

# IMPORTANT DISCLOSURES



- Spectrum was listed among 607 Registered Investment Advisors on Financial Advisor Magazine's 2021 RIA Survey and Ranking. To be eligible for the ranking, firms must be independent registered investment advisors, file their own ADV statement with the SEC, and provide financial planning and related services to individual clients.
- Spectrum was given honorable mention for the Metropolitan Milwaukee Association of Commerce (MMAC) 2021 Focus on the Future Awards in the Talent category. The program honors businesses for their contributions to the Milwaukee region's economy. To apply, businesses and organizations must write a 250-word essay describing its success in the category of their choice.
- Spectrum was named a 2023 Best Places to work for Financial Advisers by InvestmentNews. To qualify, a firm must have at least 15 employees and have been in business for one year. There is no charge to register. Winners are selected, in partnership with Best Companies Group, from a two-part survey completed by employers and employees. Scores from the employee survey represent three-quarters of the weight of final rankings.
- Spectrum was named a winner by the National Association for Business Resources for the 2023 Milwaukee's Best and Brightest Companies to Work For®. Spectrum was one of 47 winners. An independent research firm evaluates each company's entry based on key measures in various categories.
- Spectrum Investment Advisors was named a winner in the micro category for the Milwaukee Business Journal's 2022 Best Places to Work. Eligible firms are located in the Milwaukee area and have 10 or more full time employees. Of the Business Journal's 180 firm nominations, 63 winners were selected in five categories. Participating firms had a large percentage of employees complete an online survey created and scored by the Business Journal's program partner, Quantum Workplace. Winners were chosen based on highest scores in areas such as: personal engagement, communication and resources, teamwork, retention, alignment with goals, trust with co-workers and senior leaders, manager effectiveness and job satisfaction.
- Spectrum Investment Advisors was named a winner for the Milwaukee Business Journal's 2019 Fastest Growing Firms. To be selected, a company must have revenue between \$3 million and \$500 million and have recorded a profit for the past three years. The 26 firms with the highest percentage of growth from 2016 to 2018 were selected as winners. Accounting firm CliftonLarsonAllen LLP, was used in the verification process.
- Spectrum Investment Advisors was named a 2022 Top DC Advisor Team by the National Association of Plan Advisors (NAPA), which is a compilation of leading individual advisor teams, ranked by self-reported defined contribution assets under advisement. The 2022 list is made up of 332 teams with more than \$100 million in DC assets under advisement. NAPA was created by and for retirement plan advisors and is the only advocacy group exclusively focused on the issues that matter to retirement plan advisors.
- Spectrum was named a 2023 Top Retirement Planning Services Provider by HR Magazine in February 2023. This award is based on data from 2022 respectively. Spectrum paid a licensing fee for use of this designation and logo.
- Spectrum Investment Advisors was named a Best Place to Work in Money Management for 2022 by Pensions & Investments (P&I). The rating was awarded on December 12, 2022, and previously on December 6, 2021, December 2, 2020, December 9, 2019 and December 4, 2017. The recognition is based on data from 2022, 2021, 2020, 2019 and 2017 respectively. P&I partnered with Best Companies Group, an independent research firm specializing in identifying great places to work, to conduct a two-part survey process of employers and their employees. To be eligible for consideration, companies must be a for-profit or not-for-profit business or public agency, have a facility in the United States, have a minimum of 20 full and/or part-time employees working in the United States, be in business a minimum of one year and have at least \$100 million of discretionary assets under management.