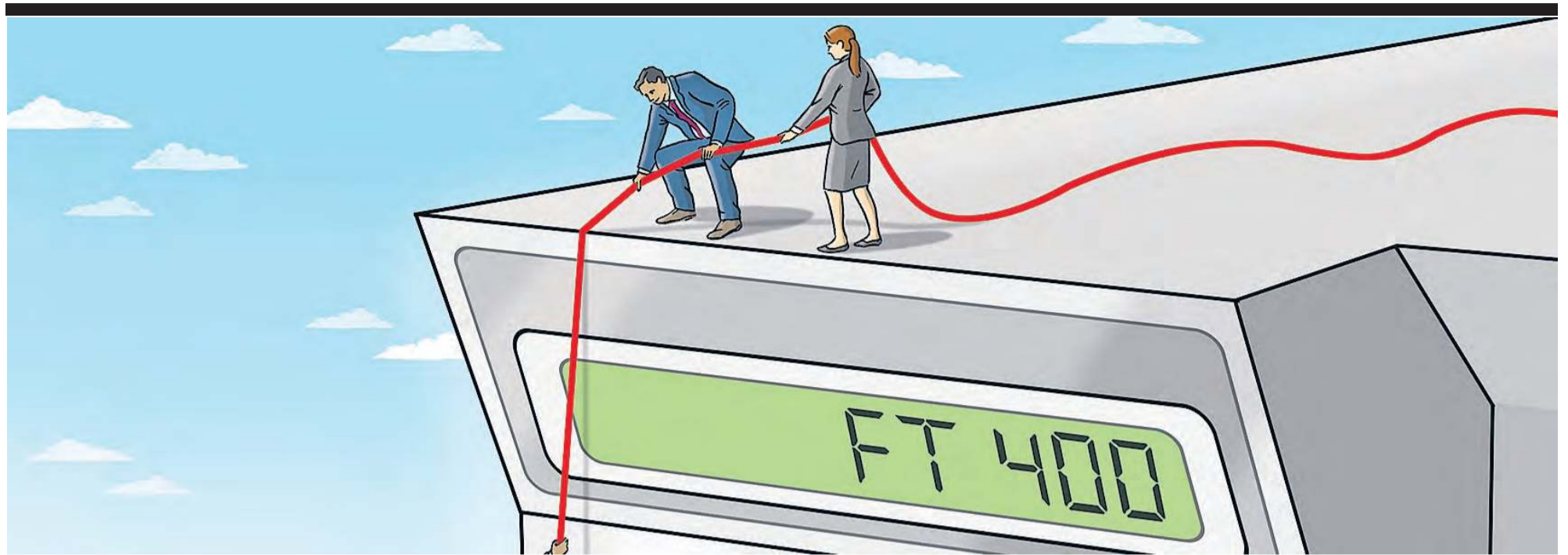


## FT 400 Top Financial Advisers



# The FT Top Financial Advisers

**The final cut** We present the leading US professionals, listed by state, and provide the research methodology

### FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
<b>ALABAMA</b>						
WHudson, Steven M.	Ameriprise Financial	Birmingham	✓	✓	✓	
Runkle, Robert F.	Merrill Lynch Wealth Management	Montgomery		✓	✓	✓
Smith, Tony R.	UBS Financial Services Inc.	Birmingham		✓	✓	✓
<b>ARIZONA</b>						
Falbaum, Vance L.	RBC Wealth Management	Tucson	✓	✓	✓	✓
Kraus, Arnold H.	Wells Fargo Advisors, LLC	Tucson		✓	✓	✓
Rojas, Jane L.	Morgan Stanley Wealth Management	Tucson	✓	✓	✓	✓
Transue, Ruth L.	Wells Fargo Advisors, LLC	Tucson		✓	✓	
<b>ARKANSAS</b>						
Tucker, Raymond	Wells Fargo Advisors, LLC	Little Rock	✓	✓	✓	✓
<b>CALIFORNIA</b>						
Abrams, Michael L.	Wells Fargo Advisors, LLC	Palo Alto		✓	✓	✓
Amaral, Gustavo "Gary"	Merrill Lynch - Private Banking & Investment Group	Los Angeles			✓	
Arbogast, Peter V.	Merrill Lynch - Private Banking & Investment Group	San Francisco		✓	✓	
Bahnsen, David L.	Morgan Stanley Wealth Management	Newport Beach	✓	✓	✓	✓
Basch, Andrew B.	Morgan Stanley Private Wealth Management	Los Angeles		✓	✓	✓
Binder, Mark N.	UBS Private Wealth Management	Los Angeles			✓	
Bloom, Craig	Morgan Stanley Wealth Management	Sherman Oaks		✓	✓	
Bolander, Ivar J.	Morgan Stanley Wealth Management	Santa Rosa		✓	✓	✓
Bubb, Kerrick W.	KWB Wealth Managers Group	Redlands	✓	✓		✓
Burbank, Mike	Morgan Stanley Private Wealth Management	San Francisco		✓	✓	
Burford, Lon E.	Royal Alliance	Sacramento	✓	✓		✓
Choi, Horacio A.	Wells Fargo Advisors, LLC	Irvine		✓	✓	
Chopra, Ash	Merrill Lynch - Private Banking & Investment Group	San Francisco			✓	
daRoza, Tony	Merrill Lynch - Private Banking & Investment Group	San Francisco		✓	✓	✓
Detanna, Lisa A.	Global Wealth Solutions Group of Raymond James	Beverly Hills	✓	✓	✓	✓
Firring, Brian	Wells Fargo Advisors, LLC	Beverly Hills		✓	✓	
Freides, Drew S.	UBS Private Wealth Management	Los Angeles		✓	✓	✓
Friedman, Mark	UBS Private Wealth Management	San Francisco		✓	✓	✓
Garapedian, Barry Lee	Morgan Stanley Wealth Management	Westlake Village	✓	✓	✓	
Genovese, Michael T.	Royal Alliance	Sacramento	✓	✓	✓	✓
Grant, Andrew	RBC Wealth Management	La Jolla	✓	✓	✓	
<b>COLORADO</b>						
Arebian, Paul G.	UBS Financial Services Inc.	Denver	✓	✓	✓	✓
Beukelman, Jonathan	UBS Private Wealth Management	Denver		✓	✓	✓
Booren, Steve	Prosperion Financial Advisors	Greenwood Village	✓	✓	✓	✓
Corrado Harrison, Melissa	Merrill Lynch - Private Banking & Investment Group	Denver			✓	
Gray, Eric A.	Merrill Lynch - Private Banking & Investment Group	Los Angeles			✓	
Haye, Seth A.	Morgan Stanley Wealth Management	Westlake Village	✓	✓	✓	
Hendricks, Harry	Wells Fargo Advisors, LLC	Walnut Creek	✓	✓	✓	
Hughes, Lisa	Merrill Lynch Wealth Management	Menlo Park		✓	✓	
Jones, Richard B.	Merrill Lynch - Private Banking & Investment Group	Century City			✓	✓
Kanigher, Michael D.	UBS Private Wealth Management	Los Angeles		✓	✓	✓
Klein, Jerome S.	Merrill Lynch - Private Banking & Investment Group	Century City			✓	✓
Kothari, Sonny	Merrill Lynch Wealth Management	Brea		✓	✓	
Margiotta, Michael A.	UBS Financial Services Inc.	Los Angeles			✓	
McWhorter, Richard	Merrill Lynch - Private Banking & Investment Group	Los Angeles			✓	
Owens, Mary E.	Owens Estate & Wealth Strategies Group / Raymond James	Grass Valley	✓	✓	✓	✓
Papadoyannis, George	Ameriprise Financial	San Mateo	✓	✓	✓	✓
Pence, Laila	Pence Wealth Management	Newport Beach		✓	✓	
Piepenkoter, Monica	Merrill Lynch - Private Banking & Investment Group	La Jolla		✓	✓	✓
Roane, Michael J.	Morgan Stanley Wealth Management	Irvine	✓	✓	✓	
Schneickert, Michael	UBS Private Wealth Management	Los Angeles		✓	✓	✓
Schulten, Mark	The Schulten Group of Wells Fargo Advisors, LLC	Long Beach	✓	✓	✓	✓
Schwarz, Donald L.	RBC Wealth Management	Beverly Hills	✓	✓	✓	✓
Scott, Kevin E.	Merrill Lynch Wealth Management	Los Angeles		✓	✓	
Shadden, John T.	Morgan Stanley Private Wealth Management	Long Beach		✓	✓	✓
Smith, Jonathan	Wells Fargo Advisors, LLC	San Francisco		✓	✓	✓
Smith, Lawrence E.	UBS Financial Services Inc.	Brea	✓	✓	✓	✓
Strauss, Glen D.	Wells Fargo Advisors, LLC	Los Angeles		✓	✓	
Tournat, Thomas P.	Merrill Lynch - Private Banking & Investment Group	Century City			✓	✓
Waitrovich, David J.	Merrill Lynch - Private Banking & Investment Group	San Francisco			✓	
Walters, Philip S.	Wells Fargo Advisors, LLC	Beverly Hills		✓	✓	✓
Whitman, Alan B.	Morgan Stanley Wealth Management	Pasadena	✓	✓	✓	✓
Winston, Stephen R.	Morgan Stanley Wealth Management	Los Angeles	✓	✓	✓	✓
Wofslau, Karl W.	Morgan Stanley Wealth Management	Long Beach	✓	✓	✓	✓
Zafari, Reza	Merrill Lynch - Private Banking & Investment Group	Century City			✓	✓

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Name	Company	City	Client segments served			
			Individual	HNW*	Ultra HNW**	Institutional
Di Ianni, Donna M.	Merrill Lynch Wealth Management	Aspen	✓	✓	✓	✓
Dodds, Andrew T.	Dodds Wealth Management Group	Englewood	✓	✓	✓	✓
Hoover, Carl R.	Merrill Lynch Wealth Management	Denver	✓	✓	✓	✓
<b>CONNECTICUT</b>						
Cox II, Joe M.	Webster Wealth Advisors	Wilton	✓	✓	✓	✓
Foote, Nathaniel W.	Morgan Stanley Wealth Management	New Haven	✓	✓	✓	✓
Gourd, William C.	UBS Private Wealth Management	Stamford	✓	✓	✓	✓
Greco, William J.	UBS Financial Services Inc.	Hartford	✓	✓	✓	✓
Koeckert, Dodd N.	Merrill Lynch Wealth Management	Stamford	✓	✓	✓	✓
Macomb, Romaine A.	Northstar Wealth Partners	Old Saybrook	✓	✓	✓	✓
McElroy, Abby Wolman	RBC Wealth Management	Westport	✓	✓	✓	✓
Spitzbard, Kenneth	Bard Financial Services	Brainford	✓	✓	✓	✓
Thompson, Derek J.	UBS Private Wealth Management	Stamford	✓	✓	✓	✓
Trischman, Harold J.	Morgan Stanley Wealth Management	Greenwich	✓	✓	✓	✓
<b>DISTRICT OF COLUMBIA</b>						
Adams, Patrick M.	UBS Financial Services Inc.	Washington	✓	✓	✓	✓
Anthony, Brett W.	Morgan Stanley Wealth Management	Washington	✓	✓	✓	✓
Hafeli, Scott	Morgan Stanley Private Wealth Management	Washington	✓	✓	✓	✓
King II, James J.	Merrill Lynch - Private Banking & Investment Group	Washington	✓	✓	✓	✓
Shaffer, Sheila S.	Janney Montgomery Scott LLC	Washington	✓	✓	✓	✓
Shreves III, Frederick	Wells Fargo Advisors, LLC	Washington	✓	✓	✓	✓
Slater III, William R.	Merrill Lynch - Private Banking & Investment Group	Washington	✓	✓	✓	✓
Stuart, David A.	Morgan Stanley Wealth Management	Washington	✓	✓	✓	✓
Williams, John M.	Morgan Stanley Private Wealth Management	Washington	✓	✓	✓	✓
Wohlgemuth, Jim	Morgan Stanley Private Wealth Management	Washington	✓	✓	✓	✓
<b>FLORIDA</b>						
Bowman, Jeff	Wells Fargo Advisors, LLC	Palm Beach	✓	✓	✓	✓
Boyce, Hank	UBS Private Wealth Management	Aventura	✓	✓	✓	✓
Burke, Kenneth J.	Merrill Lynch Wealth Management	Heathrow	✓	✓	✓	✓
Clarke, Peter J.	BB&T Scott & Stringfellow	Palm Beach	✓	✓	✓	✓
d'Adesky, Don A.	Morgan Stanley Wealth Management	Boca Raton	✓	✓	✓	✓
Dwyer, Patrick James	Merrill Lynch - Private Banking & Investment Group	Miami	✓	✓	✓	✓
Fox, David	Morgan Stanley Wealth Management	Boca Raton	✓	✓	✓	✓
Fox, Neil A.	Morgan Stanley Wealth Management	Boca Raton	✓	✓	✓	✓
Henwood, David W.	RBC Wealth Management	Saint Petersburg	✓	✓	✓	✓
Hersh, Eric M.	Morgan Stanley Wealth Management	Ft. Lauderdale	✓	✓	✓	✓
Hoffman, Todd M.	Morgan Stanley Wealth Management	Clearwater	✓	✓	✓	✓
Kobrin, Howard M.	Wells Fargo Advisors, LLC	Coral Springs	✓	✓	✓	✓
Lewis, Tyson C.	Wells Fargo Advisors, LLC	Miami	✓	✓	✓	✓
Marcatos, Richard S.	UBS Financial Services Inc.	Clearwater	✓	✓	✓	✓
Moll, Todd A.	Provenance Wealth Advisors / Raymond James	Fort Lauderdale	✓	✓	✓	✓
Polimeni, Anthony Dominic	Morgan Stanley Wealth Management	Boca Raton	✓	✓	✓	✓
Santo Tomas, Isabel	Morgan Stanley Private Wealth Management	Miami	✓	✓	✓	✓
Shapiro, Michael J.	Morgan Stanley Wealth Management	Boca Raton	✓	✓	✓	✓
Thorsen III, John E.	Thorsen-Clark-Tracey Wealth Management of Raymond James	Orlando	✓	✓	✓	✓
<b>GEORGIA</b>						
Bjerke, Erik	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓	✓
DuBow, Richard	UBS Financial Services Inc.	Atlanta	✓	✓	✓	✓
Hansberger, James C.	Morgan Stanley Wealth Management	Atlanta	✓	✓	✓	✓
Higginbotham, Kevin W.	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓	✓
Hines, Michael L.	Consolidated Planning Corporation / Raymond James	Atlanta	✓	✓	✓	✓
Kaufman, James	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓	✓
Mack, David F.	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓	✓
Mericka, Keith A.	UBS Private Wealth Management	Atlanta	✓	✓	✓	✓
Merlin, Michael J.	Morgan Stanley Wealth Management	Atlanta	✓	✓	✓	✓
Neumeyer, Jeffrey S.	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓	✓
Price, Kevin F.	Wells Fargo Advisors, LLC	Braselton	✓	✓	✓	✓
Price, Vandye G.	UBS Private Wealth Management	Atlanta	✓	✓	✓	✓
Wagner, Michael	Morgan Stanley Wealth Management	Atlanta	✓	✓	✓	✓
Wallace, James	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓	✓
Westmoreland, Rod	Merrill Lynch - Private Banking & Investment Group	Atlanta	✓	✓	✓	✓
<b>IDAHO</b>						
Daly, Mark	Daly & Vachek Investment Consulting Group of Wells Fargo Advisors	Boise	✓	✓	✓	✓
Pinkerton, Dan	Pinkerton Retirement Specialists, LLC	Coeur d'Alene	✓	✓	✓	✓
<b>ILLINOIS</b>						
Baldwin, Patrick	Merrill Lynch - Private Banking & Investment Group	Chicago	✓	✓	✓	✓
Becker, Bruce M.	Morgan Stanley Wealth Management	Chicago	✓	✓	✓	✓
Bhatia, Raj	Merrill Lynch - Private Banking & Investment Group	Chicago	✓	✓	✓	✓
Covey III, F. Michael	UBS Private Wealth Management	Chicago	✓	✓	✓	✓
Desai, Ajay	UBS Private Wealth Management	Chicago	✓	✓	✓	✓
Doerge, Jack O.	Morgan Stanley Private Wealth Management	Chicago	✓	✓	✓	✓
Gallagher, Michael J.	Morgan Stanley Wealth Management	Chicago	✓	✓	✓	✓
<b>INDIANA</b>						
Held, Richard M.	UBS Financial Services Inc.	Chicago	✓	✓	✓	✓
Hickey, Thomas M.	Merrill Lynch Wealth Management	Chicago	✓	✓	✓	✓
Kane, Thomas	UBS Private Wealth Management	Chicago	✓	✓	✓	✓
Kilborn, Tom	Merrill Lynch Wealth Management	Northbrook	✓	✓	✓	✓
Klieger, Howard	RBC Wealth Management	Winnetka	✓	✓	✓	✓
Leshem, Benjamin	Wells Fargo Advisors, LLC	Deerfield	✓	✓	✓	✓
Lynch, Kevin Robert	Morgan Stanley Private Wealth Management	Chicago	✓	✓	✓	✓
Magnesen, Scott K.	Morgan Stanley Wealth Management	Oak Brook	✓	✓	✓	✓
Marcovici, Michael	Merrill Lynch - Private Banking & Investment Group	Chicago	✓	✓	✓	✓
Margolis, Charles B.	Wells Fargo Advisors, LLC	Deerfield	✓	✓	✓	✓
Oberheide, James L.	Morgan Stanley Private Wealth Management	Chicago	✓	✓	✓	✓
Rahlle, Maureen	Merrill Lynch - Private Banking & Investment Group	Chicago	✓	✓	✓	✓
Rahmad, William J.	UBS Private Wealth Management	Chicago	✓	✓	✓	✓
Ver Bockel, John	Merrill Lynch - Private Banking & Investment Group	Chicago	✓	✓	✓	✓
White, Brett D.	Ameriprise Financial	Oakbrook Terrace	✓	✓	✓	✓
Wiktor, Mark	UBS Private Wealth Management	Chicago	✓	✓	✓	✓
<b>INDIANAPOLIS</b>						
Buck, Thomas J.	Merrill Lynch Wealth Management	Indianapolis	✓	✓	✓	✓
Estes, Adam	J.J.B. Hilliard, W.L. Lyons, LLC	Bloomington	✓	✓	✓	✓
Gregor, Martin P.	Merrill Lynch - Private Banking & Investment Group	Indianapolis	✓	✓	✓	✓
Mencias, Ronald G.	Merrill Lynch Wealth Management	Indianapolis	✓	✓	✓	✓
Payne, Eric	Merrill Lynch Wealth Management	Indianapolis	✓	✓	✓	✓
Perry, John D.	Morgan Stanley Wealth Management	Indianapolis	✓	✓	✓	✓
<b>IOWA</b>						
Ask, Jerry K.	Jerry K. Ask Investment Services / Raymond James	Cedar Rapids	✓	✓	✓	✓
Swanson, Keith K.	Morgan Stanley Private Wealth Management	West Des Moines	✓	✓	✓	✓
<b>KANSAS</b>						
Ewing, Paul W.	Prosperity Advisors	Overland Park	✓	✓	✓	✓
Ferguson, Scott D.	Morgan Stanley Wealth Management	Leawood	✓	✓	✓	✓
Shepard, Margo	Wells Fargo Advisors, LLC	Overland Park	✓	✓	✓	✓
<b>KENTUCKY</b>						
Kisker, Douglas E.	Ameriprise Financial	Crestview Hills	✓	✓	✓	✓
<b>LOUISIANA</b>						
Morris, Chuck	Raymond James	Baton Rouge	✓	✓	✓	✓
Spiro, James M.	Morgan Stanley Wealth Management	New Orleans	✓	✓	✓	✓
<b>MAINE</b>						
Burns, Jr., Jeremiah S.	Morgan Stanley Wealth Management	Portland	✓	✓	✓	✓
<b>MARYLAND</b>						
Bacci, John K.	Foundation Financial Advisors, Inc.	Linthicum	✓	✓	✓	✓
Baker, Gregory M.	Merrill Lynch Wealth Management	Bethesda	✓	✓	✓	✓
Baum, Patricia P.	RBC Wealth Management	Annapolis	✓	✓	✓	✓
Fernandez, Carlos F.	Morgan Stanley Wealth Management	Lutherville	✓	✓	✓	✓
Fox, Paul M.	Morgan Stanley Wealth Management	Lutherville	✓	✓	✓	✓
Horn, R. Dale	UBS Financial Services Inc.	Baltimore	✓	✓	✓	✓
Hurlbink, Gregory	Morgan Stanley Wealth Management	Baltimore	✓	✓	✓	✓
Meredith, Andrew F.	Merrill Lynch Wealth Management	Baltimore	✓	✓	✓	✓
Pakenas, Betsy	Morgan Stanley Wealth Management	Frederick	✓	✓	✓	✓
Pearce, Kent V.	Merrill Lynch Wealth Management	Towson	✓	✓	✓	✓
Sella, E. Geoffrey	SPC Financial, Inc. / Raymond James	Rockville	✓	✓	✓	✓
Serennyi, Nicholas J.	Morgan Stanley Wealth Management	Rockville	✓	✓	✓	✓
<b>MASSACHUSETTS</b>						
Atwood, James	Merrill Lynch - Private Banking & Investment Group	Boston	✓	✓	✓	✓
Bartholomew, Thomas J.	Bartholomew & Company, Inc.	Worcester	✓	✓	✓	✓
Borden, David	CCR Wealth Management	Westborough	✓	✓	✓	✓
Botta, Frank A.	Morgan Stanley Wealth Management	Boston	✓	✓	✓	✓
Brede, Debra K.	D.K. Brede Investment Management Company, Inc.	Needham	✓	✓	✓	✓
Connolly, Jr, Richard F.	Morgan Stanley Private Wealth Management	Boston	✓	✓	✓	✓
Corbett, L. O. Patrick	Morgan Stanley Private Wealth Management	Boston	✓	✓	✓	✓
Dillon, Sean V.	UBS Financial Services Inc.	Boston	✓	✓	✓	✓
Finn, Daniel N.	Morgan Stanley Wealth Management	Wellesley	✓	✓	✓	✓
Fucigna, James R.	Morgan Stanley Wealth Management	Boston	✓	✓	✓	✓
Javaheri, David	Morgan Stanley Wealth Management	Wellesley	✓	✓	✓	✓
Kaplan, Susan C.	Kaplan Financial Services, Inc.	Newton Lower Falls	✓	✓	✓	✓
Karelis, Jeffrey S.	KSP Financial Consultants	Waltham	✓	✓	✓	✓
Marinelli, Domenic	Morgan Stanley Wealth Management	Boston	✓	✓	✓	✓
Mason, Robert F.	Morgan Stanley Private Wealth Management	Boston	✓	✓	✓	✓
McCauley, Paul J.	Merrill Lynch - Private Banking & Investment Group	Boston	✓	✓	✓	✓
McGuirk, Gary L.	Merrill Lynch - Private Banking & Investment Group	Boston	✓	✓	✓	✓
Miller, Richard R.	Ameriprise Financial	Wellesley	✓	✓	✓	✓
Nabhan, Edward G.	Morgan Stanley Wealth Management	Boston	✓	✓	✓	✓

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Porter, Edward S.	KSP Financial Consultants	Waltham	✓	✓	✓	✓
Princi, Peter B.	Graystone Consulting	Boston	✓	✓	✓	✓
Schena, Anthony R.	UBS Financial Services Inc.	Boston	✓	✓	✓	✓
Sharma, Raj	Merrill Lynch - Private Banking & Investment Group	Boston	✓	✓	✓	✓
Siwa III, Matthew J.	KSP Financial Consultants	Waltham	✓	✓	✓	✓
Taylor, James W.	UBS Financial Services Inc.	Boston	✓	✓	✓	✓
Whalen, Kevin J.	Morgan Stanley Wealth Management	Boston	✓	✓	✓	✓
Wilson, Daniel T.	Ameriprise Financial	Auburndale	✓	✓	✓	✓
<b>MICHIGAN</b>						
Lund, David	Merrill Lynch Wealth Management	Grand Rapids	✓	✓	✓	✓
MacDonald, John P.	Merrill Lynch Wealth Management	Grand Blanc	✓	✓	✓	✓
Migliazzo, Frank	Merrill Lynch - Private Banking & Investment Group	Troy	✓	✓	✓	✓
Sanford, Todd A.	Sanford Financial Services / Raymond James	Portage	✓	✓	✓	✓
Vanierian, Marie A.	Merrill Lynch Wealth Management	Troy	✓	✓	✓	✓
Vigi, Jon	UBS Private Wealth Management	Birmingham	✓	✓	✓	✓
Zhang, Charles C.	Zhang Financial	Portage	✓	✓	✓	✓
<b>MINNESOTA</b>						
Eckerling, Peter E.	Merrill Lynch Wealth Management	Wayzata	✓	✓	✓	✓
Guzek Montagne, Lisa	LGM Wealth Management	Bloomington	✓	✓	✓	✓
Marks, Ben	Marks Group Wealth Management	Minnetonka	✓	✓	✓	✓
Neuman, Rhett P.	RBC Wealth Management	Stillwater	✓	✓	✓	✓
<b>MISSISSIPPI</b>						
Finkelberg, Arthur	Raymond James	Ridgeland	✓	✓	✓	✓
Rice, Jr., Joe G.	Raymond James	Ridgeland	✓	✓	✓	✓
<b>MISSOURI</b>						
Bianco, Joseph	Wells Fargo Advisors, LLC	Saint Louis	✓	✓	✓	✓
Moeller, Michael L.	Wells Fargo Advisors, LLC	Chesterfield	✓	✓	✓	✓
<b>MONTANA</b>						
Vralsted, Todd H.	UBS Financial Services Inc.	Billings	✓	✓	✓	✓
<b>NEBRASKA</b>						
Dworak, Jason M.	UBS Private Wealth Management	Lincoln	✓	✓	✓	✓
Garlock, John H.	RBC Wealth Management	Omaha	✓	✓	✓	✓
Jacobitz, Andy J.	RBC Wealth Management	Omaha	✓	✓	✓	✓
Kelley, Richard W.	RBC Wealth Management	Omaha	✓	✓	✓	✓
O'Daniel, Andrew J.	Morgan Stanley Wealth Management	Omaha	✓	✓	✓	✓
Robino, Michael	Wells Fargo Advisors, LLC	Omaha	✓	✓	✓	✓
<b>NEVADA</b>						
Chudd, Michael	UBS Financial Services Inc.	Las Vegas	✓	✓	✓	✓
Jay, Kelly K.	UBS Financial Services Inc.	Reno	✓	✓	✓	✓
<b>NEW JERSEY</b>						
Andreach, Christopher M.	RBC Wealth Management	Red Bank	✓	✓	✓	✓
Bonevento, Michael	Ameriprise Financial	Brielle	✓	✓	✓	✓
Burke, John B.	Burke Financial Strategies / Raymond James	Iselin	✓	✓	✓	✓
Coopersmith, Marc Robert	RBC Wealth Management	Parsippany	✓	✓	✓	✓
Cortazzo, Mark Anthony	MACRO Consulting Group	Parsippany	✓	✓	✓	✓
Ellentuck, Todd	UBS Financial Services Inc.	Florham Park	✓	✓	✓	✓
Fendrick, Mark D.	UBS Financial Services Inc.	Mount Laurel	✓	✓	✓	✓
Finan, Robert	Morgan Stanley Wealth Management	Red Bank	✓	✓	✓	✓
Finkel, David R.	Merrill Lynch Wealth Management	EGG HARBOR TWP	✓	✓	✓	✓
Gisser, Warren J.	RBC Wealth Management	Parsippany	✓	✓	✓	✓
Kugel, Elliott	Merrill Lynch Wealth Management	Bridgewater	✓	✓	✓	✓
Lichtenfeld, Mark L.	UBS Private Wealth Management	Florham Park	✓	✓	✓	✓
Matina, Joseph	UBS Private Wealth Management	Short Hills	✓	✓	✓	✓
McPeak, Neil	The McPeak Investment Group of Wells Fargo Advisors, LLC	Linwood	✓	✓	✓	✓
Oujo, Jack D.	Jack Oujo CPA, Inc.	Wall	✓	✓	✓	✓
Posner, Jonathan Scott	Morgan Stanley Wealth Management	Florham Park	✓	✓	✓	✓
Seminara, Frank	Morgan Stanley Private Wealth Management	Florham Park	✓	✓	✓	✓
Tully, Paul J.	Eagle Wealth Strategies / Raymond James	West Deptford	✓	✓	✓	✓
Walker, Ira A.	UBS Private Wealth Management	Red Bank	✓	✓	✓	✓
White, Kendrick W.	Princeton Wealth Advisors of Raymond James	Princeton	✓	✓	✓	✓
<b>NEW MEXICO</b>						
Moore, John W.	John Moore & Associates / Raymond James	Albuquerque	✓	✓	✓	✓
<b>NEW YORK</b>						
Adams, Jonathan	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Barrett, John C.	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Basu, Ron	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Bieber, David	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Boccia, Leonard	Wells Fargo Advisors, LLC	New York	✓	✓	✓	✓
<b>NEW YORK (continued)</b>						
Bruff, Douglas P.	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Cohen, Leigh E.	Merrill Lynch - Private Banking & Investment Group	New York	✓	✓	✓	✓
Condos, Steve	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Coren, Seth A.	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Coyler III, John F.	Morgan Stanley Wealth Management	Garden City	✓	✓	✓	✓
Dafotis, Christopher Peter	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Dyer, Robert C.	Merrill Lynch - Private Banking & Investment Group	New York	✓	✓	✓	✓
Gabriele, Joseph P.	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Gera, George	RBC Wealth Management	New York	✓	✓	✓	✓
Greenspan, Richard	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Halbfinger, Martin L.	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Hendrix, Holly L.	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Hersch, Gregory A.	UBS Financial Services Inc.	New York	✓	✓	✓	✓
Kilduff, Sean T.	UBS Private Wealth Management	New York	✓	✓	✓	✓
Kingsolver, Susan L.	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Klingman, Gerard	Klingman & Associates / Raymond James	New York	✓			

## FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra HNW**	Institutional
<b>PENNSYLVANIA</b>						
Archer, Ben	UBS Financial Services Inc.	Conshohocken	✓	✓	✓	✓
Beck, Robert W.	Wells Fargo Advisors, LLC	Allentown	✓	✓	✓	✓
Bodine, Lisa	Penn Wealth Planning, LLC	New Hope	✓	✓	✓	✓
Brennan, Patricia C.	Key Financial, Inc.	West Chester	✓	✓	✓	✓
DiValerio, Jr., Anthony J.	Morgan Stanley Private Wealth Management	W. Conshohocken	✓	✓	✓	✓
Fragasso, Robert I.	Fragasso Financial Advisors	Pittsburgh	✓	✓	✓	✓
Nehrbas, Andrew R.	Janney Montgomery Scott LLC	Bryn Mawr	✓	✓	✓	✓
Parker, Sr., John J.	Wells Fargo Advisors, LLC	Philadelphia	✓	✓	✓	✓
Rimmel, James W.	UBS Financial Services Inc.	Pittsburgh	✓	✓	✓	✓
Salmansohn, Eric	Morgan Stanley Wealth Management	Philadelphia	✓	✓	✓	✓
<b>RHODE ISLAND</b>						
O'Neil, Tricia S.	Morgan Stanley Wealth Management	Providence	✓	✓	✓	✓
<b>SOUTH CAROLINA</b>						
Ellison, Jr., Hagood	Merrill Lynch Wealth Management	Columbia	✓	✓	✓	✓
Kibler, Bud	Merrill Lynch Wealth Management	Columbia	✓	✓	✓	✓
Parham, Kenneth R.	UBS Financial Services Inc.	Greenville	✓	✓	✓	✓
Sullivan, Derrick A.	Morgan Stanley Wealth Management	Charleston	✓	✓	✓	✓
<b>SOUTH DAKOTA</b>						
Nelson, Todd A.	Merrill Lynch Wealth Management	Sioux Falls	✓	✓	✓	✓
<b>TENNESSEE</b>						
Carter, Larry J.	Baird	Nashville	✓	✓	✓	✓
Dobyns, Jeffrey T.	Southwestern Investment Group / Raymond James	Franklin	✓	✓	✓	✓
Klindt, Eric T.	Merrill Lynch - Private Banking & Investment Group	Nashville	✓	✓	✓	✓
Liles, Malcolm H.	Baird	Nashville	✓	✓	✓	✓
Mayer, Ward	Raymond James	Memphis	✓	✓	✓	✓
Pickler, David A.	Pickler Wealth Advisors	Collierville	✓	✓	✓	✓
Stein, Michael E.	Wells Fargo Advisors, LLC	Memphis	✓	✓	✓	✓
<b>TEXAS</b>						
Ashcroft, Richard W.	Baird	Houston	✓	✓	✓	✓
Bass, Mark I.	Cetera Advisors	Lubbock	✓	✓	✓	✓
Carlson, Randy R.	Merrill Lynch Wealth Management	Dallas	✓	✓	✓	✓
Coffee, Jr., James L.	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Corbellini, William J.	Merrill Lynch - Private Banking & Investment Group	DALLAS	✓	✓	✓	✓
Crocker, J. Dow	Crocker, Prince & Blackford Group of Raymond James	Dallas	✓	✓	✓	✓
de Groot, Frederick A.	Merrill Lynch Wealth Management	The Woodlands	✓	✓	✓	✓
Dodson, Philip M.	Merrill Lynch - Private Banking & Investment Group	Houston	✓	✓	✓	✓
Friedman, Richard S.	RBC Wealth Management	Houston	✓	✓	✓	✓
Glosser, Gregory C.	RBC Wealth Management	Dallas	✓	✓	✓	✓
Goldberg, David S.	UBS Financial Services Inc.	Plano	✓	✓	✓	✓
Hardin, Rob C.	Wells Fargo Advisors, LLC	Houston	✓	✓	✓	✓
Holstead, T. Scott	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Klenke, Gregory O.	UBS Financial Services Inc.	Houston	✓	✓	✓	✓
Kravitz, Ira D.	UBS Financial Services Inc.	Plano	✓	✓	✓	✓
Landers, John E.	UBS Financial Services Inc.	Houston	✓	✓	✓	✓
Leven, William	UBS Private Wealth Management	Houston	✓	✓	✓	✓
Miller, Shott F.	Merrill Lynch Wealth Management	Fort Worth	✓	✓	✓	✓
Nelson, Daniel R.	Merrill Lynch - Private Banking & Investment Group	San Antonio	✓	✓	✓	✓
<b>UTAH</b>						
Mintz, Glen R.	UBS Financial Services Inc.	Park City	✓	✓	✓	✓
Sleiman, Sam M.	Wells Fargo Advisors, LLC	Salt Lake City	✓	✓	✓	✓
<b>VIRGINIA</b>						
Barnette, Jr., James T.	Raymond James	Reston	✓	✓	✓	✓
Campbell, Kelly P.	Campbell Wealth Management	Alexandria	✓	✓	✓	✓
Coyle, Bradford R.	Coyle Financial Group / Wells Fargo Advisors, LLC	McLean	✓	✓	✓	✓
Graves VII, Asa W.	Graves-Light Wealth Management of Wells Fargo Advisors, LLC	Harrisonburg	✓	✓	✓	✓
Krell, Christopher A.	Royal Alliance	McLean	✓	✓	✓	✓
LeClair, Jeff W.	Wells Fargo Advisors, LLC	McLean	✓	✓	✓	✓
Osmond Popovich, Nancy	Baird	Reston	✓	✓	✓	✓
Reich, Jr., Robert D.	Wells Fargo Advisors, LLC	McLean	✓	✓	✓	✓
Rosenthal, Larry	Voya Financial Advisors	Manassas	✓	✓	✓	✓
Speck, David G.	Speck-Caudron Investment Group of Wells Fargo Advisors, LLC	Alexandria	✓	✓	✓	✓
Strange, Allan H.	Janney Montgomery Scott LLC	Richmond	✓	✓	✓	✓
Wightman, Eric	Baird	Reston	✓	✓	✓	✓
<b>WASHINGTON</b>						
Acarregui, Brian R.	Morgan Stanley Wealth Management	Seattle	✓	✓	✓	✓
Cook, Terry L.	UBS Private Wealth Management	Bellevue	✓	✓	✓	✓
Hollomon, Stephen J.	Merrill Lynch Wealth Management	Seattle	✓	✓	✓	✓
Linde, Randall S.	Ameriprise Financial	Renton	✓	✓	✓	✓
Tschetter, Richard	D.A. Davidson & Co.	Bellevue	✓	✓	✓	✓
<b>WEST VIRGINIA</b>						
Houchins, David L.	BB&T Scott & Stringfellow	Charleston	✓	✓	✓	✓
Miller, David J.	RBC Wealth Management	Huntington	✓	✓	✓	✓
<b>WISCONSIN</b>						
Burish, Andrew D.	UBS Financial Services Inc.	Madison	✓	✓	✓	✓
Epstein, David	Baird	Milwaukee	✓	✓	✓	✓
Finley, Barbara S.	Morgan Stanley Wealth Management	Madison	✓	✓	✓	✓
Fries, Timothy M.	Fries Financial Group / Raymond James	Chippewa Falls	✓	✓	✓	✓
Klein, Michael G.	Baird	Milwaukee	✓	✓	✓	✓
Larsen, John E.	RBC Wealth Management	Mequon	✓	✓	✓	✓
Smith, Michael E.	Ameriprise Financial	Stevens Point	✓	✓	✓	✓
Spano, David J.	Annex Wealth Management, LLC	Elm Grove	✓	✓	✓	✓

\* High net worth (clients with \$1m-\$10m in investable assets)

\*\* Ultra high net worth (clients with \$10m or more in investable assets)

## Methodology

In autumn 2014, the Financial Times contacted the largest US brokerage firms to solicit advisers' practice information and data for the top advisers across the US.

By seeking information in this manner, the FT was able to obtain verified data on assets under management instead of relying on self reporting by advisers. We asked for information on advisers with more than 10 years' experience and that had more than \$200m in assets under management.

The FT then invited qualifying advisers — a list which totalled just under 1,500 — to complete a short

questionnaire that gave us more information about their practices. We augmented that information with our own research on the candidates, including data from regulatory filings.

The formula the FT uses to grade advisers is based on six broad factors and calculates a numeric score for each adviser.

Areas of consideration include assets under management, asset growth, years of experience, industry certification, Financial Industry Regulatory Authority (Finra) compliance record and online accessibility.

The criteria can be taken to have broader meanings. For example:

- Assets under management (AUM) — can signal experience managing money and client trust
- AUM growth rate — growing assets can be taken as a proxy for performance, asset retention and ability to generate new business
- Years of experience — indicates experience managing assets in different economic and interest-rate environments
- Compliance record — provides evidence of past client disputes. A string of complaints could signal problems

• Industry certifications (CFA, CFP, etc) — demonstrate technical and industry knowledge and obtaining these designations shows a professional commitment to investment skills

• Online accessibility — illustrates commitment to providing investors with easy access and transparent contact information

Assets under management accounted for an average of approximately 65 per cent of each adviser's score. Additionally, the FT places a cap on the number of advisers from any one state that is roughly calculated according to the

distribution of millionaires across the US.

We present the FT 400 as an elite group, not a competitive ranking. We acknowledge that ranking the industry's top advisers from 1 to 400 would be a futile exercise, since each takes different approaches to their practice and has different specialisations. The FT methodology aims to be both quantifiable and objective.

*The research was conducted on behalf of the Financial Times by Ignites Distribution Research, a Financial Times sister publication.*