Columns for 2019 SEC Data

‘Primary Business Name’

‘Legal Name’

‘Main Office Street Address 1’

‘Main Office Street Address 2’

‘Main Office City’

‘Main Office State’

‘Main Office Country’

‘Total number of offices, other than your Principal Office and place of business’

‘1I’ (Do you have one or more websites or accounts on publicly available social media)

‘Website Address’

‘1O’ (Did you have $1 billion or more in assets on the last day of your most recent fiscal year?)

‘2A(1)’ (Yes or no whether they are large advisory firm defined by SEC as an Ria that has 100$ million or more under management)

‘3A’ (Class of RIA Organization)

‘5A’ (Number of employees full time and part time)

‘5B(1)’ (Number of employees who perform investment advisory functions or research)

‘5B(2)’(Number of employees registered as a representative of a broker-dealer)

‘5B(5)’ (Number of employees that are licensed agents of an insurance company or agency)

‘5B(6)’ (Number of firms or persons that solicit advisory clients on this RIA’s behalf)

‘5D(a)(1)’ (Number of clients (Individuals))

‘5D(a)(2)’ (Fewer than 5 clients (Individuals))

‘5D(a)(3)’ (AUM (Individuals))

‘5D(b)(1)’ (Number of clients (High net worth individuals)

‘5D(b)(2)’ (Fewer than 5 clients (High net worth individuals)

‘5D(b)(3)’ (AUM (High net worth individuals))

-Banking or thrift institutions

‘5D(c)(1)’

‘5D(c)(2)’

‘5D(c)(3)’

-Investment companies

‘5D(d)(1)’

‘5D(d)(2)’

‘5D(d)(3)’

-Business Development companies

‘5D(e)(1)’

‘5D(e)(2)’

‘5D(e)(3)’

-Pooled investment vehicles

‘5D(f)(1)’

‘5D(f)(2)’

‘5D(f)(3)’

-Pension and profit sharing plans

‘5D(g)(1)’

‘5D(g)(2)’

‘5D(g)(3)’

-Charitable organizations

‘5D(h)(1)’

‘5D(h)(2)’

‘5D(h)(3)’

-State or municipal government entities

‘5D(i)(1)’

‘5D(i)(2)’

‘5D(i)(3)’

-Other investment advisers

‘5D(j)(1)’

‘5D(j)(2)’

‘5D(j)(3)’

-Insurance companies

‘5D(k)(1)’

‘5D(k)(2)’

‘5D(k)(3)’

-Sovereign wealth funds and foreign official institutions

‘5D(l)(1)’

‘5D(l)(2)’

‘5D(l)(3)’

-Other type of corporation or business

‘5D(m)(1)’

‘5D(m)(2)’

‘5D(m)(3)’

-Other

‘5D(n)(1)’

‘5D(n)(2)’

‘5D(n)(3)’

-binary fields

‘5E(1)’ (Compensated by percentage of AUM)

‘5E(2)’ (Compensated by hourly charges)

‘5E(3)’ (Subscription fees (for a newsletter or periodical))

‘5E(4)’ (Fixed fees (other than subscription fees))

‘5E(5)’ (Commissions)

‘5E(6)’ (Performance-based fees)

‘5E(7)’ (Other)

-binary field

‘5G(1)’ (Renders financial planning services)

-binary field

‘5I(1)’ (Participates in a wrap fee program)

-binary field

‘6A(1)’ (Actively engaged in business as a trust company)

‘7A(9)’ (Has advisory affiliates engaged in business as a trust company)

Columns to calculate

’Total AUM’ (SUM of 5D(a)(3)-5D(n)(3))

’State Rank’ (Total AUM ranked by state)

‘National Rank’ (Total AUM ranked nationally)

‘Financial planning services and a trust company’ (If columns ‘6A(1) and ‘7A(9)’ true