FIVE STAR
WEALTH MANAGER

Global View Capital Advisors

Left to right: Seated: **2015 winners Suzana Gossett** and **Diane Sween**; **Jim Wawrzyniakowski**, Chief Compliance Officer; **David Morton**, Chief Research Analyst and Portfolio Manager; Standing: **2015 winner Eric Becker**; **Gerri Meverden**; **2015 winners Robert Du Charme**, **Marcie Nemke** and **Randy Derbick**; **Dean Fliss**, President GVCA; **three-year winner Dina Fliss**, President GVCM; **Nathan Larsen**, Research Analyst and Portfolio Manager

Helping advisors excel

- Global View Capital attracts independent advisors who want to retain their books of business, but also leverage the capacities of a larger firm to realize their potential. Every advisor has the opportunity to earn partner status where decisions are made collaboratively.
- We provide independent advisors a comprehensive suite of services in marketing, back-office functions, technology, training, compliance, business development, and best-of-breed investment and insurance platforms.
- Global View Capital helps advisors with the increasing demand of a myriad of responsibilities that take away precious time from the needs of their clients. So without the operational burdens, advisors can leverage their passion to serve their clients and grow their business.
- We are proud of our Wisconsin-based Five Star Wealth Managers. They represent a larger team of wealth management professionals across the U.S. and Canada who help families *Design, Grow and Protect the Personal Economies From Families All Over the World.™*

GLOBAL VIEW CAPITAL®
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Advisory Services offered through Global View Capital Management, Ltd. (GVCM). GVCM is an SEC-Registered Investment Advisory Firm headquartered at N14 W23833 Stone Ridge Dr., Suite 350, Waukesha, Wis. 53188. Supervising office262-650-1030. Information about GVCM can be found at SEC.gov. For additional information about GVCM, its investment programs, including fees, please see our disclosure statement as set forth on Form ADV and Wrap Fee Brochure as found on our website. Global View Capital Management, Global View Capital Insurance and Global View Capital Advisors are affiliated companies.

Where Passion Drives Innovation

Award winner seen in
Milwaukee MAGAZINE

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 opt to purchase additional profile ad space or related award promotional products (including this item). The award methodology does not evaluate the quality of services provided.

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. Active as a credentialed professional in the financial services industry 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 customer complaints filed against them [settled or pending] 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 filed with a regulatory authority; D. Filed for personal bankruptcy; E. 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. 1,329 Milwaukee wealth managers were considered for the award; 430 (33 percent of candidates) were named 2015 Five Star Wealth Managers.

2015 Milwaukee Five Star Wealth Managers

FIVE STAR PROFESSIONAL

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 advisor 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?

Milwaukee Magazine and Five Star Professional partnered to find wealth managers who satisfy 10 objective eligibility and evaluation criteria. Among many distinguishing attributes, the average one-year client retention rate for this year's award winners is more than 96 percent. 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.

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. Milwaukee award candidates were identified using internal and external research data.

Determination of Award Winners

Award candidates who satisfied 10 objective eligibility and evaluation criteria were named 2015 Five Star Wealth Managers.

Eligibility Criteria – Required

1. Credentialed as an investment advisory representative or a registered investment advisor.
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.

Research Disclosures

- 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 *Milwaukee 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 advisory 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.
- 1,329 award candidates in the Milwaukee area were considered for the Five Star Wealth Manager award. 430 (approximately 33 percent of the award candidates) were named 2015 Five Star Wealth Managers.

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.
- Had more than a total of three customer complaints filed against them (settled or pending) with any regulatory authority or Five Star Professional's consumer complaint process.
- Individually contributed to a financial settlement of a customer complaint filed with a regulatory authority.
- Filed for personal bankruptcy.
- Been convicted of a felony.

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.
- Five Star Professional contacted approximately 1 in 12 households identified as having a high propensity to use the services of wealth managers in order to provide consumers the opportunity to submit complaints regarding a wealth manager.

For more information on the program, go to www.fivestarprofessional.com/wm_program.