

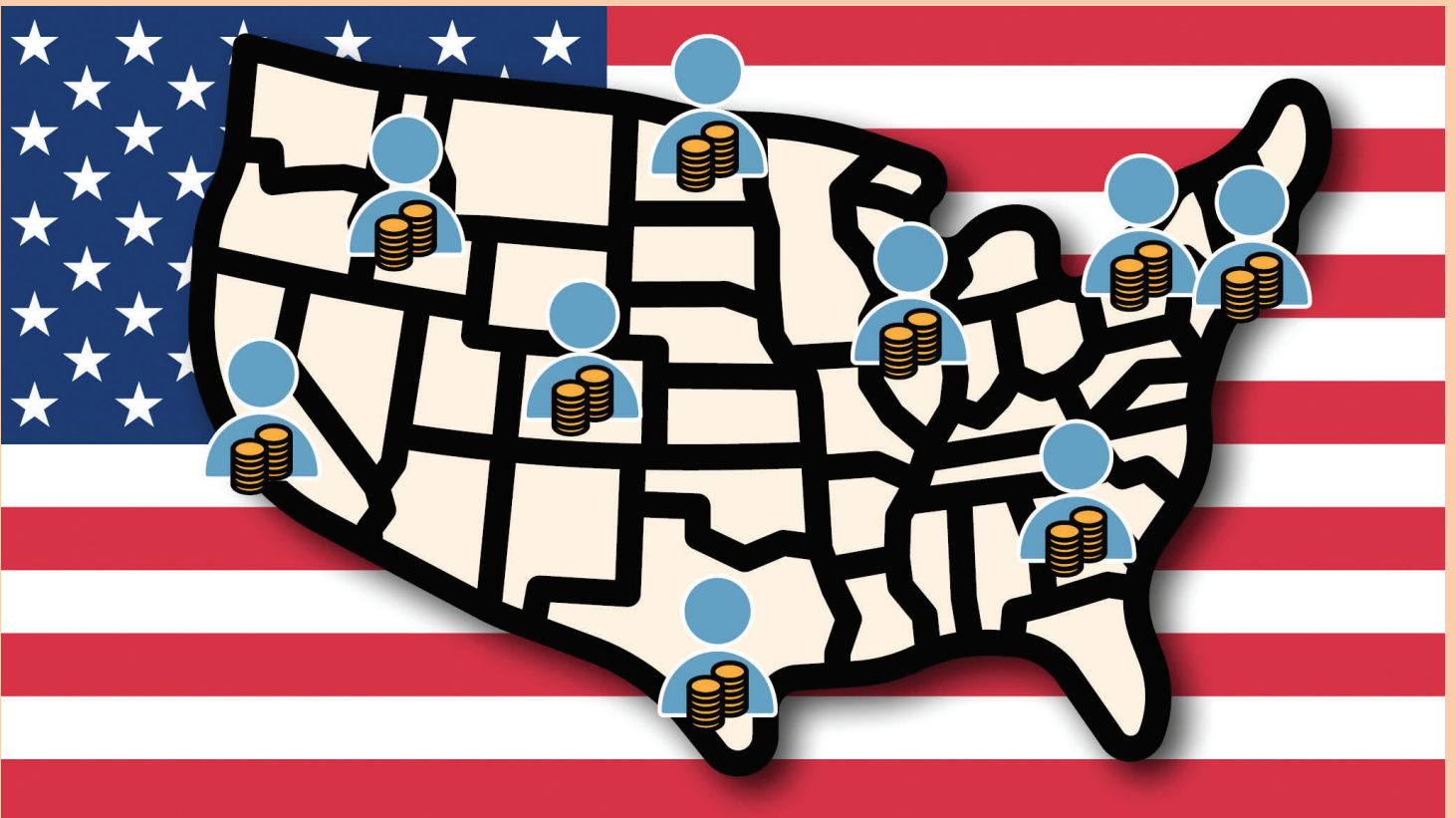
# FINANCIAL TIMES

FT SPECIAL REPORT

## FT 300 Top Registered Investment Advisers

Thursday June 22 2017

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Name \_\_\_\_\_

City \_\_\_\_\_

### Client segments served

- Retail (individuals with less than \$1 million)
- High Net Worth (individuals with \$1 million - \$10 million)
- Ultra-High Net Worth (individuals with \$10 million+)
- Institutional

**Total Investment Management, Inc**    **Scottsdale**



The entry above is extracted from the Arizona section of the FT Top 300 Registered Investment Advisers report.

# FT 300 Top Registered Investment Advisers

## Methodology Selection criteria

This fourth edition of the FT 300 assesses registered investment advisers (RIAs) on desirable traits for investors.

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 that reported to the SEC that they had \$300m or more in assets under management (AUM). The Financial Times' methodology is quantifiable and objective. The RIAs had no subjective input.

The FT 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 725 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 adviser 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 one- and two-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 technical and industry knowledge, and signals a professional commitment to investment skills.
- Online accessibility demonstrates a desire to provide easy access and transparent contact information.

AUM comprised roughly 65 to 70 per cent of each adviser's score, while asset growth accounted for an additional 10 to 15 per cent.

Additionally, the FT caps the number of companies from any one state. The cap is roughly based on the distribution of millionaires across the US.

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 different specialisations.

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

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The Financial Times 300 Top Registered Investment Advisers is an independent listing produced annually by the *Financial Times* (June, 2017).

The FT 300 is based on data gathered from registered advisory firms regulatory disclosures, and the FT's research. The listing may not be representative of any one client's experience because the ranking reflects a quantitative and/or qualitative analysis of factors that may or may not include a sample of the experience of Total Investment Management Inc.'s (TIM) clients. This award does not evaluate the quality of services provided to clients and is not indicative of the firm's future performance. TIM did not pay a fee to participate or for inclusion.