



*Recognized by Forbes  
as a 2025 Best-in-State  
Wealth Management Team*

## Client Questionnaire

Innovative strategies to meet the expectations  
of today's prominent business leaders.  
Saving families time, building trust, and  
implementing tax-efficient solutions.

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### The Walsh Nickow Group at Morgan Stanley

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Suite 700  
Palm Beach Gardens, FL  
33410

Forbes Best-In-State Wealth Management Teams

Source: Forbes (Awarded Jan 2025) Data compiled by SHOOK Research LLC based for the period 3/31/23–3/31/24.

Please see additional information at the end of the document.





## Our Story & Services

The Walsh Nickow Group is a young, highly experienced team focusing on innovative wealth management for high-net-worth executives and their families. While our clients have relentless focus on the growth of their company, we share an equal passion to work beside them for their personal wealth management.

The Walsh Nickow Group currently serves executives from more than 50 publicly traded companies focusing on the management of equity compensation. We have a comprehensive wealth management process incorporating strategies such as 10B5-1 executive trading plans, tax management, stock concentration strategies, and customized estate plan strategies.

With dedication, consistency, and superior operational execution, our team along with Morgan Stanley's industry leading technology and resources, is positioned to meet the expectations of today's most prominent business leaders.

**The Walsh Nickow Group was recognized by Forbes as a 2025 Best-in-State Wealth Management Team.**

Forbes Best-In-State Wealth Management Teams

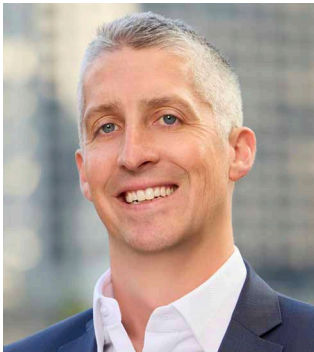
Source: Forbes (Awarded Jan 2025) Data compiled by SHOOK Research LLC based for the period 3/31/23–3/31/24.

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## Patrick D. Walsh, CFP®

### SENIOR VICE PRESIDENT & FINANCIAL ADVISOR



Patrick D. Walsh is a founding partner of The Walsh Nickow Group, a highly experienced team focusing on innovative wealth management for high-net-worth executives and their families. He is also a Morgan Stanley

Workplace Advisor for Equity Compensation with extensive training in workplace benefits.

Patrick works with executives using his extensive knowledge in concentrated stock positions and strategies, while managing the necessary target ownership requirements. In addition, Patrick and his team also have experience with estate strategy and retirement planning, lending, insurance, and estate transfer strategies. Through Morgan Stanley, he has some of the world's most experienced and respected investment professionals, along with a premier trading and execution platform that includes an array of investment solutions.

Patrick and his team explore and develop customized and sophisticated investment solutions, as they utilize an objective based approach to wealth management.

Coupled with Morgan Stanley's technology, Patrick analyzes specific client goals to help create a tailored implementation strategy that encompasses wealth preservation, transfer strategies, risk management, charitable giving, and more, with the ultimate goal of achieving true financial freedom in retirement.

Patrick joined Morgan Stanley in 2007 and is a Senior Vice President in the Chicago Tower complex. Forbes Magazine recognized Patrick as a Best-In-State Wealth Advisor from 2022–2025 as well as a Top Next-Generation Best-In-State Wealth Advisor from 2020–2022. He became a Family Wealth Director in 2021 and received the Alternative Investment Director designation in 2020.

Patrick was also named to the Firm's prestigious Master's Club, a group comprised of some of the top Financial Advisors at Morgan Stanley. These appointments recognize Patrick's excellence in providing independent and prudent wealth management services to his clients.

Patrick is a graduate of Carthage College in Kenosha, Wisconsin with a Bachelor of Arts degree in International Political Economy and French & was captain of the men's soccer team. He currently lives in Glen Ellyn, Illinois with his wife, daughter, and twin sons. In his free time, he enjoys playing bagpipes.

2022–2025 Forbes Best-In-State Wealth Advisors

Source: [Forbes.com](https://www.forbes.com) (Awarded 2022–2025) Data compiled by SHOOK Research LLC based on 12-month time period concluding in June of year prior to the issuance of the award.

2020–2022 Forbes America's Top Next-Gen Wealth Advisors & Top Next-Gen Wealth Advisors Best-in-State (formerly referred to as Forbes America's Top Next-Gen Wealth Advisors, Forbes Top 1,000 Next-Gen Wealth Advisors, Forbes Top 500 Next Generation Wealth Advisors)

Source: [Forbes.com](https://www.forbes.com) (Awarded 2020–2022). Data compiled by SHOOK Research LLC based on 12-month period concluding in March of the year the award was issued.

Please see additional information at the end of the document.



**Bryan N. Nickow, CFP®, CRPC®**  
**VICE PRESIDENT & FINANCIAL ADVISOR**



Bryan Nickow is a Morgan Stanley Vice President and partner of The Walsh Nickow Group, a highly experienced team focusing on innovative wealth management for high-net-worth executives and their families. He is

also a Morgan Stanley Workplace Advisor for Equity Compensation with extensive training in workplace benefits.

Bryan assists corporate executives through developing solutions for their equity compensation, including restricted stock and stock options. These fully personalized strategies focus on tax efficiency and aligning the equity compensation to the family's unique circumstances.

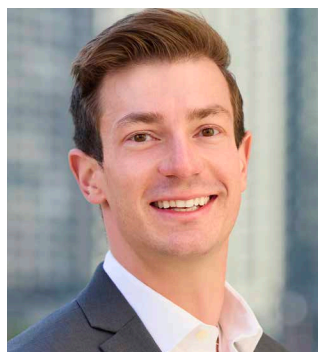
He joined Morgan Stanley in 2015 and is a Senior Vice President in the Palm Beach Gardens, FL office. As a member of The Walsh Nickow Group, Bryan devotes his time to helping families connect their most important values to their wealth. This allows for meaning and purpose to be behind every decision that is made. The families that Bryan supports accept and embrace the guidance that is provided in order to help grow, preserve, gift, and transfer each family's wealth as tax efficient as possible. Saving families time, building trust, and implementing tax-efficient solutions are the foundation of the help Bryan and The Walsh Nickow Group provide.

Bryan maintains the Certified Financial Planner CFP® and Chartered Retirement Planning Counselor CRPC® designations. Bryan is a graduate from Indiana University in Bloomington, IN. He currently lives in Palm Beach Gardens, FL with his wife and two sons. In his free time, Bryan enjoys biking, running, photography and of course, the Chicago Cubs.



## Michael Wirtz

### BUSINESS DEVELOPMENT ASSOCIATE



Michael Wirtz is a Business Development Associate and member of The Walsh Nickow Group, a highly experienced team focusing on innovative wealth management for high-net-worth executives and their families.

Michael attended The Ohio State University earning a B.A. in Economics and Political Science.

Outside of the office, Michael enjoys photography, traveling to new places, and spending time with friends and family. He and his wife just celebrated getting married in September 2022.

Michael joined The Walsh Nickow Group at Morgan Stanley in 2017. He oversees the team's operational and client service initiatives and interfaces with select clients to assist with on-boarding, account maintenance, and financial reporting. Michael values the uniqueness of each client relationship, going above and beyond to ensure that day to day operations are seamless and efficiently executed.



## Sofia Diaz

### REGISTERED ASSOCIATE



Sofia Diaz is a Registered Associate and member of the Walsh Nickow Group, a highly experienced team focusing on innovative wealth management for high-net-worth executives and their families.

Sofia joined Morgan Stanley in 2023. Sofia is responsible for assisting with operational initiatives, dedicated account maintenance needs, and facilitating client relationships. Sofia is driven to make each client's experience with Morgan Stanley unique and personal.

Sofia holds her Series 7 and Series 66 financial securities licenses and received her Bachelor of Arts degree in Communication from the University of Illinois Chicago. Sofia moved from Caracas, Venezuela to Chicago in 2020.

In her spare time, Sofia enjoys baking, painting and spending time with her friends and family.

## Ethan Graff

### REGISTERED CLIENT SERVICE ASSOCIATE



Ethan Graff is a Registered Client Services Associate and member of the Walsh Nickow Group, a highly experienced team focusing on wealth management and financial planning solutions for high-net-worth individuals and their families.

Since joining Morgan Stanley in 2024, Ethan is responsible for enhancing client relationships and assisting with account requests, as well as supporting the needs of both our clients and advisors. Ethan ensures that each client's experience with Morgan Stanley is unique and tailored to their story.

Ethan holds his Series 63 and Series 65 financial securities licenses, and graduated from the University of Arizona with a Bachelor of Arts degree in Economics.

In his free time, Ethan enjoys golfing, spending time with family and friends, and cheering on the Bears.



# Client Questionnaire

## General Information

### CLIENT 1

Client Name

Date of Birth

Home Address

City

State

Zip

Home Phone

Mobile Phone

E-mail Address

### CLIENT 2

Spouse Name

Date of Birth

## Employment Data

### CLIENT 1

Employer

\$

Annual Income

\$

Additional Income

From

Estimated Retirement Date

Age

\$

Social Security Income (Self)

At Age

\$

Retirement Income Needed

### CLIENT 2

Employer

\$

Annual Income

\$

Additional Income

From

Estimated Retirement Date

Age

\$

Social Security Income (Spouse)

At Age

☐ before or ☐ after tax

## Participants

### LIST ANY CHILDREN, GRANDCHILDREN, OR DEPENDENTS.

1)

Name

DOB

Relationship

3)

Name

DOB

Relationship

2)

Name

DOB

Relationship

4)

Name

DOB

Relationship



# Assets

Please complete the following information in the designated spaces or simply provide us with copies of statements or your household summary sheet if you prefer.

## Retirement Plans

### 401K INFORMATION

\$		\$	
Value of 401K, 403B, Profit Sharing Plan (Self)		(Spouse)	
\$	%	\$	%
Projected Annual Contribution (Self)		(Spouse)	
\$	%	\$	%
Company Match (Self)		(Spouse)	
\$		\$	%
Value of Deferred Compensation (Self)		Contribution	Match
\$		\$	%
Value of Deferred Compensation (Spouse)		Contribution	Match

### BALANCES OF RETIREMENT ACCOUNTS

\$		\$	
Total Value of Existing Traditional IRAs (Self)		(Spouse)	
\$		\$	
Total Value of Roth IRAs (Self)		(Spouse)	
\$	<input type="checkbox"/> Roth <input type="checkbox"/> Traditional	\$	<input type="checkbox"/> Roth <input type="checkbox"/> Traditional
Annual IRA Contribution (Self)		(Spouse)	
\$	<input type="checkbox"/> Roth <input type="checkbox"/> Traditional	\$	<input type="checkbox"/> Roth <input type="checkbox"/> Traditional
Total Annuity Balance (Self)		(Spouse)	
\$		\$	
Pension Lump Sum Amount (Self)	At Age	(Spouse)	At Age
\$		\$	
Pension Monthly Payment Amount (Self)	At Age	(Spouse)	At Age



## Non-Retirement Assets

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

Account Name			
\$			
Value			
%	%	%	%
Stocks	Bonds	Alternatives	Cash

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

Account Name			
\$			
Value			
%	%	%	%
Stocks	Bonds	Alternatives	Cash

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

Account Name			
\$			
Value			
%	%	%	%
Stocks	Bonds	Alternatives	Cash

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

Account Name			
\$			
Value			
%	%	%	%
Stocks	Bonds	Alternatives	Cash

## Life Insurance

Do you have insurance through your employer?

☐ Yes ☐ No

Amount as a multiple of salary: ☐ 1x ☐ 2x ☐ 3x ☐ 5x ☐ 6x

Does your spouse have insurance through his/her employer?

☐ Yes ☐ No

Amount as a multiple of salary: ☐ 1x ☐ 2x ☐ 3x ☐ 5x ☐ 6x

Do you currently have life insurance outside your employer? If so, indicate below:

TYPE (CHECK ONE)	OWNER	CASH VALUE (IF ANY)	DEATH BENEFIT	PREMIUM
<input type="checkbox"/> Whole Life		\$	\$	\$
<input type="checkbox"/> Variable Life				
<input type="checkbox"/> Term				
<input type="checkbox"/> Whole Life		\$	\$	\$
<input type="checkbox"/> Variable Life				
<input type="checkbox"/> Term				
<input type="checkbox"/> Whole Life		\$	\$	\$
<input type="checkbox"/> Variable Life				
<input type="checkbox"/> Term				
<input type="checkbox"/> Whole Life		\$	\$	\$
<input type="checkbox"/> Variable Life				
<input type="checkbox"/> Term				

Do you have Umbrella Liability Insurance? ☐ Yes ☐ No

If yes, amount: \_\_\_\_\_

Do you have Long Term Care Insurance? ☐ Yes ☐ No

If yes, premium: \_\_\_\_\_



## College Savings Accounts

1) 2) 3) 4)

## Equity Compensation

Please attach statement if Equity Compensation Plan is not held at Morgan Stanley.

## Personal Real Estate Assets

### PRIMARY RESIDENCE

Residence Name

Owner

\$ \$

Purchase Amount Current Market Value

Do you anticipate selling this home? ☐ Yes ☐ No

\$

Date of Anticipated Sale Property tax amount

### SECONDARY RESIDENCE

Residence Name

Owner

\$ \$

Purchase Amount Current Market Value

Do you anticipate selling this home? ☐ Yes ☐ No

\$

Date of Anticipated Sale Property tax amount

### PRIMARY RESIDENCE MORTGAGE

Product Type (check one):

- Adjustable: ☐ 1yr ☐ 2yr ☐ 3yr  
• Fixed: ☐ 10yr ☐ 15yr ☐ 30yr

\$

Annual Interest Rate Remaining Balance

\$

Purchase Date (mm/yy) Monthly Mortgage Payment

### SECONDARY RESIDENCE MORTGAGE

Product Type (check one):

- Adjustable: ☐ 1yr ☐ 2yr ☐ 3yr  
• Fixed: ☐ 10yr ☐ 15yr ☐ 30yr

\$

Annual Interest Rate Remaining Balance

\$

Purchase Date (mm/yy) Monthly Mortgage Payment



**Investment Real Estate Assets****PROPERTY 1**

Property Name	
Owner	
\$	\$
Purchase Amount	Current Market Value
\$	
Net Rental Income	
Do you anticipate selling this asset? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Date of Anticipated Sale	
\$	
Property Tax Amount	

**PROPERTY 1 MORTGAGE**

Product Type (check one):	
• Adjustable: <input type="checkbox"/> 1yr <input type="checkbox"/> 2yr <input type="checkbox"/> 3yr	
• Fixed: <input type="checkbox"/> 10yr <input type="checkbox"/> 15yr <input type="checkbox"/> 30yr	
\$	
Annual Interest Rate	Remaining Balance
	\$
Purchase Date (mm/yy)	Monthly Mortgage Payment

**PROPERTY 2**

Property Name	
Owner	
\$	\$
Purchase Amount	Current Market Value
\$	
Net Rental Income	
Do you anticipate selling this asset? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Date of Anticipated Sale	
\$	
Property Tax Amount	

**PROPERTY 2 MORTGAGE**

Product Type (check one):	
• Adjustable: <input type="checkbox"/> 1yr <input type="checkbox"/> 2yr <input type="checkbox"/> 3yr	
• Fixed: <input type="checkbox"/> 10yr <input type="checkbox"/> 15yr <input type="checkbox"/> 30yr	
\$	
Annual Interest Rate	Remaining Balance
	\$
Purchase Date (mm/yy)	Monthly Mortgage Payment

**HOME EQUITY LOC**

Do you have a line of credit on your property? <input type="checkbox"/> Yes <input type="checkbox"/> No		
	\$	\$
If yes, which property?	Balance	Annual Interest Rate
\$		
Monthly Payment	Available credit line?	
Do you plan to buy a vacation home or another property in the future? <input type="checkbox"/> Yes <input type="checkbox"/> No		
		\$
When?	Where?	Estimated Cost



# Other Liabilities

## Debt

### CREDIT CARDS

\$	%	\$	\$
	APR	Minimum Payment	Monthly Payment
\$	%	\$	\$
	APR	Minimum Payment	Monthly Payment
\$	%	\$	\$
	APR	Minimum Payment	Monthly Payment
\$	%	\$	\$
	APR	Minimum Payment	Monthly Payment

### CARS

\$	%	\$	
	APR	Payment	Finish Date (mm/yy)
\$	%	\$	
	APR	Payment	Finish Date (mm/yy)
\$	%	\$	
	APR	Payment	Finish Date (mm/yy)
\$	%	\$	
	APR	Payment	Finish Date (mm/yy)

### STUDENT LOANS, PERSONAL LOANS

\$	%	\$	
	APR	Payment	Finish Date (mm/yy)
\$	%	\$	
	APR	Payment	Finish Date (mm/yy)
\$	%	\$	
	APR	Payment	Finish Date (mm/yy)
\$	%	\$	
	APR	Payment	Finish Date (mm/yy)



# Objectives

## Investment Objectives

### WHAT IS YOUR TIMELINE TO ACCOMPLISH YOUR INVESTMENT OBJECTIVES OR GOALS?

Short-term objectives (1–5 years)

Medium-term objectives (6–10 years)

Long-term objectives (11–20 years)

### WHAT ARE YOUR GOALS FOR RETIREMENT? (LIFESTYLE, VALUES, CHARITY, INTERESTS, TRAVEL, ETC.)

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_

### RISK TOLERANCE (CHECK ONE):

- ☐ Conservative (0 to 25% in stocks)      ☐ Conservative/Moderate (25 to 40% in stocks)      ☐ Moderate (40 to 55% in stocks)  
☐ Moderate/Aggressive (55 to 65% in stocks)      ☐ Aggressive (over 65% in stocks)

### ADVISOR INFORMATION

Insurance agent \_\_\_\_\_ CPA \_\_\_\_\_

Attorney \_\_\_\_\_ Other financial advisor \_\_\_\_\_

Do you have a current will? ☐ Yes ☐ No

Do you have a current Trust? ☐ Yes ☐ No

### TELL US ABOUT YOURSELF.

What are your financial goals or concerns? What are your expectations of your financial advisor?



Please complete and return to:

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**The Walsh Nickow Group  
at Morgan Stanley**

Attn: The Walsh Nickow Group

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Suite 8600  
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312-419-3314

[patrick.d.walsh@morganstanley.com](mailto:patrick.d.walsh@morganstanley.com)

**Website**

[advisor.morganstanley.com/the-walsh-nickow-group](https://advisor.morganstanley.com/the-walsh-nickow-group)

**We appreciate you providing the necessary information in order for our team to fully understand your financial picture. Thank you for the trust that you have placed in us, and also for the opportunity to work with you and your family.**

Source: Forbes (Jan 2025) 2025 Forbes Best-In-State Wealth Management Teams ranking awarded in 2025. This ranking was determined based on an evaluation process conducted by SHOOK Research LLC (the research company) in partnership with Forbes (the publisher) for the period from 3/31/23 -3/31/24. Neither Morgan Stanley Smith Barney LLC nor its Financial Advisors or Private Wealth Advisors paid a fee to SHOOK Research LLC, for placement on its rankings. This ranking is based on in-person and telephone due diligence meetings to evaluate each Financial Advisor qualitatively, a major component of a ranking algorithm that includes client retention, industry experience, review of compliance records, firm nominations, and quantitative criteria, including assets under management and revenue generated for their firms. Investment performance is not a criterion. Rankings are based on the opinions of SHOOK Research LLC and may not be representative of any one client's experience; investors must carefully choose the right Financial Advisor or team for their own situation and perform their own due diligence. This ranking is not indicative of the Financial Advisor's future performance. Morgan Stanley Smith Barney LLC is not affiliated with SHOOK Research LLC or Forbes. For more information, see [www.SHOOKresearch.com](http://www.SHOOKresearch.com).

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When Morgan Stanley provides investment education, takes orders on an unsolicited basis or otherwise does not provide "investment advice", Morgan Stanley will not be considered a "fiduciary" under ERISA and/or the Code. For more information regarding Morgan Stanley's role with respect to a Retirement Account, please visit [www.morganstanley.com/disclosures/dol](http://www.morganstanley.com/disclosures/dol). Tax laws are complex and subject to change. Morgan Stanley does not provide tax or legal advice. Individuals are encouraged to consult their tax and legal advisors (a) before establishing a Retirement Account, and (b) regarding any potential tax, ERISA and related consequences of any investments or other transactions made with respect to a Retirement Account.

Individuals executing a 10b5-1 trading plan should keep the following important considerations in mind: (1) 10b5-1 trading plans should be approved by the compliance officer or general counsel of the individual's company. (2) A 10b5-1 trading plan may require a cessation of trading activities at times when lockups may be necessary to the company (i.e., secondary offerings, pooling transactions, etc.). (3) A 10b5-1 trading plan does not generally alter the restricted stock or other regulatory requirements (e.g., Rule 144, Section 16, Section 13) that may otherwise be applicable. (4) 10b5-1 trading plans that are modified or terminated early may weaken or cause the individual to lose the benefit of the affirmative defense. (5) Public disclosure of 10b5-1 trading plans (e.g., via press release) may be appropriate for some individuals. (6) Most companies will permit 10b5-1 trading plans to be entered into only during open window periods. (7) Morgan Stanley, as well as some issuers, imposes a mandatory waiting period between the execution of a 10b5-1 trading plan and the first sale pursuant to the plan.

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#### 2022–2025 Forbes Best-In-State Wealth Advisors

Source: [Forbes.com](http://Forbes.com) (2022–2025). Forbes Best-In-State Wealth Advisors ranking awarded in 2022–2025. Each ranking was based on an evaluation process conducted by SHOOK Research LLC (the research company) in partnership with Forbes (the publisher). This evaluation process concluded in June of the previous year the award was issued having commenced in June of the year before that. Neither Morgan Stanley Smith Barney LLC nor its Financial Advisors or Private Wealth Advisors paid a fee to SHOOK Research LLC to obtain or use the ranking. This ranking is based on in-person and telephone due diligence meetings to evaluate each advisor qualitatively, a major component of a ranking algorithm that includes client retention, industry experience, review of compliance records, firm nominations, and quantitative criteria, including assets under management and revenue generated for their firms. Investment performance is not a criterion. Rankings are based on the opinions of SHOOK Research LLC and this ranking may not be representative of any one client's experience. This ranking is not indicative of the Financial Advisor's future performance. Morgan Stanley Smith Barney LLC is not affiliated with SHOOK Research LLC or Forbes. For more information, see [www.SHOOKresearch.com](http://www.SHOOKresearch.com).

#### 2020–2022 Forbes America's Top Next-Gen Wealth Advisors & Top Next-Gen Wealth Advisors Best-in-State (formerly referred to as Forbes America's Top Next-Gen Wealth Advisors, Forbes Top 1,000 Next-Gen Wealth Advisors, Forbes Top 500 Next Generation Wealth Advisors)

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