



The FIVE STAR program is in major metro markets across the United States.

Each client respondent is asked to evaluate only wealth managers whom they have worked with and each peer respondent is asked to evaluate only wealth managers whom they know through personal experience.

The final list of FIVE STAR Wealth Managers includes the wealth managers, of those evaluated, in the local market that scored highest in overall satisfaction; representing less than 7% of the wealth managers in the local market.

Your Source For Professionals

Scored Highest in *Overall Satisfaction*



FIVE STAR Wealth Managers scored highest in overall satisfaction

Select a FIVE STAR Professional and you have chosen someone who has scored highest in overall satisfaction in their market area through third-party research. The FIVE STAR Award is the only one of its kind that incorporates both client and industry professional evaluations. It is an exclusive award, given to only 7 percent of professionals in a given industry and market area.

The FIVE STAR Wealth ManagerSM Award Program and its research process adhere to the guidelines established within the Investment Advisors Act of 1940 regarding third-party recognition.

In each geographic market the Program is conducted, QMI Research administers a survey, by mail and phone, to approximately 1 in 4 high-net-worth households and all FINRA license holders (QMI Research may adjust these guidelines in subsequent surveys based on prior year sample). Respondents are asked to name and evaluate up to three wealth managers. For the purposes of the research, wealth managers are those individuals who help their clients prepare a financial plan and/or implement aspects of their financial plan. The services offered by wealth managers include business planning, charitable giving, estate planning, financial planning, investments, taxation, and trust services.

Each client respondent is asked to evaluate only wealth managers whom they have worked with and each peer respondent is asked to evaluate only wealth managers whom they know through personal experience. Client respondents evaluate wealth managers on nine criteria: customer service, integrity, an

Knowledge/expertise, communication, value for fee charged, whether the wealth manager meets client financial objectives, post sale service, quality of recommendations, and overall satisfaction. Peer respondents evaluate wealth managers based on three criteria: integrity, knowledge/expertise, overall reputation. The questionnaires are structured to make it equally easy for an individual to give negative or positive responses regarding each wealth manager evaluated.

QMI Research scores the survey responses, including all responses both negative and positive, to determine which wealth managers meet the identified standards, and screens wealth managers based on their regulatory compliance history as reported by FINRA, the SEC, the State Board of Accountancy and the State Bar. Only wealth managers with five years of experience in the financial services, accounting, or legal professions are considered. Only FINRA licensees, IAR's, CPA's and state licensed attorneys with five years of experience in the financial services, accounting or legal professions are eligible to appear on the final list of FIVE STAR Wealth Managers.

Wealth managers do not pay a fee to be included in the evaluation process or to be named as a FIVE STAR Wealth Manager.

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