

BROKER-DEALERS OF THE YEAR

THINKADVISOR READER POLL

The following are the rules in effect for the 30th annual Broker-Dealers of the Year awards.

Voting takes place only at *ThinkAdvisor.com* from June 1, 2020, through July 1, 2020.

Only producing reps of the 36 independent broker-dealers who responded to *Investment Advisor's* 2020 Broker-Dealer Reference Guide are eligible to vote.

A broker-dealer becomes eligible for the award only after a minimum of 10% of its producing reps as reported in the June 2020 Broker-Dealer Reference Guide cast valid ballots.

Each of the eligible broker-dealers will be placed into one of four divisions based on its number of producing reps as of December 31, 2019, as reported to *Investment Advisor* by the broker-dealer and listed in the annual Broker-Dealer Reference Guide published in the June 2020 issue of *Investment Advisor*.

Division I: up to 199 producing reps

Division II: from 200 to 499 producing reps

Division III: from 500 to 999 producing reps

Division IV: 1,000 or more producing reps

To produce a valid ballot and to help ensure the integrity of the voting process, all voters must provide on the ballots their own CRD numbers and their broker-dealer's CRD number. Also, each representative must provide his or her name and contact information on the ballot. Be sure to vote from your own computer or mobile device, as multiple ballots from the same IP number will be flagged.

All personal information, including individual ratings of broker-dealers, will be kept strictly confidential by the *Investment Advisor* editorial staff, though voters may be contacted by the editorial staff to confirm their identity and broker-dealer affiliation and to be given the opportunity to serve as sources for an article about the 2020 Broker-Dealers of the Year.

Each voter must rate their BD in 15 different categories, including an overall rating, to produce a valid ballot. The overall rating question (section B) carries a greater weighting in determining the representative's final rating of his or her broker-dealer—30% of the total.

The broker-dealer that receives the highest average rating from its voting representatives wins Broker-Dealer of the Year in its division.

The 2020 Broker-Dealers of the Year awards will be announced in the September 2020 issue of *Investment Advisor*.