

Press Release



FT 401 Ranking October 2020

FOR IMMEDIATE RELEASE:

Rothschild is Pleased to Announce that Luke Novak has been Named a 2020 Financial Times 401 Top Retirement Adviser

October 22, 2020 – Luke Novak has been named to the 2020 edition of the Financial Times 401 Top Retirement Advisers. The list recognizes the top financial advisers who specialize in serving defined contribution (DC) retirement plans across the U.S.

This is the sixth annual FT 401 list, produced independently by Ignites Research, a division of Money-Media, Inc., on behalf of the Financial Times. Ignites Research provides business intelligence on investment management.

Financial advisers from across the U.S. applied for consideration, having met a set minimum of requirements. The applicants were then graded on six criteria: DC assets under advisement (AUA); DC AUA growth rate; specialization in DC plans; years of experience; advanced industry credentials; and compliance record. There are no fees or other considerations required of advisers who apply for the FT 401.

The final FT 401 represents an impressive cohort of elite advisers. The median DC plan assets administered by this year's group is \$800 million. These are true specialists as DC plans on average account for 86% of total client assets. The FT 401 advisers represent 41 states and Washington, D.C.

The FT 401 is one in a series of rankings of top advisers developed by the FT in partnership with Ignites Research, including the FT 300 (independent RIA firms) and the FT 400 (broker-dealer advisers).

About Rothschild Investment Corporation:

Established in 1908, Rothschild is an employee-owned, full-spectrum, boutique firm offering both individual and institutional wealth management and Corporate & Non-Profit Retirement Plan management.

The Financial Times 401 Top Retirement Advisers is an independent listing produced annually by Ignites Research, a division of Money-Media, Inc., on behalf of the Financial Times (October 2020). The FT 401 is based on data gathered from advisers, regulatory disclosures, and the FT's research. The listing reflects each advisor's status in six primary areas: DC plan assets under advisement (AUA), DC AUA growth rate, specialization in DC plans, years of experience, advanced industry credentials and compliance record. A total of 855 advisers applied for the award, of which 401 were selected (47%). This award is not indicative of the advisor's future performance. Neither the advisers nor their parent firms pay a fee to the Financial Times in exchange for inclusion in the FT 401.