

### **The David Norton 'Building Excellence' Award 2023**

1. David Norton, Building Excellence Award ("the Competition") is being conducted by the Chartered Institute for Securities and Investment (CISI), 20 Fenchurch Street, London, EC3M 3BY.
2. Entry to the Competition is open to all UK-based Financial Planning firms that have identified a number of areas for development of the business. The staff within the firm need not be members of the CISI.
3. The 2023 Competition applications (i.e. fully completed entries) must be submitted in accordance with these terms and conditions by the closing dates as outlined below.
4. The stages of the competition are as follows:
  - First round: Complete the application form (answering all questions) and submit to [FPawards@cisi.org](mailto:FPawards@cisi.org) by **11:59pm on Wednesday 7 June 2023**.
  - A panel of judges ("The Panel") consisting of representatives from the CISI, award sponsors, press and the Financial Planning community will review the applications and shortlist two applicants to progress. Entries will be judged on the responses and supporting documents submitted exclusively. Applicants will be notified of the outcome of the first round on **Thursday 13 July 2023**.
  - Second round: The top two shortlisted Applicants will be invited to attend an interview with the Panel on Wednesday 20 September 2023. This will take place via video call. The Panel will select an overall Winner based on the David Norton judging criteria.
5. Applicants may only enter the Competition once. The CISI accepts no responsibility for incorrectly submitted, delayed, misdirected or illegible entries into this Competition.
6. The Winner will be announced at The Financial Planning Conference 2023. Their details will be subsequently published on the website and in various industry publications following the announcement.
7. General feedback by way of comments from the Panel will be made available on request once the Winners have been announced.
8. The Winner will receive:
  - a) Access to 'Uncover Your Business Potential' programme by Brett Davidson and FP Advance and get the first year for free (Value £7,800). Find out more about the programme here: <https://fpadvance.com/uncover-your-business-potential/>
  - b) One free ticket and accommodation for the 2024 Financial Planning Conference.
  - c) Feature on a CISI website.
  - d) Profile on CISI social media channels.
  - e) Announcement in *The Review*.
  - f) As well as a trophy and the accolade of winning.
9. The Winner must take the prizes as specified above. Where applicable, the prizes cannot be redeemed for cash, exchanged or transferred to another person. The Winner acknowledges and agrees that all other costs associated with the prize, including taxes and other ancillary costs, are their own responsibility.
10. The CISI may without notice combine the awards and prize fund if it is deemed that there are insufficient entries.
11. Chance plays no part in this Competition. The Panel's decision is final, and no correspondence will be entered into. Any applicants or applications not complying with these terms and conditions or involving fraud or any other illegal activity may be disqualified by the Panel and/or replaced by another applicant at any time. The CISI reserves the right to undertake at any time any verification checks of the application submitted.

12. By entering the Competition, all applicants confirm and agree that they will abide by these terms and conditions, they are the person who submitted the application, and the application is their own work. Applicants who submit multiple entries will be judged on their first entry only.
13. The CISI is not responsible for any incorrect or inaccurate information, either submitted by the applicant, or caused by equipment or programming used in this Competition, or for any technical error that may occur during the administration of this Competition including any omission, interruption, deletion, defect, delay in operation or transmission, network failures, technical problems or traffic congestion on the Internet or on the Website, software failure, theft, destruction, alteration or unauthorised access to the applications or any injury or damage to any person's computer related to, or resulting from, participating in this Competition.
14. The CISI and its associated companies and agencies shall not be liable in any way (including, without limitation, in negligence) for any loss or damage whatsoever suffered (including, without limitation, indirect or consequential loss) or for any loss or damage or personal injury suffered or sustained in connection with using any prize, except any liability that cannot be excluded by law.
15. By entering the Competition, the Winner agrees to participate in publicity activities associated with the Award including interviews and photo sessions requested by the CISI or the award sponsors.
16. The information entrants provide will be used by the CISI for the purpose of conducting the Competition in accordance with the CISI privacy policy.