



Top Financial Advisers 2017

Ian W. Hartley Named to 2017 Financial Times 401 Top Retirement Plan Advisers

September 27, 2017 – Westgate Capital Consultants is pleased to announce that Managing Partner, Ian Hartley has been named to the 2017 edition of the Financial Times 401 Top Retirement Plan Advisers. The list recognizes the top financial advisers who specialize in serving defined contribution (DC) retirement plans.

This is the second time Ian has been awarded and the third annual FT 401 list, produced independently by the *Financial Times* in collaboration with Ignites Research, a subsidiary of the FT that provides business intelligence on asset management.

Financial advisers from across the U.S. applied for consideration, having met a set minimum of requirements. The applicants were then graded on seven criteria: DC assets under management (AUM); DC AUM growth rate; specialization in DC plans; years of experience; advanced industry credentials; compliance record and DC plan participation rate. 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 “average” adviser in this year’s FT 401 has 19 years of experience advising DC plans and manages \$1.6 billion in DC plan assets. The FT 401 advisers hail from 38 states and Washington, D.C., and DC plans on average account for 74% of their total assets under management.

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 UBS Wealth Management Americas

Wealth Management Americas is one of the leading wealth managers in the Americas in terms of financial advisor productivity and invested assets. Its business includes UBS’s domestic US and Canadian wealth management businesses, as well as international business booked in the US. It provides a fully integrated set of wealth management solutions designed to address the needs of ultra-high net worth and high net worth clients.

About UBS

UBS provides financial advice and solutions to wealthy, institutional and corporate clients worldwide, as well as private clients in Switzerland. The operational structure of the Group is comprised of our Corporate Center and five business divisions: Wealth Management, Wealth Management Americas, Personal & Corporate Banking, Asset Management and the Investment Bank. UBS's strategy builds on the strengths of all of its businesses and focuses its efforts on areas in which it excels, while seeking to capitalize on the compelling growth prospects in the businesses and regions in which it operates, in order to generate attractive and sustainable returns for its shareholders. All of its businesses are capital-efficient and benefit from a strong competitive position in their targeted markets.

UBS is present in all major financial centers worldwide. It has offices in 54 countries, with about 34% of its employees working in the Americas, 35% in Switzerland, 18% in the rest of Europe, the Middle East and Africa and 13% in Asia Pacific. UBS Group AG employs approximately 60,000 people around the world. Its shares are listed on the SIX Swiss Exchange and the New York Stock Exchange (NYSE).



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Disclosure:

The Financial Times 401 Top Retirement Plan Advisors is an independent listing produced by the Financial Times (FT). The FT 401 is based on data gathered from financial advisors, regulatory disclosures, and the FT's research. The listing reflects each advisor's status in seven primary areas, including Defined Contribution (DC) plan assets under management, growth in DC plan business, specialization in DC plan business, and other factors. This award does not evaluate the quality of services provided to clients and is not indicative of this advisor's future performance. Neither UBS Financial Services Inc. or its employees pay a fee in exchange for these ratings.