

Award Disclosures

Five Star Wealth Manager

The Five Star Wealth Manager award (the “FSWM award”) is administered by Crescendo Business Services, LLC (dba Five Star Professional). Data for the FSWM award was gathered during the current or prior year. Wealth managers do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers. Once awarded, wealth managers may purchase marketing materials from Five Star Professional, including additional profile ad space or promotional products.

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, complaint, employment, bankruptcy and felony review (as defined by Five Star Professional); 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. Noninstitutional discretionary and/or non-discretionary client assets administered; 9. Number of client households served; 10. Education and professional designations. For more information on the FSWM award and the research/selection methodology, go

to https://fivestarprofessional.com/ref/research/WM_ResearchMethodology.pdf.

FSWM award candidates are identified by one of three sources: firm nomination, peer nomination or pre-qualification based on industry standing. The FSWM award does not evaluate the quality of services provided and 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 Five Star Wealth Managers will be awarded this accomplishment by Five Star Professional in the future. For more information about FSWM market research statistics, go to <https://www.fivestarprofessional.com/wmdisclosures>.

Ameriprise Circle of Success

The Ameriprise Circle of Success is an annual, internal recognition program for a select number of high-performing affiliated financial advisors who consistently demonstrate exceptional commitment to financial planning, client service, and high-quality advice. The Ameriprise Circle of Success is administered by Ameriprise Financial (“Ameriprise”). Ameriprise does not offer additional details about the percentage of recipients but uses a 1-5 star system for client reviews of their advisors, which are accessible on their site. Advisors do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers.

The award may not be representative of any one client’s experience because the rating reflects an average of all, or a sample of all, of the experiences of the advisor’s clients. Receipt of the award is not indicative of future performance.