



# 2020 AWARD WINNER

## Congratulations!

Hello,

We are pleased to announce that G. Frederick Schroeder has won the 2020 Five Star Wealth Manager award! By earning this honor, G. has demonstrated a commitment to clients. Please offer G. your congratulations.

Five Star Professional has recognized in the pages of Diablo magazine an outstanding group of East Bay-area wealth managers. Five Star Wealth Managers are named using an in-depth research methodology that includes ten objective criteria.

Congratulations once again to G. Frederick Schroeder and to all of our 2020 Five Star Wealth Managers!

Sincerely,



**Jonathan Wesser** | VP, Operations  
Five Star Professional  
[www.fivestarprofessional.com](http://www.fivestarprofessional.com)

**G. Frederick Schroeder**  
**President And Chief Investment Officer**

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Lafayette, CA 94549  
925-283-7913

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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 clients' 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 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 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](http://fivestarprofessional.com). 1,260 East Bay area wealth managers were considered for the award; 88 (7% of candidates) were named 2020 Five Star Wealth Managers. 2019: 1,340 considered, 104 winners; 2018: 1,397 considered, 113 winners; 2017: 1,049 considered, 95 winners; 2016: 948 considered, 182 winners; 2015: 2,261 considered, 183 winners; 2014: 4,527 considered, 204 winners; 2013: 858 considered, 195 winners; 2012: 1,145 considered, 233 winners.

# 2020 SAN FRANCISCO EAST BAY FIVE STAR AWARD WINNERS



### A SELECT AWARD

Five Star Professional uses its own proprietary research methodology to name outstanding professionals, then works with publications such as *Diablo* magazine to spread the word about award winners. Each award candidate undergoes a thorough research process (detailed below) before being considered for the final list of award winners. For more information

on how we name outstanding wealth managers, as well as a complete list of winners and our research methodology, go to [www.fivestarprofessional.com](http://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 prequalification based on industry standing. Self-nominations are not accepted. San Francisco East Bay 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 *Diablo* 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](http://www.fivestarprofessional.com).

### 2020 Five Star Wealth Manager Criteria:

**Eligibility Criteria – Required:** 1. Considered as an investment advisory representative or a registered investment adviser. 2. Actively employed as a certified 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. 1,200 award candidates in the San Francisco East Bay area were considered for the Five Star Wealth Manager award. 87 (approximately 7% of the award candidates) were named 2020 Five Star Wealth Managers.



William Lutzinger - Investor Services

Alberto Carr - Wealth Wealth

G. Frederick Schroeder - Schroeder Capital Management LLC

Steve Clarke - Fox Wealth Co

Caroline Clapper - PeakPerformance Wealth

Caroline Collier - Triangle Wealth Management

Angela Carter - Wealth Nation

Perry Conger - Smith and Associates

Walter Crandall - Research Resources

William Lutzinger - Investor Services

Ellie Green - Prudent Financial

John Gray - Wealth Nation

Steve Clarke - Fox Wealth Co

Caroline Clapper - PeakPerformance Wealth

Caroline Collier - Triangle Wealth Management

Angela Carter - Wealth Nation

Perry Conger - Smith and Associates

Walter Crandall - Research Resources

William Lutzinger - Investor Services

Tommy Louder - BrillHouse

Mark Lee - PeakPerformance Wealth

Steve Clarke - Fox Wealth Co

Caroline Clapper - PeakPerformance Wealth

Caroline Collier - Triangle Wealth Management

Angela Carter - Wealth Nation

Perry Conger - Smith and Associates

Walter Crandall - Research Resources

Spencer

Katrina

Michelle

Michelle

Mark He

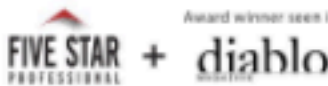
Christine

John Co

Ellen Co

Mark Co

## G. Frederick Schroeder · Schroeder Capital Management LLC



Award winner seen in

The Five Star Wealth Manager award administered by Investor Services, LLC (Five Star Professional), Schroeder Financial Services, Eligible criteria – required: 1. Considered as an investment advisory representative or a registered investment adviser. 2. Actively employed as a certified professional in the financial services industry for a minimum of five years. 3. Favorable regulatory and complaint history review as defined by Five Star Professional. The wealth manager has not in firm subject to regulatory action that results in a fine being suspended or a fine being imposed. 4. Fulfilled their firm review based on internal firm standards. 5. Accepting new clients. 6. Evaluation 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 winners are not paid a fee to be considered or placed on the final list of Five Star Wealth Managers. Self-nominations are not accepted. San Francisco East Bay award candidates were identified using internal and external research data. Each award candidate undergoes a thorough research process (detailed below) before being considered for the final list of award winners. For more information on the Five Star award and the research selection methodology, go to [www.fivestarprofessional.com](http://www.fivestarprofessional.com). 1,200 award candidates in the San Francisco East Bay area were considered for the Five Star Wealth Manager award. 87 (approximately 7% of the award candidates) were named 2020 Five Star Wealth Managers. 2019: 1,200 considered, 108 winners, 2018: 1,200 considered, 115 winners, 2017: 1,200 considered, 115 winners, 2016: 1,200 considered, 107 winners, 2015: 1,200 considered, 107 winners, 2014: 1,200 considered, 107 winners, 2013: 1,200 considered, 107 winners, 2012: 1,200 considered, 107 winners.