Brian Evans

FIVE STAR WEALTH MANAGER

Five Star Professional employed a rigorous research process to identify the Five Star Wealth Manager award winners in the Seattle area. Award-winning professionals were carefully selected from among thousands of wealth managers for their knowledge, service and experience. Award winners represent an exclusive group of wealth managers who have demonstrated excellence in their field by satisfying 10 objective selection criteria.

FIVE STAR PROFESSIONAL + seattle magazine

The Five Star Wealth Manager award, administered by Crescendo Business Services, LLC (dba Five Star Professional), is based on 10 objective criteria. Eligibility criteria – required: 1. Credentialed as a registered investment adviser or a registered investment adviser representative; 2. Actively licensed as a registered investment adviser or as a principal of a registered investment adviser firm for a minimum of 5 years; 3. Favorable regulatory and complaint history review (As defined by Five Star Professional, the wealth manager has not; A. Been subject to a regulatory action that resulted in a license being suspended or revoked, or payment of a fine; B. Had more than a total of three settled or pending complaints filed against them and/or a total of five settled, pending, dismissed or denied complaints with any regulatory authority or Five Star Professional's consumer complaint process. Unfavorable feedback may have been discovered through a check of complaints registered with a regulatory authority or complaints registered through Five Star Professional's consumer complaint process; feedback may not be representative of any one client's experience; C. Individually contributed to a financial settlement of a customer complaint; D. Filed for personal bankruptcy within the past 11 years; E. Been terminated from a financial services firm within the past 11 years; F. Been convicted of a felony); 4. Fulfilled their firm review based on internal standards; 5. Accepting new clients. Evaluation criteria – considered: 6. One-year client retention rate; 7. Five-year client retention rate; 8. Non-institutional discretionary and/or non-discretionary client assets administered; 9. Number of client households served; 10. Education and professional designations. Wealth managers do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers. Award does not evaluate quality of services provided to clients. Once awarded, wealth managers may purchase additional profile ad space or promotional products. The Five Star award is not indicative of the wealth manager's future performance. Wealth managers may or may not use discretion in their practice and therefore may not manage their client's assets. The inclusion of a wealth manager on the Five Star Wealth Manager list should not be construed as an endorsement of the wealth manager by Five Star Professional or this publication. Working with a Five Star Wealth Manager or any wealth manager is no guarantee as to future investment success, nor is there any guarantee that the selected wealth managers will be awarded this accomplishment by Five Star Professional in the future. For more information on the Five Star award and the research/selection methodology, go to fivestarprofessional.com. 2,452 Seattle wealth managers were considered for the award; 266 (11 percent of candidates) were named 2018 Five Star Wealth Managers.

2018 SEATTLE AWARD WINNERS

Connect with Five Star Wealth Managers

A SELECT AWARD

Finding a wealth manager who suits your needs can be a daunting task. In fact, many consumers have a hard time figuring out where to even begin.

Sometimes, a few simple questions can set one off on the right path. Asking a wealth manager what makes working with him or her a unique experience can help you understand how they work and if their style meshes with your own. Further, asking a financial adviser to talk about any specialties they might have can help uncover skills you might find useful.

Ultimately, how do you find an experienced wealth manager who you feel comfortable working with? One who has high retention rates? One who has undergone a thorough complaint and regulatory review? One who has tenure in the industry?

Five Star Professional uses its own proprietary research methodology to name outstanding professionals, then works with publications such as *Seattle* magazine to get word out about award winners who satisfy 10 objective eligibility and evaluation criteria. Although this list is a useful tool for anyone looking for help in managing their financial world or implementing aspects of their financial strategies, it should not be considered exhaustive. Undoubtedly, there are many excellent wealth managers who, for one reason or another, are not on this year's list.

For the complete list of winners, go to www.fivestarprofessional.com.

RESEARCH DISCLOSURES

In order to consider a broad population of high-quality wealth managers, award candidates are identified by one of three sources: firm nomination, peer nomination or pre-qualification based on industry standing. Self-nominations are not accepted. CITY award candidates were identified using internal and external research data.

- Wealth managers do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers.
- The Five Star award is not indicative of the wealth manager's future performance.
- Wealth managers may or may not use discretion in their practice and therefore may not manage their clients' assets.
- The inclusion of a wealth manager on the Five Star Wealth Manager list should not be construed as an endorsement of the wealth manager by Five Star Professional or *Seattle* magazine.
- Working with a Five Star Wealth Manager or any wealth manager is no guarantee as to future investment success, nor is there any guarantee that the selected wealth managers will be awarded this accomplishment by Five Star Professional in the future.
- Five Star Professional is not an advisery firm, and the content of this article should not be considered financial advice. For more information on the Five Star award and the research/selection methodology, go to www.fivestarprofessional.com.
- 2452 award candidates in the Seattle area were considered for the Five Star Wealth Manager award. 266 (approximately 11 percent of the award candidates) were named 2018 Five Star Wealth Managers.

Five Star Wealth Manager Criteria

Determination of Award Winners

Award candidates who satisfied 10 objective eligibility and evaluation criteria were named 2018 Five Star Wealth Managers.

Eligibility Criteria – Required

1. Credentialed as a registered investment adviser or a registered investment adviser representative.
2. Actively employed as a credentialed professional in the financial services industry for a minimum of five years.
3. Favorable regulatory and complaint history review.
4. Fulfilled their firm review based on internal firm standards.
5. Accepting new clients.

Evaluation Criteria – Considered

6. One-year client retention rate.
7. Five-year client retention rate.
8. Non-institutional discretionary and/or non-discretionary client assets administered.
9. Number of client households served.
10. Education and professional designations.

Regulatory Review

As defined by Five Star Professional, the wealth manager has not:

- Been subject to a regulatory action that resulted in a license being suspended or revoked, or payment of a fine
- Individually contributed to a financial settlement of a customer complaint
- Been convicted of a felony
- Within the past 11 years:
  - Been terminated from a wealth management or financial services firm
  - Filed for personal bankruptcy
  - Had more than a total of three settled or pending complaints filed against them (and no more than five total pending, dismissed, or denied) with any regulatory authority

Five Star Professional conducts a regulatory review of each nominated wealth manager using the Investment Adviser Public Disclosure (IAPD) website. Five Star Professional also uses multiple supporting processes to help ensure that a favorable regulatory and complaint history exists. Data submitted through these processes was applied per the above criteria:

- Each wealth manager who passes the Five Star Professional regulatory review must attest that they meet the definition of favorable regulatory history, based upon the criteria listed above.
- Five Star Professional promotes via local advertising the opportunity for consumers to confidentially submit complaints regarding a wealth manager.

»» WEALTH MANAGERS »»

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FIVE STAR PROFESSIONAL + Award winner seen in seattle magazine

FIVE STAR
PROFESSIONAL

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