



**Award Candidate Data Form**

Award candidates must complete and submit this form to be considered for selection as a Five Star Wealth Manager. The information you provide is strictly confidential. Fields marked with an (\*) are required. If you have questions or need assistance, call 888-608-7160.

1. Contact Information:

First Name*	
Last Name*	
Title	
Company Name*	
Street Address*	
City*	State* Zip*
Email*	
Phone Number*	Extension
Fax Number	
Mobile Number	
Website URL	

2. Broker/Dealer. (Select NA if not applicable.)\*

(Drop down of B/D firm names)

3. Select the primary service that you provide to your clients: (choose one)\*

Financial Planning  
 Investments  
 Taxation  
 Estate Planning  
 Business Planning  
 Insurance  
 Trust Services

4. Please confirm/edit the following regulatory license information:\*

Individual CRD Number:

Firm CRD Number:

CPA License Number:

State Bar License Number:

5. Select your highest level of education:\*

High School
Some College
Associate's Degree
Bachelor's Degree
Master's Degree or Higher

6. Designations you currently hold (select all that apply).

- N/A
- AIF
- CFA
- CFP
- CFS
- ChFC
- CIC
- CIMA
- CLU
- CMFC
- CPA
- CRC
- CRPC
- EA
- PFS
- RFP
- Other

7. How many customer complaints have been filed against you (settled or pending) with any regulatory authority? Exclude dismissed complaints.\*

None
One
Two
Three or more

8. Have you been subject to a regulatory action that resulted in sanctions, including but not limited to a license being suspended or revoked, or payment of a fine?\*

- Yes
- No

9. Have you individually contributed to a mandated financial settlement of a customer complaint?\*

- Yes
- No

10. Have you ever filed for personal bankruptcy?\*

- Yes
- No

11. Have you been convicted of a felony?\*

- Yes
- No

12. How many years have you been practicing as a registered representative, an IAR, a CPA or an estate planning attorney?\*

13. What is the amount of non-institutional client assets, either discretionary and/or nondiscretionary, you administer?\*

- Not applicable (CPAs & Estate planning attorneys)
- Less than \$10 million
- \$11-20 million
- \$21-30 million
- \$31-40 million
- \$41-50 million
- \$51-75 million
- \$76-100 million
- \$101-150 million
- \$151-200 million
- \$201-250 million
- \$251 million+

14. How many non-institutional clients (households) do you have?\*

- Less than 25
- 26 to 50
- 51 to 75
- 76 to 100
- 101 to 150
- 151 to 200
- 201 to 250
- 251 to 500
- 501 to 1,000
- More than 1,000

15. Are you accepting new clients?\*

Yes

No

16. What is your client retention rate over the past year (excluding deaths)?\*

- Less than 50%
- 51% to 57%
- 58% to 64%
- 65% to 71%
- 72% to 78%
- 79% to 85%
- 86% to 92%
- 93% to 100%

**Calculating Client Retention Rates**

- A. Determine the number of clients you served at the start of a specified time period (exclude clients who are now deceased). Reduce the total by the number of clients who were subject to managed attrition or similar programs.
- B. How many of the clients identified in (A.) do you currently serve?
- C. Divide (B.) by (A.) and convert to a percentage to arrive at the client retention rate

17. (Optional) What is your client retention rate over the past 5 years (excluding deaths)?

- Less than 50%
- 51% to 57%
- 58% to 64%
- 65% to 71%
- 72% to 78%
- 79% to 85%
- 86% to 92%
- 93% to 100%

18. (Required for Wells Fargo Advisors) Please provide the name and email address of the branch manager/supervisor in your firm.\*

Name

Email address

I certify that the responses provided are true and correct to the best of my knowledge.\*

Yes