

**FINANCIAL ADVICE  
NEW ZEALAND  
2021 AWARDS**  
5 CATEGORIES | 16 AWARDS

# Categories

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## **Service to the Profession Award**

Recognising an individual who has made an outstanding contribution to the Financial Services sector and has gone above and beyond to champion for or to enhance the profession.

This person does not have to be a member of Financial Advice NZ. There is an opportunity for one award for this category.



## **Outstanding Adviser Awards**

Recognising our members who help New Zealanders achieve financial wellbeing through providing an outstanding financial advice service and who exhibit professional excellence.

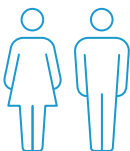
There is an opportunity for one award per financial advice stream for this category.



## **Rising Star Awards**

Recognising the brightest new talent in advice amongst our members in their chosen field of financial advice by demonstrating that they provide high quality financial advice, deliver an exceptional client experience and show commitment to their professional and personal development.

There is an opportunity for one award per financial advice stream for this category.



## **Outstanding Support Person Awards**

The most Outstanding Support Person recognised by our members who demonstrates an exceptional adviser support experience and shows ongoing commitment to the financial services sector.

There is an opportunity for one award per financial advice stream for this category.



## **Community Service Awards**

Recognising our members who have made a meaningful and positive impact to the lives of people in our communities in respect of financial wellbeing.

There will be a maximum of three awards for this category.

# Service to the Profession Award

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Recognising an individual who has made an outstanding contribution to the Financial Services sector and has gone above and beyond to champion for or to enhance the profession.

Nominees do not have to be a member of Financial Advice NZ.

## The Judging Criteria

- The breadth of the contribution by the individual
- The degree of positive impact the individual has made
- The extent to which the individual has been able to motivate, utilize and incorporate others to foster positive outcomes
- The demonstration of the highest level of integrity in the way they conduct themselves.

## The Judging Process

1. Submit a written nomination outlining the contribution to financial services the individual has made.
2. Three judges review and select the award winner.

# Outstanding Adviser Awards

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Recognising our members who help New Zealanders achieve financial wellbeing through providing an outstanding financial advice service and who exhibit professional excellence.

## The Judging Criteria

- Demonstration of a client centric approach
- Demonstration of integrity towards the client and within the financial advice service process
- Evidence of the financial advice provided being suitable for the client
- The quality of the strategies used to achieve the client's objectives and needs
- Demonstration of clear, full and appropriate level of written advice for the financial service provided
- Demonstration of how the financial advice has made a positive difference for the client or would make a positive difference if an event happened
- Evidence of ongoing professional development to continually lift capability and show commitment to self improvement
- Consideration of innovations that have been adopted to create a better client experience or outcomes
- Evidence that all conduct obligations are met such as disclosure, FSP registration, member of a Disputes Scheme, holds Professional Indemnity Insurance, has met CPD requirements.

## The Judging Process

1. A panel of three judges per financial service (Investment, Financial Planning, Lending, Risk) to review the application form, overview, conduct and compliance checks.
2. Judges review Financial Advice Service evidence provided against the criteria and select a shortlist.
3. Judges conduct Zoom interviews with shortlisted advisers to obtain deeper insight of the adviser.
4. Judges interview at least two third party relationships to qualify ethics, competency and quality of adviser.

# Rising Star Awards

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Recognising the brightest new talent in advice amongst our members in their chosen field of financial advice by demonstrating that they provide high quality financial advice, deliver an exceptional client experience and show commitment to their professional and personal development.

Entry Criteria: As of June 1 2021 has had four years or less as an adviser providing financial advice service.

## The Judging Criteria

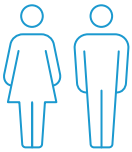
- Demonstration of a client centric approach
- Demonstration of integrity towards the client and within the financial advice service process
- Evidence of the financial advice provided being suitable for the client
- The quality of the strategies used to achieve the client's objectives and needs
- Demonstration of clear, full and appropriate level of written advice for the financial service provided
- Demonstration of how the financial advice has made a positive difference for the client or would make a positive difference if an event happened
- Evidence of ongoing professional development to continually lift capability and show commitment to self improvement
- Consideration of innovations that have been adopted to create a better client experience or outcomes
- Evidence that all conduct obligations are met such as disclosure, FSP registration, member of a Disputes Scheme, holds Professional Indemnity Insurance, has met CPD requirements.

## The Judging Process

1. A panel of three judges per financial service (Investment, Financial Planning, Lending, Risk) to review application form, overview and conduct and compliance checks.
2. Judges review Financial Advice Service evidence provided against the criteria and select a shortlist.
3. Judges conduct Zoom interviews with shortlisted advisers to obtain a deeper insight of the adviser.
4. Judges interview at least two third party relationships to qualify ethics, competency and quality of adviser.

# Outstanding Support Person Awards

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Recognising individuals who demonstrate an exceptional adviser support experience and shows ongoing commitment to the financial services sector.

Entry Criteria: As of June 1 2021 has three years or more in a support person role in the financial advice sector in New Zealand.

## The Judging Criteria

- Demonstration of outstanding, ongoing support of advisers with an ‘adviser-centric’ approach
- Demonstration of going the extra mile to help and support advisers in their advice business with a ‘can-do’ attitude to create better adviser or client experiences and outcomes
- Outstanding personal talent by bringing to the advice sector a new or fresh way of doing things e.g. in the use of social media, communications, promotional or CPD events, advice, business or compliance processes.

## The Judging Process

1. A panel of three judges to review the Application Form framework.
2. Judges review the evidence and testimonials provided against the criteria and select a shortlist.
3. Judges interview the nominating Member and at least one of the two referees to attest to the outstanding character of the support person.

# Community Service Awards

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Recognising our members who have made a meaningful and positive impact to the lives of people in our communities in respect of financial wellbeing.

## The Judging Criteria

- **Contribution:** contribution to a charity, community group or not-for-profit organisation. Contribution and/or pro bono work with individuals in need, in areas such as personal financial advice, financial life skills, and mentoring
- **Impact:** how has the work resulted in a meaningful and positive impact to an individual, community or not-for-profit
- **Commitment:** overall commitment to the concept for the longer term.

## The Judging Process

1. Submit a written application detailing the community service.
2. Online interview with three judges.

# How to enter

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Entry is open to all Members of Financial Advice New Zealand. To enter into any of the categories each applicant will have to fill out an online form. Please find the online form links below. The form will outline the application process for each award category.

Please email [admin@financialadvice.nz](mailto:admin@financialadvice.nz) for any questions related to the 2021 Financial Advice New Zealand Awards. Entries close 17th September 2021.



Service to the Profession Award (Applications nominated by a member)

To enter please fill out the form at <https://form.jotform.com/FinancialAdviceNZ/service-to-the-profession-award-21>



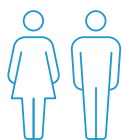
Outstanding Adviser Award (Applications by the individual or nominated by a member)

To enter please fill out the form at <https://form.jotform.com/FinancialAdviceNZ/outstanding-adviser-award-2021>



Rising Star Award (Applications by the individual or nominated by a member)

To enter please fill out the form at <https://form.jotform.com/FinancialAdviceNZ/rising-star-award-2021>



Outstanding Support Person Award (Applications by the individual or nominated by a member) To enter please fill out the form at <https://form.jotform.com/FinancialAdviceNZ/outstanding-support-person-award-21>



Community Service Award (Applications by the individual or nominated by a member) To enter please fill out the form at <https://form.jotform.com/FinancialAdviceNZ/community-service-award-2021>