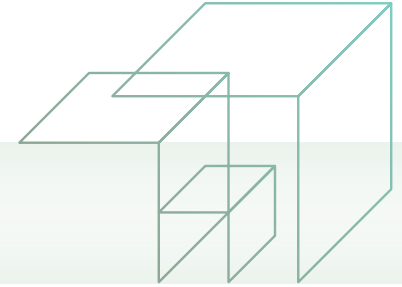


Criteria of Ownership Checklist



CLIENT-FACING TEAM

Senior Advisor
 Service Advisor
 Associate Advisor
 Client Service Associate
 Business Development Officer
 Director of Client Service
 Head of Advisors/Wealth Management

EXECUTIVE/DEDICATED MANAGEMENT TEAM

CEO
 President
 Chief Investment Officer
 Chief Operating Officer
 Director of Finance or CFO
 Director of Compliance or Chief Compliance Officer
 Director of Marketing or CMO
 Chief Technology Officer/Head of Technology
 Director of HR/Talent Management
 Director/Head of Financial Planning

FINANCIAL PLANNING TEAM

Director/Head of Financial Planning
 Paraplanner/Financial Planning Specialist
 Financial Planning Administrator

INVESTMENTS AND OPERATIONS

Senior Portfolio Manager
 Research Analyst/Specialist
 Trader
 Operations Manager
 Operations Associate
 Portfolio Administrator

ADMINISTRATIVE TEAM

Office Manager
 Executive Assistant
 Administrative Assistant
 Front Office Administrator

OTHER SPECIALISTS AND ROLES

Controller/Accountant
 Corporate Finance Associate/Analyst
 HR/Talent Associate
 Tax Specialist
 Estate Specialist
 Trust Specialist
 IT Specialist
 Marketing (nonmanagement)
 Compliance (nonmanagement)

Role Selected _____

QUANTITATIVE REQUIREMENTS

- Firm Tenure: _____
- Industry Tenure: _____
- Year over Year Revenue Growth: _____
- Revenue Managed: _____
- Business Development: _____ new revenue/year
- Business Development: _____ new clients/year
- Client Retention: _____ %
- Runs a department or is a department head
- License/Certification Requirement: _____
- Other: _____

QUALITATIVE REQUIREMENTS

- Culture Carrier
- Brand Ambassador (social media, community outreach, etc.)
- Provides leadership/mentorship to others (formal or informal)
- Growth mindset (personally and professionally)
- Aligns with firm's mission, ethics, and values
- Strategic, owner mentality with ability to make sound business decisions
- Acts with integrity
- Respected by both colleagues and clients
- Manages a team
- Other: _____

Note: Consideration for M&A—requirements may look different if an employee came over from an acquired or merged firm.

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