



Testimonials from Registered Advisory Firms

“We had an excellent experience this year. Our CEFEX Analyst was very well organized, detail oriented and he gave very helpful feedback on processes. We appreciated very much his professionalism.”

Lynn Weirich, President Business Financial Group, San Antonio, TX

“Plancorp is proud of our adherence to a fiduciary standard. Everyone in our firm understands our fiduciary responsibility and we require that all of our Wealth Managers individually hold the Accredited Investment Fiduciary designation. Corporately, we undertake the annual CEFEX certification to continuously verify our process and to demonstrate our commitment to clients and prospects. CEFEX certification is required for membership in the Zero-Alpha Group and is integral to our ‘Fiduciary First’ positioning.”

Jeff Buckner, CEO Plancorp, St. Louis, MO

"Savant Capital has integrated CEFEX into our market positioning and our company culture since original certification. Fiduciary excellence is essential to our clients and the CEFEX mark has helped us win new business."

Brent Brodeski, CEO Savant Capital, Rockford, IL

“...the Cefex audit process went smoothly within the Consilium group and I received my certificate. I have showed many people the certificate and explained the importance of the audit process and what it means to my clients.

I'm proud to advise I have been successful in gaining a \$4m case recently. Starting with \$1m, we will slowly seed the new account with funds as they come off our competitor's. The clients daughter recently read Tony Robbins book "Money, Master the Game" which talks about diversification, low cost passive funds and engaging a FIDUCIARY.

The client, armed with the check-list was able to tick everything off with me. Especially the FIDUCIARY. I was able to demonstrate proof from an independent source that I was in fact a fiduciary and put my clients first.”

John Milner, Managing Director, Collaborative Consulting, Auckland, NZ

“CEFEX certification has been invaluable to my business.”

Mike Montgomery, Managing Partner, Montgomery Retirement Plan Advisors Inc., Tampa, FL

“We very much appreciate the role CEFEX plays in our industry.”

Joel Shapiro, J.D., LL.M., Senior Vice President, ERISA Compliance, NFP Retirement, Aliso Viejo, CA

“CEFEX certification is the gold standard for fiduciary best practices.”

Halbert Hargrove Global Advisors, LLC, Long Beach, CA

“The Ingham Group uses our CEFEX certification to articulate our fundamental belief in total disclosure and best fiduciary practices. We go out of our way to educate our clients and prospects on the importance of sound fiduciary practices. We believe this certification should be a standard requirement in the selection of Investment Advisors, much like how SAS70 has become required in the recordkeeping industry. CEFEX certification has been instrumental to Ingham Group maintaining its client base and opening many new opportunities. Ingham group has experienced a 30% growth in AUM in the past year, thanks to our positioning, and proven track record.”

Ken Ingham, AIFA, President and CEO, Ingham Group, Miami, FL

“Slavic Mutual Funds Management Corporation has won many RFQ’s recently, and we can attribute our success to be due in part to our CEFEX certification. Since Slavic operates as a broker/dealer, an investment manager, a TPA and an advisor, we also believe the CEFEX process has helped improve the accountabilities within our organization. The better delineations between our disciplines have helped sustain improved corporate performance.”

John Slavic, President, Slavic Mutual Funds Management Corporation, Boca Raton, FL

“Unified Trust Company, NA became CEFEX registered in October 2006. Unified sought registration as an important independent assessment of our commitment to follow a prudent, consistent and standardized process based on Fiduciary Best Practices for Investment Advisors as promulgated by CEFEX. This independent verification means our clients, and those considering our services, can be confident that critical components of an investment strategy have been properly implemented. This can be especially important for retirement plan sponsors in today’s environment of increasing complaints and/or lawsuits alleging fiduciary misconduct. Being able to show adherence to this independent standard has given Unified a distinct advantage when competing with other investment advisors.

Successful retirement outcome is the cornerstone of Unified’s philosophy. As a fully discretionary trustee, we believe a prudent best practices approach improves investment outcomes for our clients and increases their financial goal success probability. Progress towards success can and should be measured. We have done extensive research on success probabilities and have been able to show that implementing the prudent best practices necessary for CEFEX registration improves the probability of success. Unified believes registration is more than a differentiator in the sales process; rather it will make a true positive difference in the most important consideration, successful outcome.

In the five months since Unified became CEFEX registered, assets under management have grown by 12.5%. In that same period, the S&P has added just over 5%. While the difference is likely due to many factors, we feel that our outcomes based approach based on prudent best practices is the overarching reason. The CEFEX registration is the distinctive sign to the marketplace that Unified Trust Co., N.A. unquestionably follows the highest fiduciary best practices standards.”

Dr. Gregory Kasten, MD, MBA, CFP, CPC, AIFA, CEO Unified Trust Company, NA.

“We have benefited greatly from the CEFEX certification with respect to the marketing efforts.”

Hartland & Co. stresses fiduciary excellence in every capacity of our business. The CEFEX certification process has greatly benefited our organization. Feedback and insight gained from the professionals and experts conducting the certification audits have helped us to continually improve what we do for our clients.

Institutional investors and trustees recognize the increasing level of fiduciary responsibility being thrust upon them. Current clients and prospects are looking for advisors that can successfully navigate them through the difficult investment environment as well as help them achieve compliance and excellence with fiduciary standards. Several Hartland & Co. clients have expressed renewed satisfaction with our firm knowing that we maintain a CEFEX certification. Additionally, several prospective clients and new clients have pointed to this attribute of our firm as a primary consideration when selecting an advisor.

Mike Shebak, Senior Managing Director, Hartland Company

“Wabash Capital recently won a good-sized endowment. We satisfied the requirements of the investment committee, which valued the standards and rigour of the CEFEX certification program. We will continue to differentiate ourselves this way”

Chris Doll, Executive Vice President, Wabash Capital, Terre Haute, Indiana

“At Richardson GMP, we believe in trust, integrity and setting high standards for our firm. That’s why obtaining the CEFEX certification was critical to our business model. This independent certification allows us to stand out in a complicated and crowded marketplace as a true leader of doing what is best for our clients.”

Andrew Marsh, President and CEO, Richardson GMP Limited, Toronto Canada

“Our CEFEX Analyst was professional, knowledgeable, patient, and helpful in our desire to create a superior service model.”

Investment Advisor

“The value for us is the validation / personal satisfaction that we're adhering to best practices.”

Investment Advisor