

BRR Awards – Corresponding Disclosures & Links (as of 9/8/2021)

Please note – limitations: Neither rankings and/or recognition by unaffiliated rating services, publications, media or other organizations, nor the achievement of any designation or certification should be construed by a client or prospective client as a guarantee that he/she will experience a certain level of results if Budros, Ruhlin & Roe, Inc. is engaged or continues to be engaged to provide investment advisory services.

Rankings published by magazines and others generally base their selections exclusively on information prepared and/or submitted by the recognized adviser. Rankings are generally limited to participating advisers. Unless expressly indicated to the contrary, Budros, Ruhlin & Roe, Inc. did not pay a fee to be included in any such ranking or receive any such recognition. No ranking or recognition should be construed as a current or past endorsement of Budros, Ruhlin & Roe, Inc. by any of its clients. Any questions can be directed to the Budros, Ruhlin & Roe Chief Compliance Officer.

FT 300 TOP RIA | Financial Times- 300 Top Financial Advisers (2014, 2015, 2016, 2017, 2018, 2019, 2020)

“FT” and “Financial Times” are trademarks of The Financial Times Ltd. (“FT”). The Financial Times “300 Top Registered Investment Advisers” is an independent listing (“The FT 300”) produced annually. FT is not affiliated with Budros, Ruhlin & Roe (BRR). The FT 300 is presented as “an elite group,” not a competitive ranking of one to 300. BRR applied for consideration, and the result was independently granted. The results are not based upon information or opinions of participating Registered Investment Advisers’ (“RIA”) clients. Therefore, inclusion on The FT 300 is not representative of any participating RIA’s clients’ experiences and should not be construed as a current or past endorsement of BRR by any of its clients.

Applicants are graded on six factors: assets under management (“AUM”); AUM growth rate; company’s years in existence; compliance record; industry certifications; and online accessibility. By considering the “compliance record,” eligibility to appear on The FT 300, FT seeks to ensure that a participating RIA

has an established and significant history and record free from regulatory sanctions. As of 2019, FT and “Ignites Distribution Research,” a subsidiary of FT that provides business intelligence on the asset management industry, invited more than 2,000 RIAs to apply for consideration. RIA information is also obtained from the database of RIAs registered with the US Securities and Exchange Commission, with a focus on those RIAs with more than \$300m in assets under management (AUM). The FT 300 caps the number of advisory companies from any one state. The cap is roughly based on the distribution of millionaires across the United States. The FT 300 is based on data gathered from RIAs, regulatory disclosures, FT’s research, and/or research conducted on FT’s behalf by Ignites Distribution Research.

FT indicates that the methodology used to evaluate inclusion on The FT 300 is quantifiable and objective, and that the participating RIAs had no subjective input in the analysis. AUM accounted for an average of 70 to 75 percent of each applicant’s score, while asset growth accounted for an average of 15 percent. To emphasize long-term client satisfaction, FT and Ignites Distribution Research used a three-year growth rate instead of the one and two-year growth rates that they used in the past.

Neither the participating RIAs nor their employees pay a fee to FT in exchange for inclusion in The FT 300. However, BRR may pay a fee to FT, an affiliate, or an unaffiliated third party in exchange for plaques or article reprints commemorating the designation. While BRR would pay this fee after receiving the designation and not as a condition precedent to receiving it, the fact that BRR pays any fee with respect to its receipt of the designation should be considered if such designation is a factor in a client or prospective client’s evaluation of whether to initially to engage or continue to engage Budros for investment advisory services. There are no facts that would call into question the validity of the inclusion on The FT 300 or the appropriateness of BRR’s advertising the same. BRR’s receipt of this award designation is not indicative of BRR’s future performance, or any future performance pertaining to its clients’ investments; should not be construed by a client or prospective client as a guarantee that they will experience a certain level of results if BRR is engaged, or continues to be engaged, to provide investment advisory services.

Article with Methodology: <https://www.ft.com/content/6a45556e-6c21-4770-bc94-468fee0de563>

Methodology: This seventh edition of the FT 300 assesses registered investment advisers based on desirable traits for investors. We present the FT 300 as an elite group, not a competitive ranking of one to 300. This is the fairest way to identify

the industry's elite advisers while accounting for the companies' different approaches and specializations.

To ensure a list of established companies with substantial expertise, we examine the database of RIAs registered with the US Securities and Exchange Commission and select those with more than \$300m in assets under management (AUM).

The Financial Times and Ignites Research, the FT's sister company, invited qualifying RIA companies — more than 2,000 — to complete a lengthy application that gave us more information about them. We added this to our own research into their practices, including data from regulatory filings. Some 760 RIA companies applied and 300 made the final list.

The formula the FT uses to grade advisers is based on six broad factors and calculates a numeric score for each adviser. Areas of consideration include AUM, asset growth, the company's age, industry certifications of key employees, SEC compliance record and online accessibility. The reasons these were chosen are as follows:

- AUM signals experience managing money and client trust.
- AUM growth rate can be a proxy for performance, as well as for asset retention and the ability to generate new business. We assessed companies on three-year growth rates.
- Companies' years in existence indicates reliability and experience of managing assets through different market environments.
- Compliance record provides evidence of past client disputes; a string of complaints can signal potential problems.
- Industry certifications (CFA, CFP, etc.) shows the company's staff has industry knowledge and a professional commitment to investment skills.
- Online accessibility shows a desire to provide easy access and transparent contact information.

Among the top factors in our scoring, AUM accounted for an average of 72 per cent of each adviser's score. Their growth rate accounted for an average of 15 per cent. The FT places a cap on the number of advisers from any one state, corresponding to the distribution of millionaires across the US.

The research was conducted on behalf of the Financial Times by Ignites Research, a Financial Times sister publication.

FORBES BEST-IN-STATE WEALTH ADVISORS

Dan Roe ranked in 2017, 2018, 2019, 2020, 2021, with 2021 ranking as #8 in Ohio and first mention in Columbus, Ohio.

Forbes® is a registered mark of Forbes LLC. Data for the Forbes "Top Wealth Advisors" developed by "SHOOK Research." Candidate firms qualify based on

both quantitative and qualitative criteria that includes in-person interviews, industry experience, community involvement, client retention data, and revenue trends. BRR is not an affiliate of Forbes. Forbes does not endorse BRR or any of its representatives. Each advisor considered for the award was nominated by their respective firm, then vetted and ranked by SHOOK Research. BRR applied for consideration, and the result was independently granted.

The Forbes ranking of “Best In State Wealth Advisors,” developed by SHOOK Research, is based on an algorithm of quantitative and qualitative criteria, mostly gained through telephone and in-person due diligence interviews, and quantitative data. Those advisors that are considered have a minimum of seven (7) years’ experience, a minimum of one year at their current firm, over half of the advisor’s production is with individuals and the algorithm weights factors like revenue trends, assets under management, compliance records, industry experience and those that encompass best practices in their practices and approach to working with clients. Portfolio performance is not a criterion due to varying client objectives and lack of audited data.

Neither Forbes nor SHOOK receive a fee or require membership in exchange for rankings. Accordingly, neither BRR nor any other participating advisors paid a fee to be eligible for the “Best-in-State Top Wealth Advisors” ranking BRR is unaware of any undisclosed facts that could potentially invalidate the appropriateness of the ranking. By virtue of disclosing this ranking, BRR is disclosing favorable ratings (to the extent that BRR is ranked above other advisors) and unfavorable ratings (to the extent that BRR is ranked below other advisors).

In developing its applicant pool, SHOOK implements thresholds to limit nominations for consideration.

Ranking Algorithm

The algorithm is designed to fairly compare the business practices of a large group of advisors based on quantitative and qualitative elements. Data are weighted to ensure priorities are given to dynamics such as preferred “best practices”, business models, recent business activity, etc. Each variable is graded and represents a certain value for each measured component. These data are fed into an algorithm that measures thousands of advisors against each other.

The ranking may not be representative of any one client’s experience because of the way in which it is calculated. The ranking is independently granted. The ranking is absolutely not indicative of BRR’s and its advisors’ future performance, or any future performance pertaining to its clients’ investments. This ranking or any other rankings and/or recognition by unaffiliated rating services and/or publications should not be construed as a guarantee that a client will experience a

certain level of results or satisfaction if BRR is engaged, nor should it be construed as a current or past endorsement by any of its clients.

- For the 2021 award, Forbes Best-In-State award, Forbes and Shook received 32,725 nominations, based on high thresholds and qualifications, invited 15,854 candidates to complete the online survey, conducted 13,114 telephone interviews, 619 web-based interviews, and conducted 2,085 in-person interviews at the Advisor's location. BRR was selected as one of 161 High Net Worth Advisers in Ohio.

Announcement article: <https://www.forbes.com/best-in-state-wealth-advisors/#33fc56e8291d>

Methodology: <https://www.forbes.com/sites/rjshook/2021/02/11/forbes-best-in-state-wealth-advisors-methodology-2021/?sh=7f0cbcd6d22>

The *Forbes* ranking of Best-In-State Wealth Advisors, developed by [SHOOK Research](#), is based on an algorithm of qualitative criteria, gained through telephone, virtual and in-person due diligence interviews, and quantitative data. Those advisors that are considered have a minimum of seven years' experience, and the algorithm weights factors like revenue trends, assets under management, compliance records, industry experience and those that encompass best practices in their approach to working with clients. Portfolio performance is not a criteria due to varying client objectives and lack of audited data. Neither Forbes nor SHOOK receive a fee in exchange for rankings.

The Research Process

SHOOK scours the financial services industry—banks, brokerages, custodians, insurance companies, clearing houses and others for nominations. SHOOK accepts advisors who meet pre-determined minimum thresholds and acceptable compliance records. As of this date, SHOOK has received almost 32,000 nominations—advisors who meet SHOOK's thresholds. SHOOK invited 15,854 of these nominees to complete an online survey.

Unlike other advisor rankings, SHOOK is not a “robo-ranker”—numbers such as production and assets don't tell the whole story, especially when much of the data is self-reported. SHOOK Research creates rankings of role models—advisors that are leading the way in offering best practices and providing a high-quality experience for clients. A focus on both quantitative and qualitative factors, including telephone and in-person meetings, is imperative.

SHOOK Research is the only rating firm that interviews advisors via telephone and in person at advisor's location.

Basic Requirements

- 7 years as an advisor
- Minimum 1 year at their current firm, with exceptions (acquisitions, etc.)
- Advisor must be recommended, and nominated, by their firm
- Completion of online survey
- Over 50% of revenue/production must be with individuals
- Acceptable compliance record

Quantitative

- Revenue/production; weightings assigned for each
- Assets under management—and quality of those assets—both custodied and a scrutinized look at assets held away. (Although individual numbers are used for ranking purposes, we publish the entire team's assets.)
- Client-related data, such as retention
- Portfolio performance is not a factor; audited returns among advisors are rare, and differing client objectives provide varying returns

Qualitative

- Telephone and in-person meetings with advisors (if an in-person meeting cannot be accomplished, exceptions are considered in which the interview will occur after a ranking has been published).
- Advisors that exhibit "best practices" within their practices and approach to working with clients.
- Compliance records & u4s. Some “dings” can be overlooked (e.g., firm or product failure beyond the scope of an advisor's due diligence; the older a ding, the less we look). Since there are many gray areas, the SHOOK team is willing to listen to a Firm that is willing to stand behind the advisor with written support from leadership.

Advisors that provide a full client experience:

- Service model
- Investing process
- Fee structure (higher % of fee-based assets earns more points)
- Breadth of services, including extensive use of Firm’s platform and resources (e.g., liabilities)
- Credentials (years of service can serve as proxy)
- Use of team & team dynamics
- Community involvement
- Discussions with management, peers, competing peers
- Telephone and in-person meetings

U4/Compliance Issues

The following conditions will be considered in order to lessen weightings infractions

- Infractions that are denied or closed with no action
- Complaint arose from a product, service or advice initiated by a previous advisor or another member or former member of team
- Length of time since complaint
- Complaints related to product failure not related to investment advice (some limited partnerships, adjusted-rate securities, etc.).
- Complaints that have been settled (must be proven) to appease a client who remained with the advisor for at least one year following settlement date.
- Complaints that are proven to be meritless.
- Actions taken as a result of administrative error or failure by firm.

Once an advisor's compliance rating falls into a tenable category, the following conditions must be met:

- An advisor's rating must be among SHOOK's highest qualitative measures including in-person interview
- Letters of recommendation from firm

Ranking Algorithm

The algorithm is designed to fairly compare the business practices of a large group of advisors based on quantitative and qualitative elements. Data are weighted to ensure priorities are given to dynamics such as preferred “best practices”, business models, recent business activity, etc. Each variable is graded and represents a certain value for each measured component. These data are fed into an algorithm that measures thousands of advisors against each other.

SHOOK Disclosures

SHOOK is completely independent and objective and does not receive compensation from the advisors, Firms, the media, or any other source in exchange for placement on a ranking. SHOOK is funded through conferences, publications and research partners. Since every investor has unique needs, investors must carefully choose the right Advisor for their own situation and perform their own due diligence. Rankings are based on the opinions of SHOOK Research, LLC and not indicative of future performance or representative of any one client’s experience; the firm’s research and rankings provide opinions for how to choose the right financial advisor. Portfolio performance is not a criterion due to varying client objectives and lack of audited data. Remember, past performance is not an indication of future results.

COLUMBUS CEO BEST OF BUSINESS (2021)

Columbus CEO is an Ohio news provider that reports on business news, insights, and analyses through daily online news stories, e-newsletters, a monthly print magazine and live events. BRR is not affiliated with Columbus CEO . Columbus CEO does not endorse BRR or any of its representatives.

Columbus CEO Magazine does not require membership or payment in order for applicants to be considered for a Best Of Business award. The recognition program is based upon feedback from reader membership across over 80 general business categories. The top three vote-getters in each category are given the award. Columbus CEO does not publish, nor is BBR aware of the number of participants that applied for the Best Of Business award. BBR placed third in the 2021 Private Wealth Management category.

The award may not be representative of any one client’s experience because of the way in which it is determined. The award is not indicative of BBR’s and its advisors’ future performance, or any future performance pertaining to its clients’ investments.

FIVE STAR PROFESSIONAL WEALTH MANAGER DESIGNATION

BRR has had advisors named as Five Star Wealth Managers since 2014.

Methodology: <https://www.fivestarpromotional.com/wmdisclosures/COLWM21>

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.

Five Star does not require membership or payment in order for award participants and/or applicants to be considered for an award. For more information on the Five Star award and the research/selection methodology, go to fivestarprofessional.com. 1,157 Columbus-area wealth managers were considered for the award; 77 (7% of candidates) were named 2021 Five Star Wealth Managers. 2020: 1,048 considered, 71 winners; 2019: 1,061 considered, 79 winners; 2018: 1,165 considered, 67 winners; 2017: 828 considered, 71 winners; 2016: 712 considered, 112 winners; 2015: 1,257 considered, 107 winners; 2014: 1,333 considered, 133 winners; 2013: 968 considered, 97 winners.

Award candidates are identified by one of three sources: firm nomination, peer nomination, or pre-qualification. Self-nominations are not accepted. BRR award recipients were not identified through firm nomination.

If applicable:

After receiving the respective award, BRR paid a separate fee to Five Star in exchange for publication of this information. While BRR paid this fee after receiving the designation, and not as a condition precedent to receiving the award, the fact that BRR paid any fee with respect to its receipt of the designation should be considered whether such designation is a factor in a client or prospective client's evaluation of whether to initially to engage or continue to engage BRR for investment advisory services. This type of payment creates a conflict of interest because it provides the awarding entity with a monetary incentive to grant such ranking, recognition, or designation to participants that submit forms of consideration. To mitigate that conflict of interest we remind current and prospective clients that these ratings, rankings, and designations should not be construed as an endorsement of BRR by any client, and that they are no guarantee of future investment success. 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.

The award is not indicative of BRR's and its advisors' future performance, or any future performance pertaining to its clients' investments.

COLUMBUS BUSINESS FIRST LARGEST FEE-ONLY FINANCIAL PLANNERS

(BRR was named in 2018, 2019, 2020, and 2021, with a ranking of #1 in 2021 based on AUM.)

Announcement article: <https://www.bizjournals.com/columbus/subscriber-only/2021/04/02/largest-central-ohio-financial-planners-1.html>

We list Central Ohio's largest fee only financial planners, ranked by total regulatory assets under management as of Dec. 31, 2020.

Fee only planners are compensated based on an hourly rate, a flat rate or a percentage of assets and/or income, not by commissions. Some fee and commission firms might also offer fee-only planning to clients, often to individuals.

Information is provided by individual firms and can't be independently verified.

Columbus Business First newspaper is a local business journal covering a variety of industries. BRR is not affiliated with this newspaper. Columbus Business First does not endorse BRR or any of its representatives. Columbus Business First listed Central Ohio's largest fee only financial planners in terms of assets under management as of 12/20/2020. BRR ranked 1st out of 21 companies.

Columbus Business First newspaper does not require membership or payment to be considered for an award. Columbus Business First newspaper does not publish, nor is BRR aware of any additional criteria for its listing. Information is provided by each firm independently.

The award may not be representative of any one client's experience because of the way in which it is calculated. The award is not indicative of BRR's and its advisors' future performance, or any future performance pertaining to its clients' investments.

BARRON'S TOP 100 ADVISOR

Announcement article: <https://www.barrons.com/advisor/report/top-financial-advisors/100>

Methodology: <https://www.barrons.com/articles/barrons-methodology-for-ranking-financial-advisors-51615843316>

Barron's publishes four individual advisor rankings each year (Top 100 Advisors, Top 100 Women Advisors, Top 100 Independent Advisors, Top 1,200 Advisors) along with three team- or firm-based rankings (Top RIA Firms, Top Institutional Consultants, Top Wealth Management Firms).

The goal is to shine a spotlight on the nation's best financial advisors, with an eye toward raising standards in the industry. The rankings serve two distinct types of *Barron's* readers. For wealth management professionals, they serve as an industry scorecard. For investors, the rankings are a tool that can help in the process of finding financial guidance.

Advisors who wish to be ranked fill out a 102-question survey about their practice. We verify that data with the advisors' firms and with regulatory databases and then we apply our rankings formula to the data to generate a ranking. The formula features three major categories of calculations: (1) Assets (2) Revenue (3) Quality of practice. In each of those categories we do multiple subcalculations.

For instance, we take into account not just the amount of assets an advisor manages; we measure the growth of advisors' practices and their client retention. We also consider a wide range of qualitative factors, including the advisors' experience, their advanced degrees and industry designations, the size, shape, and diversity of their teams, their charitable and philanthropic work and, of course, their compliance records.

The rankings are meant as a starting point for clients looking for an advisor—a first-pass vetting that can help investors narrow a search. Every advisor will have his or her own approach to investing, financial planning, and other services. Clients are encouraged to approach a search for an advisor the way they would a search for a doctor—interviewing multiple professionals and getting opinions from multiple third parties.

BARRONS Top 100

Barron's is a registered trademark of Dow Jones & Company, L.P. All rights reserved. Barron's "America's Top 100 Independent Wealth Advisors" (also referred to as Barron's "America's Top 100 Independent Financial Advisors") and "America's Top 1,200 Financial Advisors" base their rankings upon data provided by individual advisers and their firms, including submissions by BRR. Barron's confirms that data via regulatory databases, crosschecks with securities firms and conversations with individual advisers. BRR is not an affiliate of Barron's. BRR applied for consideration, and the result was independently granted.

The rankings are based on data provided by around 4,000 investment advisers. Advisors who wish to be ranked fill out a 102-question survey about their practice. Barron's then verifies that data with the advisors' firms and with regulatory databases and then applies its rankings formula to the data to generate a ranking. *Barron's* listings are based on data compiled by many of the nation's most productive advisers, which is then submitted to and judged by *Barron's*. The formula Barron's uses to rank advisers is proprietary. It has three major components: assets managed, revenue produced, and quality of practice. Investment returns are not a component of the rankings because an adviser's returns are dictated largely by the risk tolerance of clients and not all advisers

have audited results. In addition, Barron's also considers a wide range of qualitative factors, including the advisors' experience, their advanced degrees and industry designations, the size and shape of their teams, their charitable and philanthropic work and, of course, their compliance records. Barron's may also consider the growth of an advisor's practice and their client retention rate, in addition to whether advisers are private wealth or institutional managers. BRR is unaware, nor has Barron's published the number of nominees considered for the award ranking. Barron's offers ranked advisors, like BRR, a profile on its website. For a fee ranked advisors can add their photo and contact information, to the Barron's profile. BRR has paid such a fee. This award is not indicative of this advisor's future performance.

Barron's does not require membership or payment in order for award participants and/or applicants to be considered for an award designation. Moreover, neither BRR nor any other participating advisers paid a fee to be eligible for the "America's Top 100 Independent Wealth Advisors." Barron's does not publish, nor is BRR aware of the percentage of other advisers that received the applicable rankings.

Notwithstanding the foregoing, Barron's-ranked advisors may pay Barron's a separate fee for special advertising to publish a Barron's-ranked advisor's contact information including applicable phone numbers, email addresses, and website addresses. This publication option is offered on an annual basis and is limited to Barron's-ranked advisors for that respective year. It should be noted that this type of payment creates an inherent conflict of interest because it provides the awarding entity with a monetary incentive to grant such ranking, recognition, or designation to participating Advisors that submit such forms of consideration. After receiving the respective award designations, BRR did not pay Barron's a separate fee to Barron's in exchange for Barron's publication of this information.

BRR is unaware of any undisclosed facts that could potentially invalidate the appropriateness of the ranking. By virtue of disclosing this ranking, BRR is disclosing favorable ratings (to the extent that BRR is ranked above other advisors) and unfavorable ratings (to the extent that BRR is ranked below other advisors). The rankings may not be representative of any one client's experience because of the way in which it is calculated. The rankings are independently granted. Inclusion on the Barron's Lists is absolutely not indicative of BRR's future performance, or any future performance pertaining to its clients' investments; should not be construed by a client or prospective client as a guarantee that they will experience a certain level of results if BRR is engaged, or continues to be engaged, to provide investment advisory services; and should not be construed as a current or past endorsement of BRR by any of its clients.

(more)

SMART BUSINESS SHARE PILLAR AWARD WINNER 2017

Announcement article: <http://www.sbnonline.com/article/medical-mutual-2017-pillar-award-community-service-central-ohio/>

No published methodology

Smart Business Magazine is a local business journal covering a variety of industries. BRR is not affiliated with this magazine. Smart Business does not endorse BRR or any of its representatives. Smart Business listed BRR as a winner of the Medical Mutual 2017 SHARE Award based upon various philanthropic and charitable activities undertaken by the firm and its staff members

Smart Business Magazine does not require membership or payment to be considered for an award. Smart Business Magazine does not publish, nor is BRR aware of any additional criteria for its listing. Information is provided by each firm independently.

The award may not be representative of any one client's experience because of the way in which it is calculated. The award is not indicative of BRRs and its advisors' future performance, or any future performance pertaining to its clients' investments.

COLUMBUS BUSINESS FIRST CORPORATE CARING AWARD WINNER 2017

Announcement article: <https://www.bizjournals.com/columbus/news/2017/06/23/corporate-caring-2017-budros-ruhlin-roe.html>

No published methodology

Columbus Business First newspaper is a local business journal covering a variety of industries. BRR is not affiliated with this newspaper. Columbus Business First does not endorse BRR or any of its representatives. Columbus Business First listed BRR as a winner of the Corporate Caring Award based upon various humanitarian and charitable activities undertaken by the firm and its staff members

The Columbus Business First newspaper does not require membership or payment to be considered for an award. Columbus Business First newspaper does not publish, nor is BRR aware of, any additional criteria for its listing. Information is provided by each firm independently.

The award may not be representative of any one client's experience because of the way in which it is calculated. The award is not indicative of BRR's and its advisors' future performance, or any future performance pertaining to its clients' investments.

INVESTMENT NEWS ALEXANDRA ARMSTRONG LIFETIME ACHIEVEMENT AWARD 2017

Announcement article: https://s32566.pcdn.co/wp-content/uploads/2021/03/IN_201711201.pdf

Investment News is a national business journal covering the financial services industry. BRR is not affiliated with the Investment News. Investment News does not endorse BRR or any of its representatives. Investment News listed Peggy Ruhlin as a winner of the Alexandra Armstrong Lifetime Achievement Award in 2017 based upon industry contributions over the span of her career.

Investment News Magazine does not require membership or payment to be considered for an award. does not publish, nor is BRR aware of any additional criteria for its listing. General information was provided by Ms. Ruhlin and BRR.

The award may not be representative of any one client's experience because of the way in which it is calculated. The award is not indicative of BRR's and its advisors' future performance, or any future performance pertaining to its clients' investments.

FORBES & RIA CHANNEL FASTEST GROWING RIA FIRM 2016

Announcement article: BRR ranked #72/100

<https://www.forbes.com/sites/juliecooling/2016/11/14/top-100-ria-firms-by-ten-year-growth/?sh=70a9121e6b1f>

Methodology explained in initial paragraphs:

I am pleased to announce the Forbes/[RIA Channel](#) 2016 annual ranking of its 100 Fastest Growing RIA Firms. [RIA Channel](#) has been producing the RIA lists for Forbes since 2006. This year's unique ranking showcases the wealth management firms by growth in assets over the past ten years with a majority of the firms accruing more than \$1 billion in assets.

To be considered for our ranking,

wealth management firms by growth in assets over the past ten years with a majority of the firms accruing more than \$1 billion in assets.

Each firm must be a registered investment advisor (RIA) with the SEC, provide wealth management services and serve individual clients as a primary focus. Broker/dealers, hedge funds, those managing large funds and firms with disciplinary disclosures were excluded. As the RIA market changes and grows, [RIA Channel](#) continues to adapt its criteria to the current environment.

These firms are leading because of their independence, their commitment to their clients and their ability to grow through a decade of market challenges and rewards.

Forbes and RIA Channel® Fastest Growing RIA ranks wealth management firms by growth in assets over the past ten years, with a majority of the firms accruing more than \$1 billion in assets. Each firm must be a registered investment advisor (RIA) with the SEC, provide wealth management services and serve individual clients as a primary focus. Broker/dealers, hedge funds, those managing large funds and firms with disciplinary disclosures were excluded. As the RIA market changes and grows, RIA Channel continues to adapt its criteria to the current environment.

These firms are leading because of their independence, their commitment to their clients and their ability to grow through a decade of market challenges and rewards. BBR ranked 72 out of 100 firms to receive recognition. BBR did not verify any data for Forbes or RIA Channel and information displayed on RIA Channel's website is determined by RIA Channel, not BBR. We do not we know RIA Channel's RAUM calculation methodology. RIA Channel has not published information on how many firms were considered for ranking, nor did it publish criteria used for inclusion for consideration on this ranking. BBR did not submit any information to RIA Channel regarding in this ranking, request to be considered for the ranking or pay any fee in connection with this recognition. The award is not indicative of client experience or future investment performance.

**SCHWAB IMPACT AWARD – NATIONAL BEST IN BUSINESS
AWARD 2011**

News article on subject: <https://www.thinkadvisor.com/2011/11/03/schwab-recognizes-top-advisors-firms-at-impact-2011/>

The IMPACT Awards are given each year to firms that have advanced the industry through their demonstrated leadership and business practices. Schwab honors each of the winning firms by donating \$15,000 to a charity of their choice. Since the debut of the IMPACT Awards in 2006, Schwab has recognized many firms and and made charitable donations on their behalf. Winning firms are usually selected by a panel of independent judges from across the industry. This Award was granted relative to excellence in business management.

Charles Schwab does not require membership or payment to be considered for an award. Schwab does not publish, nor is BBR aware of any additional criteria for its listing. General information was provided by BBR.

The award may not be representative of any one client's experience because of the way in which it is calculated. The award is not indicative of BRRs and its advisors' future performance, or any future performance pertaining to its clients' investments.