for us to stay on top, we need to innovate quicker and more creatively. Without this rigorous competition, it's hard to say whether The E-Valuator would be what it is today. With more competition entering the investment world all the time, we're constantly inspired and encouraged to keep progressing and evolving our software.

What do you hope will be the result of receiving this accolade?

Given the broad umbrella that Client Lifecycle Management and Client Marketing and Prospecting covers, winning these categories encapsulates many areas of our software that we've worked so hard to develop. Not only does it show that we've achieved the goals we've set for ourselves, but it also shows that we're headed in the right direction.

This software has been an ever-evolving project from day one, and these awards motivate us to continue innovating and implementing. What started as an investment analytics software has evolved into a much more robust tool than we originally envisioned, and we're excited to see how our further development can touch on other aspects of investment innovation. These accolades encourage us to keep pushing forward to see what else this software can develop into. ■



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A MODERN MONEY MARKETING APPROACH GETS RESULTS

April Rudin, Founder and CEO of **The Rudin Group**, talks about her journey in reaching this accomplishment



April Rudin
Founder and CEO, The Rudin Group

What sets you apart from your peers this year and why?

Whereas many companies spent the last year just trying to stay afloat during the pandemic, The Rudin Group grew and thrived in 2021. We've expanded our team – both on the business growth and strategy side, as well as the content-creation side. Meanwhile, we have revamped our approach to working with clients, moving towards what we call “Modern Money Marketing.”

This approach consists of three pillars – precision messaging, differentiated content, and amplified distribution – buoyed by ongoing, metrics-based feedback. This Modern Money Marketing approach allows for an immersive, adaptive relationship with our clients, enabling us to optimize the program or campaign, continually tweaking and modifying platforms, messaging, and design.

How have your colleagues contributed towards the success of your organization?

I always say, “Everyone has something that they're best at.” I've spent the past 14 years building together a team of individuals who have decades of experience in different aspects of financial services and financial journalism.

The key, I've found, is giving each team member the space to do what they do best – whether it's producing on-target, fresh key messaging; compelling, regulatory-compliant materials; or a forward-looking, rounded marketing plan.

As a result, they each contribute their expertise to the success of not only The Rudin Group but also of our clients.

What are you going to do to stay on the front foot in a fast-growing but also challenging region such as this?

Remaining nimble. In fact, that's one of the advantages to The Rudin Group's Modern Money Marketing approach. We don't have a one-size-fits-all technique that we try to fit every firm and every region into. Instead, our approach is flexible enough that we can tailor it to what each firm needs and what HNW investors in different regions expect.

Take, for example, our precision messaging pillar. Some of the firms we work with are looking to do a complete re-branding. To help them with that, we hold discovery calls and mine their intellectual capital, expertise, know-how, and industry knowledge to develop the insights we'll use to differentiate their brand.

Other firms we work with are looking to branch out to new regions for themselves such as Asia. In these cases, again, we're looking to develop insights that will differentiate their brand but also will appeal to the unique needs and challenges of prospective clients in the region they're trying to break into.

Fortunately, we're not your typical American marketing firm with only an ear to North American trends. We've also got “boots on the ground” in Asia, which enables us to perceive industry trends as they evolve in the region and help our clients understand how to deploy critical decision drivers that will fuel their on-point messaging.

What have been the challenges you have had to overcome to reach such a standard?

The biggest challenge has been not listening to the nay-sayers – and I've encountered them even as far back as when The Rudin Group was nothing more than an idea I had scratched out on a napkin.

At the time, I had gone to a friend who was a CEO of a major bank and told him my idea of starting a financial services-focused marketing firm. First, he told me I was too old to be an entrepreneur. Then, he told me that banks would never hire outside firms, that HNW individuals would never use the Internet, and that social media was fad.

I didn't listen to him then and haven't listened to other nay-sayers since then. Fourteen years later, I think we can look around and safely say who was right.

What do you hope will be the result of receiving this accolade?

I hope that the fact that The Rudin Group – a marketing firm founded and led by a woman once deemed “too old” to be an entrepreneur – won the Inaugural *WealthBriefing* WealthTech Americas 2022 Awards inspires other women to hold true to their beliefs and make their visions a reality.

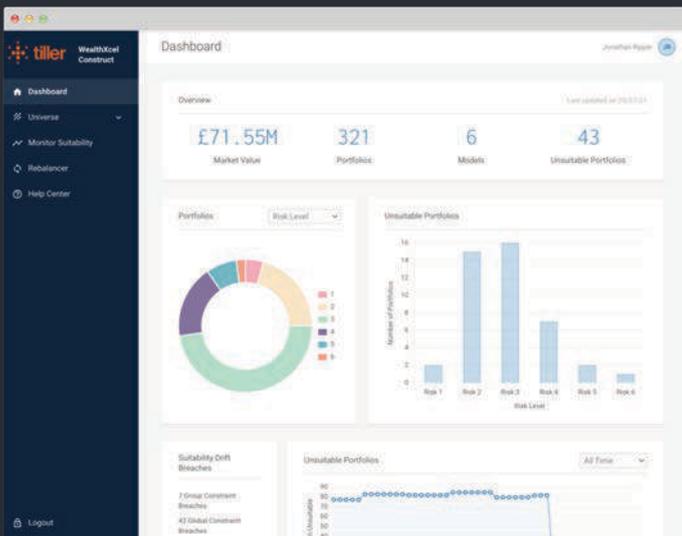
Don't let anyone ever tell you that your ideas are wrong, you're too old, or too loud. Be you. ■





Using Construct in your business.

Construct is a versatile tool that firms of all shapes and sizes can use to achieve their business goals.



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1. Monitoring thousands of individual portfolios

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2. Adding a tilt to portfolios

Give investment managers and relationship managers the ability to tweak portfolios, whilst maintaining suitability against centrally set constraints.

3. Complete portfolio customisation

Construct can facilitate portfolio managers or clients to create entirely bespoke portfolios by tailoring portfolios that correspond to their specific views & preferences. This is achieved without deviating from the limits of the constraints set by the overall centralised investment process.

4. Merging customer books with different investment constraints

Use Construct to consolidate different books of customer portfolios onto one single investment approach.

5. Controlling and optimising portfolios within CGT tolerances

Optimise portfolios to maximise use of the CGT allowance and harvest gains and losses within the portfolio.

UNDERSTANDING OF INVESTMENTS DRIVES TILLER'S TECHNOLOGY

Ian Cadby, CEO of **Tiller Technology**, talks to *WealthBriefing* Group Editor Tom Burroughes about the business and its success.



Ian Cadby
CEO, Tiller Technology

What sets you apart from your peers and why?

We find that for most software firms, their "DNA" seems almost exclusively technology-focused, i.e. software engineers, business analysts and the like. Whilst Tiller has a deep reservoir of classic technology IT specialisms. Tiller originally spun out of an investment business where its founders and core team were investment professionals who had a passion for technology. Therefore, investment professionals built the investment portfolio construction tools for investment professionals. We have found over the years that this innate understanding of the investment industry leads to applications that are both comprehensive and intuitive. These differentiators are as important today as when we set up the business.

How have your colleagues contributed to the success of your organization?

This team has designed and built all of the technology we currently sell to our clients, and thus the technical skills-set of the team, not just in design and engineering, but also regulatory requirements and investment portfolio needs, has amounted to a class-leading solution in our portfolio construction software, called Construct.

But, it goes beyond skill sets, as a significant contributor to our performance is our culture. We have a highly innovative

and "flat", or horizontal, organizational structure, where any individual's ideas can be aired and explored if it leads to product solutions or enhancements in customer service levels. This culture of combining skills with a highly collaborative culture is our version of the famous Lockheed Martin's "Skunkworks" philosophy. This degree of innovation and collaboration is facilitated by our size, being under 70 employees.

What challenges have you had to overcome to reach such a standard?

The challenges have varied throughout the evolution of the business. It was all about arranging the funding for a new boutique technology-focused business in the early days. Then as we won various industry awards and won well-known brand clients, funding became easier. The focus then moved towards convincing various regulated financial services businesses that they needed some of our software. The wealth industry, in particular, were not known to be pioneers in adopting customer-facing technology, and often you face an internal tech team who sometimes have the 'not invented here' barriers to overcome. But then, somewhat perversely, the pandemic came to our rescue in changing perception and desire to innovate.

How has your business and business model reacted to the pandemic?

The pandemic ironically became a "positive force" for our business as touched on above. Our target client base of regulated financial services firms were almost overnight pitched into a world where they were forced to innovate to remain and then improve customer service levels. With work-from-home mandates in effect, they soon learnt that they did not have the necessary front office technology to communicate with their customer base. Tiller's products such as Onboard and Connect were industry-leading and "of its time". An example of this, is one of the world's largest international consumer banks has engaged with Tiller to facilitate its global customer onboarding solution.

Has morale amongst your colleagues held up well during the pandemic? What have you done to bolster their spirits?

Morale during the pandemic was no doubt universally challenging at times as it was an unprecedented event for this generation. From a specific Tiller perspective, we seamlessly transitioned to the "virtual world". Productivity and innovation were not impacted at all, although it is fair to say everyone missed the basic human need to meet up in person for work and socialize. Now that the UK C-19 rules are being removed, we are all looking forward to the staff Go-Karting event and Tapas restaurant meal which will follow! Also, having an office on the island of Jersey will allow us to organize some team beach and boating events during the summer.

Whom do you look to for inspiration?

Being a CEO can sometimes be a lonely job, and it is important to have a good board and Chairman in place. We have an excellent non-executive team comprising highly experienced entrepreneurs who have each built highly successful businesses and understand the complexities of running a business in challenging times. One of my former Chairman, Lord Paul Myners, once told me that a Chairman must be an executive's "honest friend", and in my current Chairman, Steve Morely-Ham, I certainly have that, he is both a mentor and a friend.

What do you hope will be the result of receiving this accolade?

This accolade closely follows our recent announcement of signing a global partnership with FactSet, the US-based financial data and software company. We are delighted for the recognition by the *WealthBriefing* America's team and the additional boost in awareness this brings us in the US. ■





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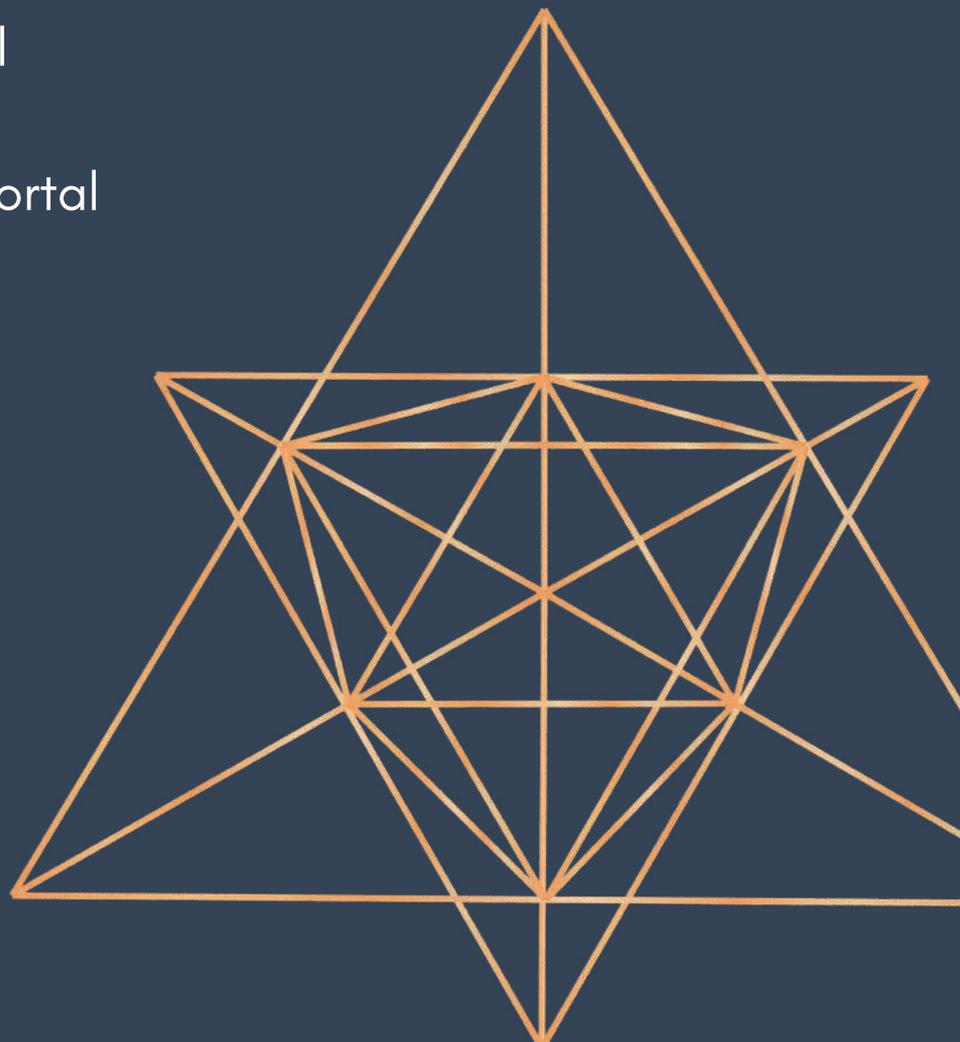


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WINNERS: GENERAL WEALTHTECH CATEGORIES (US)

INNOVATIVE SOLUTION



BUSINESS INFRASTRUCTURE



INTELLIGENT DATA SOLUTIONS



ONBOARDING PRODUCT



Performance Reporting & General Ledger on Demand



PORTFOLIO MANAGEMENT



A State Street Company



DATA MANAGEMENT AND ANALYSIS



OUTSOURCING AND BUSINESS PROCESS MANAGEMENT



BILL PAY



DATA, INFORMATION OR BUSINESS INTELLIGENCE PROVIDER



CYBER AND NETWORK SECURITY



DATA AGGREGATION



TRANSACTION PROCESSING



FAMILY OFFICE SOLUTION (US)



WINNERS: GENERAL WEALTHTECH CATEGORIES (US)

CLIENT/CONSOLIDATED REPORTING

FundCount



CRM PROVIDER

REDTAIL



INVESTMENT PLATFORM OR TOOLS

iCapital



DATA PROVIDER

REFINITIV



ARTIFICIAL INTELLIGENCE (AI) APPLICATION

investcloud



CLIENT ACCOUNTING

sage Intacct



FRONT OFFICE

investcloud



FUND ADMINISTRATION (US)

sei



SUITABILITY

NICE ACTIMIZE



DATA MANAGEMENT AND STORAGE

SEISMIC



PAYMENT RECONCILIATION SERVICES

Plumb BillPay



OVERALL US WEALTHTECH PROVIDER

ss&c | Black Diamond WEALTH PLATFORM



RIA PLATFORM

Practifi



BLOCKCHAIN AND CRYPTOCURRENCIES

SupraFin



WINNERS: GENERAL WEALTHTECH CATEGORIES (US)

CLIENT LIFECYCLE MANAGEMENT



CLIENT COMMUNICATION SOLUTION OR TOOL



CLIENT MARKETING AND PROSPECTING



NEWCOMER/START-UP



INVESTMENT PLATFORM



WINNERS: WEALTHTECH CONSULTANCY & TRAINING CATEGORIES (US)

OUTSOURCING/PARTNERSHIP



IMPLEMENTATION/PARTNER



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WealthBriefing has unrivalled access to the most senior wealth management professionals across the globe, meaning that our research reports represent guides to future best practice as much as being barometers of current industry trends.

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OVERALL CANADIAN WEALTHTECH PROVIDER



INNOVATIVE CLIENT SOLUTION (CANADA)



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OVERALL LATAM WEALTHTECH PROVIDER



WINNER: INDIVIDUAL & LEADERSHIP CATEGORY (CANADA)

LEADING INDIVIDUAL (CANADA)



WINNER: REGTECH CATEGORY (CANADA)

INNOVATIVE/COMPLIANCE/REGTECH PRODUCT (CANADA)



WINNERS: INDIVIDUAL & LEADERSHIP WEALTHTECH CATEGORIES (US)

THOUGHT LEADERSHIP (NON-CONSULTANCY)




WEALTHTECH EMPLOYER




WOMEN IN WEALTHTECH




INNOVATOR OF THE YEAR




REGIONAL MANAGEMENT TEAM/CEO




MARKETING/PR




DIVERSITY




HIGHLY COMMENDED: GENERAL WEALTHTECH CATEGORIES (US)

OVERALL US WEALTHTECH PROVIDER




INNOVATIVE SOLUTION




GLOBAL AWARDS

Showcasing The Best in the Industry

Independence,
integrity and
genuine insight
are the
watchwords
of the judging
process



2022/2023 Announcements Schedule

FEBRUARY 2022
WealthBriefing WealthTech Americas Awards

MARCH 2022
WealthBriefing Swiss EAM Awards
WealthBriefing European Awards

APRIL 2022
WealthBriefingAsia Greater China Awards

MAY 2022
Family Wealth Report Awards
WealthForGood Awards

JUNE 2022
WealthBriefingAsia Awards
WealthBriefingAsia WealthTech Asia Awards

OCTOBER 2022
WealthBriefingAsia EAM Awards

NOVEMBER 2022
WealthBriefing MENA Awards

DECEMBER 2022
WealthBriefing Channel Islands Awards

FEBRUARY 2023
WealthBriefing Swiss Awards

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