

2009 IMPACT Awards® Fact Sheet

Charles Schwab & Co., Inc. established the IMPACT Awards (impactawards.schwab.com) to honor advisors and firms that have advanced the independent investment advisor industry through their visionary leadership, operational excellence and technology innovation. SEC-registered advisors that meet the IMPACT Awards eligibility guidelines are encouraged to participate – regardless of their custodial relationships.

An outside consulting firm will review and score all IMPACT Awards entries and select the finalists. A distinguished panel of judges from across the financial services industry and business world will choose one winner in each of the four IMPACT Awards categories with final approval by Schwab*. The winners will be announced at IMPACT® 2009, one of the industry's leading conferences, September 13-16 in San Diego, CA.

Categories	Charles R. Schwab IMPACT Award®	Best-in-Business Award	Best-in-Tech Award	Pacesetter Award
Award Description	Honors an individual trailblazer whose sustained vision, outstanding leadership, client commitment and community engagement clearly demonstrate the value of independent investment advice	Recognizes an independent investment advisory firm for excellence in business management and client services	Recognizes an independent investment advisory firm that serves as a model for success in applying technology to extend the reach, responsiveness and growth of its business	Recognizes an independent investment advisory firm that has realized accelerated growth through strategic management, innovative practices and ongoing investment in business capabilities
How to Enter	**Nomination only (self-nominations not accepted)		***Firm nominations only	
Deadlines	Nominations and Acceptances: May 1 – June 15, 2009		Nominations: May 1 – June 15, 2009	
Areas Considered	<ul style="list-style-type: none"> - Business Planning - Client Loyalty - Industry Activities - Other Career Distinctions 	<ul style="list-style-type: none"> - Business Planning - Practice Management and Employee Development - Client Loyalty 	<ul style="list-style-type: none"> - Technology Strategy - Operational Efficiencies and Practice Management - Client Servicing 	Accelerated growth in tandem with: <ul style="list-style-type: none"> - Business Planning - Practice Management and Employee Development - Client Loyalty
Eligibility Criteria*	Meets the criteria of the other awards categories as well as: <ul style="list-style-type: none"> - Current principal or founder of an independent investment advisory firm - At least 10 years of personal experience managing investments in securities and providing investment advice to individual investors as an officer or employee of an independent investment advisory firm 	<ul style="list-style-type: none"> - Be an SEC-registered independent investment advisory firm - Have at least \$25 million in assets under management - Have at least 75 percent of revenue as fee-based - Have at least 75 percent of client base as individual investors, or manage at least \$100 million on behalf of individual investors - Have been in business as an independent investment advisory firm for 10 years or more (Best-in-Business and Charles R. Schwab IMPACT Awards), 5 years or more (Best-in-Tech Award), and 10 years or less (Pacesetter Award) 		
Restrictions	A Charles R. Schwab IMPACT Award winner may not participate again in this category and must wait five years before participating in other categories	A Best-in-Business or Best-in-Tech Award winner may not participate for five years in any award category		A Pacesetter Award winner may not participate again in this category and must wait five years before participating in other award categories
Award	<ul style="list-style-type: none"> - Trophy - ****\$25,000 donation to charitable organization of winner's choice 	<ul style="list-style-type: none"> - Trophy - ****\$10,000 donation to charitable organization of winner's choice 		

* Schwab reserves the right to disqualify an advisor or firm for any reason including adverse disciplinary history or bankruptcies.

**Anyone, with the exception of clients of the nominated advisors, can nominate a candidate for the Charles R. Schwab IMPACT Award.

***Applies to Best-in-Business, Best-in-Tech, and Pacesetter Awards only.

**** Charitable organizations are subject to approval by Schwab.

For more information, complete IMPACT Awards Terms & Conditions are available at impactawards.schwab.com.