

# AWARDS & ACCOLADES

## RECOGNITION OF OUR FIRM

Worth's Top 300 RIA Firms  
*Worth, 2024*

RIA Edge 100  
*WealthManagement.com, 2023*

Leading RIAs in the US  
*Financial Advisor, 2006-2010, 2012-2023*

30 Best New York City Financial Advisors  
*Expertise.com, 2021-2023*

Best Places to Work in NYC  
*Crain's New York Business, 2020, 2022-2024*

Best Place to Work for Financial Advisors  
*Investment News, 2020, 2024*

Top Rated Advisors in New York, NY  
*AdvisoryHQ, 2016-2021*

300 Top RIAs in the Nation  
*Financial Times, 2017*

Best Practices Award  
*InvestmentNews, 2014*

Due Diligence/Research Manager  
All-Star Team Award  
*Financial Advisor, 2012-2013*

Bloomberg's Top 300 Wealth Managers  
*Wealth Manager, 2003-2008, 2010*



## RECOGNITION OF OUR PRINCIPALS

Top 100 Independent Wealth Advisors in the Nation  
*Barron's - Lew Altfest, 2013-2024*

Top 1,200 Financial Advisors in the Country  
*Barron's - Lew Altfest, 2014-2024*

Best-In-State Wealth Advisors  
*Forbes - Andrew Altfest, 2018-2021, 2023, 2024*  
*Karen Altfest, 2018-2022*

RIAs to Watch  
*Advisor Hub - Andrew Altfest, 2022-2024*

Top Women Wealth Advisors  
*Forbes - Karen Altfest, 2018-2022*

Notable Women in Finance  
*Crain's - Karen Altfest, 2018-2021*

America's Top Next-Generation Wealth Advisors  
*Forbes - Andrew Altfest, 2017-2020*

Young Advisors to Watch  
*Financial Advisor - Andrew Altfest, 2020*

40 Under 40 in the Financial Advisory Industry  
*InvestmentNews - Andrew Altfest, 2018*

America's Top 200 Women Advisors  
*Forbes - Karen Altfest, 2017*

Top 100 Women Financial Advisors  
*Financial Times - Karen Altfest, 2014*

Best Financial Advisors for Dentists  
*Dental Practice Report - Lew Altfest, 2011-2013*

NAPFA's Women to Know - *Karen Altfest, 2024*

Best Financial Advisors for Doctors  
*Medical Economics - Lew Altfest, 2013*

Sole recipients of the 2007 Charles R. Schwab  
*IMPACT Award - Lewis Altfest*

## Disclosures:

Forbes' Top Women Wealth Advisors developed by SHOOK Research, is based on an algorithm of qualitative and quantitative data, rating thousands of advisors with a minimum of seven years of experience & weighing factors like revenue trends, AUM, compliance records, industry experience and best practices learned through telephone and in-person interviews. Portfolio performance is not a criteria due to varying client objectives and lack of audited data. There is no fee to participate.

Forbes' Best-In-State Wealth Advisors, developed by SHOOK Research, is based on an algorithm of qualitative criteria, mostly gained via phone and in-person due diligence interviews, and quantitative data. Advisors who are considered have a minimum experience of seven years. The algorithm weights factors like revenue trends, assets under management, compliance records, industry experience and those that encompass best practices in their business and in their approach to working with clients. Portfolio performance is not a criteria due to varying client objectives and lack of audited data. There is no fee to participate.

Barron's America's Top 100 Independent Wealth Advisors is based on AUM, revenue generated by advisors for their firm, and the quality of the advisors' practices. Investment performance is not an explicit criterion because performance is often a function of each client's appetite for risk. In evaluating advisors, they examine regulatory records, internal company documents, and 100-plus points of data provided by the advisors. There is no fee to participate.

Barron's state-by-state listing of America's Top 1,200 Financial Advisors lists the top advisors in each state, with the number of ranking spots determined by each state's population and wealth. The rankings are based on AUM, revenue generated by advisors for their firm, and the quality of the advisors' practices. Investment performance is not an explicit criterion because performance is often a function of each client's appetite for risk. In evaluating advisors, they examine regulatory records, internal company documents, and 100-plus points of data provided by the advisors themselves. There is no fee to participate.

Forbes' ranking of America's Top Next-Generation Wealth Advisors, developed by SHOOK Research, is based on an algorithm of qualitative and quantitative data, rating thousands of professionals with a minimum of four years relevant experience. Factors reviewed include revenue trends, AUM, compliance records, industry experience and best practices. Also, interviews are held via telephone and in-person conversations. Portfolio performance is not a criteria due to varying client objectives and lack of audited data. There is no fee to participate.

Forbes' ranking of America's Top Women Wealth Advisors, developed by SHOOK Research, is based on an algorithm of qualitative and quantitative data, rating thousands of wealth advisors with a minimum of seven years of experience and weighing factors like revenue trends, assets under management, compliance records, industry experience and best practices learned through telephone and in-person interviews. Portfolio performance is not a criteria due to varying client objectives and lack of audited data. There is no fee to participate.

RIA Edge 100 was developed by Wealth Management IQ & Discovery Data. ADVs of all SEC-registered investment advisors, AUM growth, ratio of employees to clients and advisors to clients, percentage of advisors with a CFP®, & average client account size were looked at. Qualifying firms provide financial planning services, have high-net-worth clients as more than 50% of their client base & have AUM of at least \$250 million as of 06/30/22. There is no fee to participate.

Advisor Hub's 100 RIAs to Watch (previously known as 50 RIAs to Watch) recognizes advisors based on scope of practice measured by AUM, production and level of service; growth of practice consisting of annual AUM growth and Professionalism which assesses regulatory record, community service & diversity. There is no fee to participate in the ranking.

Crain's New York Business' Best Places To Work ranking was developed with the independent research firm Best Companies Group. 80% of the scoring is from a survey on workplace experience and culture, answered by 20,000+ NYC employees. Employer benefits, policies, & human resources practices account for the remaining score. There is no fee to participate.

Expertise.com selects its list of 30 Best New York City Financial Advisors through a process that includes reviewing public databases and referrals, validating business qualifications and certifications, and assessing service capabilities and professionalism. This award does not evaluate the quality of services provided to clients and is not indicative of past or future performance of clients' accounts. There is no fee to participate.

InvestmentNews' 40 Under 40 recipients are selected after a review of key criteria editorial staff use to weigh the average 1,000 nominations received each of this project's five years, including accomplishment to date, contribution to the industry, leadership and promise. There is no fee to participate in the ranking.

InvestmentNews' Best Places to Work for Financial Advisors recognition is a survey competition to determine which participants are the best employers. The process is managed by Best Companies Group (BCG) and winners are published in an issue of Investment News. The process includes 2 surveys to gather detailed data about each participating company. BCG conducts the surveys, analyzes the data and determines the winners and rankings.

Financial Advisor's Young Advisors to Watch criteria is based on nominations from influential industry professionals of advisors age 40 and below - if more than one professional nominates a candidate, they are then considered on a number of qualitative factors, including thought leadership, innovative thinking, and more. Assets and accreditation are not factored into this recognition. There is no fee to participate. Grain's Custom editors choose candidates based on their professional, civic and philanthropic achievements.

For Notable Women in Finance, they only considered candidates working in asset management, banking, capital markets or credit cards who worked within the five boroughs of NYC. They often try to choose candidates who greatly contribute to the advancement of women in their workplace or industry as a whole.

The Family Business Awards program honors family businesses that make up the back bone of the American economy. Companies must be family owned and operated, head quartered in New York, and generate a minimum of \$2.5 million in annual revenue. There is no fee to participate in the ranking. Honorees are evaluated and chosen by an independent panel of local business leaders and assessed based on their company governance, growth, internal processes and building a legacy.

InvestmentNews' Top 20 Most Influential Women to Watch in 2016 eligibility criteria establishes that a recipient has demonstrated success and leadership in the financial advisory industry, has the ability to effect change in the industry, has exhibited a willingness to share her expertise with others through mentorship and public speaking, has a record of serving as a role model to other female professionals, and has given back to her community. There is no fee to participate in the ranking.

The "30 Most Influential" program recognizes NAPFA members and staff who have made an impact on fee-only financial planning, the group and their peers since NAPFA's founding in 1983.

InvestmentNews' and Invest in Others Charitable Foundation presents the Community Leadership Award to a financial advisor who has shown remarkable charitable leadership and personal commitment.

IMPACT Award Nominations are made by industry professionals and judged by a panel of recognized experts. The IMPACT Awards recognize independent investment advisors who have fundamentally changed the financial services landscape by providing independent advice to affluent investors. There is no fee to participate in the ranking. Established by Schwab Institutional, this award recognizes these contributions by honoring advisors who have advanced the industry through their visionary leadership, operational excellence and technology innovation.

AdvisoryHQ's ranking methodology is based on a wide range of filters including fiduciary duty, level of customized service, and history of innovation. There is no fee to participate.

The Financial Times 300 Top Registered Investment Advisors list is independently produced by Financial Times. The FT 300 is based on data gathered from RIA firms, regulatory disclosures, and FT's research. The listing reflects each practice's performance in six primary areas: assets under management, asset growth, compliance record, years in existence, credentials and online accessibility. This award does not evaluate the quality of services provided to clients and is not indicative of the practice's future performance. There is no fee to participate.

The Financial Times Top 100 Women Financial Advisors list is independently produced by Financial Times. Advisers have to manage at least \$200 million in assets under management (AUM) and have 10 years of experience. Qualified advisers were then scored on six attributes: AUM, AUM growth rate, compliance record, experience, industry certifications and online accessibility. There is no fee to participate.

The Financial Advisor ranking of Leading Registered Investment Advisors in the US looks at year end assets under management of RIAs, publishing a ranked list by AUM. There is no fee to participate.

Research Magazine inducts Advisor Hall of Fame honorees who pass their screening process, have served a minimum of 20 years in the industry, have acquired substantial assets under management, have demonstrated superior client service and have earned recognition from their peers and the broader community for the honor they reflect on their profession. There is no fee associated with securing this honor.

**Disclosures:**

Worth's Leading Advisor Top RIA Firms program is based on firms showing AUM of Over \$500 Million, having predominantly high-net-worth clients, substantial planning clientele, and independence from broker-dealers. The rankings were developed in collaboration with Institutional Shareholder Services (ISS), a proxy advisory firm that helps investors comply with SEC rules for Form N-PX disclosure of proxy voting records. The Securities and Exchange Commission (SEC) requires companies to compile and present financial and business information, reports, and disclosures to provide transparency to investors and the public. Leading Advisor assessments are based on the data that firms submit to the SEC in these disclosures. There is no fee to participate in this program.

The Financial Planning Influencer Award is presented to a practitioner who has made significant contributions to the financial planning profession. The Lifetime Achievement Award is given for advancing the industry throughout the course of a recipient's career, thus changing financial planning for the better. There is no fee associated with consideration of this honor.

Medical Economics' 150 Best Financial Advisors for Doctors list highlights advisors with expertise in working with doctor clients. The publication reviews peer references, conducts a background check, & reviews data submitted by the advisor. A particular focus is given to fee-only financial advisors due to their objective advice.

Dental Practice Report's Best Financial Advisors for Dentists list reviews recommendations from dentists and conducts a review of the advisor's professional conduct to ensure that there are no disciplinary action against the advisor. Candidates must have 10 years of professional experience and submit a questionnaire that highlights credentials, achievements, and information regarding work with dentists.

The InvestmentNews Best Practices awards recognize top-performing firms that are run by people with a long-term vision for their organizations and an ongoing commitment to improving as well as enhancing their businesses. Recipients are all participants in InvestmentNew's Research initiatives and chosen based on their rate of growth, profitability and productivity levels. There is no fee to participate in InvestmentNew's Research initiatives.

Nominations for an All-Star Research Team are sought from readers of Financial Advisor and Private Wealth Management magazines as well as from attendees of the Fiduciary Research Manager Summit. Nominations from individuals outside a nominee's firm are weighted far more heavily than those who were nominated by themselves or their partners. There is no fee to participate in the ranking. Frequency of a nomination also played a role in selection. While the top nominees have different investment philosophies and disciplines, they all have a practice or strategy that sets them apart. There is no fee to participate in the nomination process.

AdvisorOne's (previously known as Wealth Manager) Top 150 Wealth Manager ranking, previously known as Bloomberg's Top 300 Wealth Managers ranking, is an independent listing of Registered Investment Advisors. Applicants submit a thorough application, which includes assets under management, firm growth, client retention, and multi-year growth. There is no fee to participate in the ranking.

The NAPFA Women to Know program is generated from member surveys where participants are asked to provide the name of a female NAPFA advisor that they believe should be recognized for professional accomplishments and commitment to promoting women within the profession. There is no fee to participate in the program.