



2019 AWARD WINNER

Congratulations!

Hello,

We are pleased to announce that G. Frederick Schroeder has won the 2019 Five Star Wealth Manager award! By earning this honor, Fred has demonstrated a commitment to clients. Please offer Fred 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 2019 Five Star Wealth Managers!

Sincerely,



Jonathan Wesser | VP, Operations
Five Star Professional
www.fivestarpromotional.com

Contact

G. Frederick Schroeder
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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 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 fivestarpromotional.com. 1,340 East Bay area wealth managers were considered for the award; 104 (8 percent of candidates) were named 2019 Five Star Wealth Managers. 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.

Diablo magazine

SPECIAL ADVERTISING SECTION

2019 FIVE STAR WEALTH MANAGERS

SAN FRANCISCO EAST BAY



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.fivestarpromotional.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. 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.fivestarpromotional.com.

2019 Five Star Wealth Manager Criteria:

Eligibility Criteria – Required: 1. Credentialed as an investment advisory representative or a registered investment adviser. 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. 1,340 award candidates in the San Francisco East Bay area were considered for the Five Star Wealth Manager award. 104 (approximately 8% of the award candidates) were named 2019 Five Star Wealth Managers.



Alberto Carr - Seattle Wealth

G Frederick Schroeder - Schroeder Capital Management

Yves Carlier - First Wealth Co

Caroline Clapper - First Performance Wealth

Caroline Collins - Triangle Wealth Management

Angela Conner - Wealth Nation

Therese Cooper - Smith and Associates

Ellis Green - Prudent Financial

James Gray - Wealth Nation

Robert

Robert

Robert

Robert

Robert

Robert

Robert

Robert

Thomas Cooper - First Wealth Co

Thomas Cooper - First Wealth Co

Alvin Lee - First Performance Wealth

Ignacio Ball

Hattie Baker

Michael Be

Wendy Be

Mark Be

Christine B

John Cabala

Ellis Green

Mark Schell

G Frederick Schroeder - Schroeder Capital Management



Award winner seen in



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