



Americas Wealth Management & Derivatives Awards

Boston | 14-16 June 2017

Awards Methodology 2017

The methodology outlines the criteria by which **SRP** judges the activity of Manufacturers, Distributors and Service Providers in the market.

To vote please visit StructuredRetailProducts.com.

Please note that this methodology is for the Americas Wealth Management & Derivatives Awards 2017, with the results to be collected from the Americas Wealth Management & Derivatives Awards survey running from **6 March and 31 March 2017**.



SRP Americas Awards 2017

CATEGORIES

www.StructuredRetailProducts.com's (SRP's) Americas ranking acknowledges the best Manufacturers, Distributors and Service Providers in the following categories:

Manufacturers	Distributors/ Private Banks	Service Providers	Other Awards
Best House, Americas	Best Distributor, Americas	Best Index Provider	Best Educational Initiative
Best House, US	Best Distributor, US	Best Issuance Platform	Best ETF House
Best House, Canada	Best Distributor, Canada	Best Law Firm	Personality of the Year
Best House, Latin America	Best Distributor, Mexico	Best Proprietary Index Provider	Deal of the Year
Best House, Mexico	Best Distributor, Chile	Best Smart Beta Index Provider	Proprietary Index of the Year
Best House, Interest Rates	Best Distributor, Peru	Best SP & Derivatives Exchange	Best Technological Solution
Best House, Commodities	Best Distributor, Brazil	Best Technology Provider	
Best House, Equities	Best Broker-Dealer, USA	Best Pricing and Risk Provider	
Best House, Foreign Exchange	Best Broker-Dealer, Latin America		
	Best Private Bank, Americas		
	Best Private Bank, Americas		
	Best Capital Protected Distributor		
	Best Yield Enhancement Distributor		





Awards Methodology

GENERAL RULES

- SRP will conduct a comprehensive survey of the market with institutions associated with Structured Products & Derivatives between 6 March and 31 March 2017.
- Respondents will vote for various awards under the categories of Manufacturers, Distributors, Service Providers and Other Awards, whose results will be independently verified by SRP.
- Distributor and Private Banking awards are based on SRP's proprietary database and submission of product data by the candidates, between 1 March 2016 and 28 February 2017.
- Some awards will involve a 400-word, editorial submission with winners determined by a panel of judges.

To vote please visit StructuredRetailProducts.com/Americas





Manufacturer Awards

Manufacturers will be rated by volume, and the TOP 5 manufacturers by volume will be shortlisted to win the award.

The winner will be chosen from shortlist according to two factors:

Qualitative Factors (80% weighting)

- Buy-side respondents will rate each manufacturer across all asset classes on qualitative factors:
 - Price Competitiveness (40% weighting)
 - Innovation and Structuring Capability (30% weighting)
 - Understanding Client Needs & Aftersales Support (10% weighting)

Industry Peer Review (20% weighting)

- Each manufacturer will name the top three manufacturers (apart from itself) for each award category.

Manufacturers	Survey of the market	Industry peer review
Best House, Americas	√	√
Best House, US	√	√
Best House, Canada	√	√
Best House, Latin America	√	√
Best House, Mexico	√	√
Best House, Interest Rates	√	√
Best House, Commodities	√	√
Best House, Equities	√	√
Best House, Foreign Exchange	√	√
Best House, Hybrids	√	√





Methodology - Distributor/Private Bank Awards

Distributors

SRP Database

- Winners are calculated by annual sales (50%) and performance data (50%) included in SRP's proprietary database.

Submission of Product Data

- Candidates will supply all product brochures or term sheets with full sales and performance data per product, distributed between 1 March 2016 and 28 February 2017.

Issuer and Private Banks

Editorial

The Best Private Bank and Broker-Dealer awards requires a 400-word submission detailing product innovation, understanding client needs and after-sales service, as well as relevant product data.

Distributors	SRP Database	Submission of Product Data	Editorial
Best Distributor, Americas	√	√	
Best Distributor, US	√	√	
Best Distributor, Canada	√	√	
Best Distributor, Mexico	√	√	
Best Distributor, Chile	√	√	
Best Distributor, Peru	√	√	
Best Distributor, Brazil	√	√	
Best Broker-Dealer, USA	√	√	√
Best Broker-Dealer, Canada	√	√	√
Best Broker Dealer, Latin America	√	√	√
Best Private Bank, Americas	√	√	√
Best Capital Protected Distributor	√	√	
Best Yield Enhancement Distributor	√	√	





Service Providers

Survey of the Market

- All respondents will vote for one candidate in each category based on various criteria. The winners are determined by the total number of votes.

Editorial

- Each shortlisted candidate will need to submit a 400-word application to be measured against the criteria. The winner will be selected by an independent panel of judges convened and chaired by **SRP**.

Categories	Survey of the Market	Editorial	Criteria
Best Index Provider	√	√	Innovation, Price competitiveness, understanding client needs
Best Issuance Platform	√	√	Technology innovation, post-trade service, breath of coverage, user interface
Best Law Firm	√	√	Depth of knowledge, Market Responsiveness, Explain complex concepts
Best Proprietary Index Provider	√	√	Product Innovation, Performance, Customer Satisfaction, Price Competiveness
Best Smart Beta Index Provider	√	√	Product Innovation, Performance, Customer Satisfaction, Price Competiveness
Best Technology Provider	√	√	Technology innovation, infrastructure, trade execution, user interface
Best Pricing and Risk Provider	√	√	Pricing capacity, Risk Model Capacity, User interface, Integration





Other Awards

Survey of the Market

- All respondents will vote for one candidate in each category based on various criteria. The shortlisted names will be determined by the highest number of votes.

Editorial

- Each shortlisted candidate will need to submit a 400-word application to be measured against the criteria. The winner will be selected by an independent panel of judges convened and chaired by **SRP**.

Categories	Survey of Market	Editorial	Criteria
Best Educational Initiative		√	Comprehensiveness, clarity, accessibility of educational material
Best ETF House	√		Product Innovation, price competitiveness, customer satisfaction
Personality of the Year	√		Peer recognition, Long-term industry initiatives, Integrity
Deal of the Year		√	Product size, product performance, customer satisfaction
Proprietary Index of the Year		√	Product innovation, price competitiveness, customer satisfaction
Best Technological Solution		√	Technology innovation, infrastructure, trade execution, user interface

To vote please visit StructuredRetailProducts.com/Americas



If you have any queries please contact:

Tiago Fernandes

Head of Global Data

Direct UK: +44(0)20 7779 8228

Mobile: +44(0)79 7146 4509

E-mail: Tiago@StructuredRetailProducts.com