

## **Washington Business Journal Best Places To Work**

Rankings were determined by Omaha, Nebraska-based Quantum Workplace and are based on each company's score on an employee engagement survey. To qualify for the small company category, firms must have between 10 and 24 local employees in the Washington region. Quantum queries, evaluates and scores participating companies in categories ranging from team effectiveness, trust in senior leadership and alignment with company goals.

## **The Financial Times Top 300 Registered Investment Advisors**

The 2014 Financial Times Top 300 Registered Investment Advisors is an independent listing produced by the Financial Times (June, 2014). The FT 300 is based on data gathered from RIA firms, regulatory disclosures, and the FT's research. As identified by the FT, the listing reflected each practice's performance in six primary areas, including assets under management, asset growth, compliance record, firm's years in existence, credentials, and accessibility. Neither the RIA firms nor their employees pay a fee to The Financial Times for inclusion in the FT 300.

## **Barron's Top 1,200 Financial Advisors:**

Criteria include the volume of assets overseen by advisors and their teams, revenue they generate for the firm, and the quality of the advisor's practice. Advisors are required to complete a questionnaire with over 100 questions primarily focused on the size of the assets they manage, how much revenue they generate, and their compliance and regulatory record.

## **Inc. 5000**

All of the following must be true of your company in order to qualify for the 2015 Inc. 5000. Your company must:

1. Have generated revenue by March 31, 2011;
2. Have generated at least \$100,000 in revenue in 2011;
3. Have generated at least \$2 million in revenue in 2014;
4. Be privately held, for profit; based in the U.S., and independent (not a subsidiary or division of another company).

## **Schwab Impact Pacesetter Award:**

Singles out a leader of the future—an up-and-coming independent advisory firm with a track record of less than 10 years. The stand-out firm will have exhibited initiative, growth and promise, as well as a focused use of technology as a way to extend its reach, responsiveness and growth. The award includes a \$15,000 donation to a charity designated by the firm.

## **Washingtonian: Top Financial Experts as of November 2014, 2012, 2010 and January 2009**

Survey of hundreds of area financial professionals. Fee-only advisors include certified financial planners who do not accept commissions or referral fees.

## **Washington Business Journal: Washington's Premier Wealth Advisors, 2014, 2013, 2012, 2011**

National Association of Board Certified Advisory Practices (NABCAP) and its board of directors created an unaffiliated evaluation process in which 20 categories of practice management are assessed. Advisors are invited and/or nominated to participate by submitting an online questionnaire. The multi-step verification process utilizes independent resources to assess the accuracy and truthfulness of the information submitted by advisory practices. NABCAP's methodology is unique in deciphering advisors because it is primarily objective, not subjective and helps add transparency for the investor's benefit.

## **Smart CEO: Wealth Management Reader's Choice Award, 2013**

Greater Washington area's top wealth managers based on responses from Smart CEO readers.

## **Financial Advisor: Top 200 Fee-Only Advisors, 2013, 2012, 2011**

Assets under management, growth in assets, assets per client, growth in assets per client and the percentage change in number of clients.

## **Northern Virginia: Expert Financial Advisors, 2013, 2012, 2011**

Enlisted input from the Certified Financial Planner Board of Standards, Inc. which grants and upholds the CFP® designation as the recognized standard of excellence in personal financial planning.

## **Alliance for Workplace Excellence Award, 2013**

Applicants undergo a comprehensive evaluation process in order to be considered for these awards. The winners demonstrate outstanding commitment to balanced leadership and the overall success of their workforce.

They are assessed in the following areas:

- Innovative corporate culture and management practices
- Family and employee friendly policies and programs
- Strong health and wellness initiatives
- Employee growth and learning opportunities
- Commitment to corporate, social and civic responsibility
- Diversity and inclusion practices
- Flexible work environment
- Safety and security

## **Financial Planning: Top Emerging RIAs**

RIA Database, which compiled the rankings, determines its list based on discretionary and non-discretionary assets under management listed on SEC Form ADV. The list of top RIAs by growth ranks firms by AUM, inclusive only of those with assets that have grown 30% or more since Dec. 31, 2008.

### **Advisor One: 2011 Top Wealth Managers**

Survey of wealth managers to include total assets under management, along with various other measures, including average AUM per client.

Data analysis completed by Philip Palaveev, Jonathan McQuade and Fusion Advisor Network.

### **Investment News: Up-and-Coming RIAs and The Fast Movers**

Growth in discretionary assets under management from December 31, 2008 to December 31, 2010 as reported to SEC. Greater than 50% of their business must serve the retail marketplace. Must provide financial planning services, portfolio management for individuals, or conduct due diligence on third party advisers; must not be doing business as a broker/dealer, bank or insurance company, charge commissions, or have registered representative employees at the firm. A dominant portion of their business must not be invested in proprietary products.

### **Barrons: Top 1,000 State-by-State and Virginia Business: The Winner's Circle**

Professionals with a minimum of 7 years financial services experience, acceptable compliance records, client retention reports, customer satisfaction reports, and may include in-depth interviews and discussions with senior management, peers and customers. Advisors are also ranked on varying types of revenues and assets advised by the financial professional, with weightings associated for each as of January 31, 2009 and March 31, 2008 respectively.

### **Institutional Investor: 20 Rising Stars of Wealth Management**

Culled from top investment banks, commercial banks and independent advisors and nominated by their peers, 45 years of age or younger, manage more than \$1 million in investable assets per client.

### **Medical Economics: 150 Best Financial Advisors for Doctors, November 2008**

Industry knowledge, minimum 10 years of experience and credentials/certifications were taken into consideration, as well as those who work with or specialize in physician businesses or the medical field. Must be in good standing with the Securities and Exchange Commission and other governing organizations.

### **Registered Rep: Top 100 Independent Advisors in America**

Advisors were ranked by assets under management. The ranking is also validated via direct survey.

### **Barron's Winner's Circle – Virginia Business**

Minimum of seven years of financial services experience and other weighted requirements ranging from acceptable compliance records and wealth management focus to customer satisfaction reports. Advisors are then ranked based on an algorithm that weighs varying types of revenues, custodied and non-custodied assets advised by the financial professional, and individual vs. institutional assets.

### **Investment News Community Leadership Award**

Advisor who is nominated for service as a volunteer board member or committee member and has made an outstanding contribution of at least five years served “with distinction.”

### **Reuters: Top Advisor Award**

Assets under management, assets per client, client type and total clients.

### **Reuters: Top Advisor Award**

Based on assets under management as of March 31, 2008 as reported to SEC and a survey that may include acceptable compliance records, client retention reports and customer satisfaction reports.