

FT 400 Top Financial Advisers



The FT Top Financial Advisers

Best in class We present the leading US professionals, listed by state, and provide the research methodology

Name	Company	City	Retail	HNW*	Ultra HNW**	Institutional	Name	Company	City	Retail	HNW*	Ultra HNW**	Institutional
ALABAMA													
Duncan, Jerry G.	UBS Financial Services	Birmingham		✓	✓	✓	Morgan, Mark S.	Morgan Stanley Wealth Management	Folsom		✓	✓	✓
Roberts, Jeff	Ameriprise Financial	Birmingham	✓	✓	✓	✓	Munster, Bruce	Merrill Lynch - Private Banking & Investment Group	Los Angeles			✓	
ARIZONA													
Flader, Allan J.	RBC Wealth Management	Phoenix	✓	✓	✓	✓	Onken, Greg	J.P. Morgan Securities	San Francisco		✓	✓	
Harnden, Stephen P.	Ameriprise Financial	Peoria	✓	✓	✓	✓	Osborne, Dan R.	Merrill Lynch Wealth Management	San Francisco		✓	✓	
CALIFORNIA													
Abrams, Michael L.	Wells Fargo Advisors	Palo Alto		✓	✓		Palmer, Richard K.	Morgan Stanley Private Wealth Management	San Francisco			✓	
Arbogast, Peter V.	Merrill Lynch - Private Banking & Investment Group	San Francisco			✓		Papadoyannis, George	Ameriprise Financial	San Mateo	✓	✓	✓	
Basch, Andrew	Morgan Stanley Private Wealth Management	Los Angeles		✓	✓	✓	Pfefferman, Darren A.	Morgan Stanley Private Wealth Management	San Diego		✓	✓	✓
Blanchfield, Tom	Merrill Lynch - Private Banking & Investment Group	Newport Beach			✓		Piepenkötter, Monica M.	Merrill Lynch - Private Banking & Investment Group	La Jolla		✓	✓	✓
Brisbin, Shane	Morgan Stanley Private Wealth Management	San Francisco			✓		Scheinberg, Micah G.	Alex. Brown/Raymond James	Century City		✓	✓	
Bubb, Kerrick	KWB Wealth Managers Group/LPL Financial	Redlands	✓	✓	✓	✓	Schulten, Mark	The Schulten Group of Wells Fargo Advisors	Long Beach	✓	✓	✓	✓
Burbank, Mike	Morgan Stanley Private Wealth Management	San Francisco			✓		Schwarz, Donald L.	RBC Wealth Management	Beverly Hills	✓	✓	✓	
Chiate, Craig	UBS Private Wealth Management	Los Angeles			✓		Smit, Bernard	Walnut Creek Wealth Management	Walnut Creek	✓	✓		✓
Curtis, Mark T.	Graystone Consulting	Palo Alto		✓	✓	✓	Smith, Lawrence E.	UBS Financial Services	Brea	✓	✓	✓	✓
daRoza, Tony	Merrill Lynch - Private Banking & Investment Group	San Francisco			✓		Tanabe, Keith T.	Merrill Lynch Wealth Management	Los Angeles	✓	✓	✓	✓
Fagersten, Marcus C.	UBS Financial Services	San Francisco		✓	✓		Traum, Jeffrey D.	Morgan Stanley Private Wealth Management	Menlo Park		✓	✓	✓
Garapedian, Barry	Morgan Stanley Wealth Management	Westlake Village	✓	✓	✓	✓	Vaughan, Gregory V.	Morgan Stanley Private Wealth Management	Menlo Park			✓	✓
Gee, Clinton	UBS Financial Services	Irvine	✓	✓	✓	✓	Walsh, Daniel T.	Merrill Lynch Wealth Management	Menlo Park		✓	✓	
Genovese, Michael T.	Genovese Burford & Brothers	Sacramento	✓	✓	✓	✓	Walters, Philip S.	Wells Fargo Advisors	Beverly Hills		✓	✓	✓
Gray, Eric A.	Merrill Lynch - Private Banking & Investment Group	Los Angeles		✓	✓		Wolfslau, Karl W.	Morgan Stanley Wealth Management	Long Beach	✓	✓	✓	✓
Green, Rick	Wells Fargo Advisors	Los Angeles	✓	✓	✓	✓	Wong, Benjamin W.	Benjamin W. Wong CFP® and Associates	Pleasanton	✓	✓		✓
Grinnell, Mike	Merrill Lynch Wealth Management	San Francisco	✓	✓	✓	✓	Young, Cheryl L.	Morgan Stanley Wealth Management	Los Gatos		✓	✓	
Guimarin, Alma	Morgan Stanley Wealth Management	San Jose	✓	✓	✓		Yu, Gillian	Morgan Stanley Private Wealth Management	San Francisco			✓	
Hafeli, Scott	Morgan Stanley Private Wealth Management	San Francisco			✓		Zafari, Reza	Merrill Lynch - Private Banking & Investment Group	Century City			✓	✓
Hogan, Richard	Merrill Lynch - Private Banking & Investment Group	San Francisco			✓		Zager, Drew	Morgan Stanley Private Wealth Management	Los Angeles			✓	
Jones, Richard B.	Merrill Lynch - Private Banking & Investment Group	Century City			✓	✓	Zanolli, Greg	Wells Fargo Advisors	Roseville		✓	✓	✓
Jorgensen, Debbie	Merrill Lynch Wealth Management	San Francisco		✓	✓	✓	COLORADO						
Kelly, Inna	Morgan Stanley Wealth Management	San Francisco			✓		Arevia, Paul G.	UBS Financial Services	Denver	✓	✓	✓	✓
Keusayan, Karen V.	Wells Fargo Advisors	Los Angeles		✓	✓	✓	Beukelman, Jonathan	UBS Private Wealth Management	Denver		✓	✓	✓
Levine, Steve	UBS Private Wealth Management	Los Angeles			✓		Brown, Mark R.	Brown & Tedstrom, Inc./LPL Financial	Denver		✓	✓	
Malone III, Francis X.	Morgan Stanley Private Wealth Management	Los Angeles			✓		Dodds, Andrew T.	Dodds Wealth Management Group/LPL Financial	Englewood		✓	✓	
McClellan, Ryan A.	UBS Private Wealth Management	Los Angeles		✓	✓	✓	Smith, Mark J.	M.J. Smith & Associates/Raymond James	Greenwood Village		✓	✓	✓
McDonald, Karen	Morgan Stanley Wealth Management	Palo Alto	✓	✓	✓	✓	Sogge, David B.	RBC Wealth Management	Greenwood Village		✓	✓	
Minkoff, Steven M.	Ameriprise Financial	San Francisco	✓	✓	✓		Sparks, Scott G.	Sparks Financial, Northwestern Mutual Wealth Mgmt. Co.	Denver	✓	✓	✓	
							CONNECTICUT						
							Chieco, Peter	Morgan Stanley Wealth Management	Greenwich		✓	✓	

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

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			Retail	HNW*	Ultra HNW**	Institutional
Daoud, Nancy S.	Ameriprise Financial	Oxford	✓	✓	✓	✓
Dolgins, Ivan	Merrill Lynch Wealth Management	Stamford	✓	✓	✓	✓
Erdmann III, John (Jeff) F.	Merrill Lynch - Private Banking & Investment Group	Greenwich	✓	✓	✓	✓
Gourd, William C.	UBS Private Wealth Management	Stamford		✓	✓	✓
Hassan, Rich	Alex. Brown Raymond James	Greenwich		✓	✓	✓
Hetherington, Brian J.	Merrill Lynch - Private Banking & Investment Group	New Canaan		✓	✓	
Jacobsen, Teresa A.	UBS Private Wealth Management	Stamford		✓	✓	✓
Mattson Kenworthy, Mary	UBS Private Wealth Management	Stamford		✓	✓	✓
Noble III, Charles J.	Janney Montgomery Scott LLC	New Haven		✓	✓	✓
Somberg, Matthew A.	Gottfried & Somberg Wealth Management, LLC	Glastonbury	✓	✓	✓	
Stanek, Jr., Dennis J.	RBC Wealth Management	Hartford		✓		
Trischman, Harold J.	Morgan Stanley Wealth Management	Greenwich		✓	✓	✓
Vacheron, Thomas E.	Merrill Lynch Wealth Management	Fairfield		✓	✓	
Wunder, Matthew S.	Wunder Financial, Northwestern Mutual Wealth Mgmt. Co.	Westport	✓	✓	✓	✓
DISTRICT OF COLUMBIA						
Anthony, Brett W.	Morgan Stanley Wealth Management	Washington	✓	✓	✓	✓
Apton, Keith	UBS Financial Services	Washington		✓	✓	
Haffner, Barry M.	UBS Financial Services	Washington		✓	✓	
Harris, Richard C.	Alex. Brown Raymond James	Washington	✓	✓	✓	✓
Kingsley, Todd R.	Alex. Brown Raymond James	Washington	✓	✓	✓	✓
Nelson, Wayne F.	Merrill Lynch Wealth Management	Washington		✓		
O'Neill, Michael J.	Morgan Stanley Private Wealth Management	Washington		✓	✓	
Sargent, Christopher S.	Wells Fargo Advisors	Washington	✓	✓	✓	✓
Shaffer, Sheila S.	Janney Montgomery Scott LLC	Washington	✓	✓	✓	✓
Shreves, Tripp	The Monument Group at Wells Fargo Advisors	Washington	✓	✓	✓	✓
FLORIDA						
Bermont, Peter L.	The Bermont Advisory Group of Raymond James	Coral Gables		✓	✓	
Burke, Kenneth J.	Merrill Lynch Wealth Management	Heathrow	✓	✓	✓	
Cabrera, Jose	Raymond James	Coral Gables		✓	✓	✓
Carlin, Adam E.	Morgan Stanley Private Wealth Management	Coral Gables		✓	✓	
Chiavacci, Louis J.	Merrill Lynch - Private Banking & Investment Group	Coral Gables			✓	
d'Adesky, Don A.	Raymond James	Boca Raton		✓	✓	✓
Elwaw, John	Morgan Stanley Wealth Management	Miami		✓	✓	
Esses, Tony	Wells Fargo Advisors	Miami		✓	✓	
Fetterman, Sean M.	UBS Financial Services	Boca Raton		✓	✓	✓
Gourage, Ghislain	UBS Private Wealth Management	Coral Gables		✓	✓	✓
Hoyt, Jr., William B.	Raymond James	St. Petersburg		✓	✓	
McCain, Michael A.	Wells Fargo Advisors	Naples	✓	✓	✓	✓
Merriam III, William H.	Merrill Lynch Wealth Management	Jacksonville	✓	✓	✓	✓
Meyerhans, Roman	Alex. Brown Raymond James	Miami			✓	
Moll, Todd A.	Provenance Wealth Advisors/Raymond James	Fort Lauderdale		✓	✓	✓
Moran, Thomas M.	Wells Fargo Advisors	Naples		✓	✓	✓
Pinkerton, Scott	Pinkerton Wealth Management Group	Venice		✓	✓	✓
Schultz, Andrew	Morgan Stanley Private Wealth Management	Miami Beach		✓	✓	
Silver, Michael J.	Baron Silver Stevens Financial Advisors, LLC	Boca Raton		✓		
Silverman, Mickey	Raymond James	Boca Raton		✓	✓	
Simmons, Keith F.	Merrill Lynch Wealth Management	Miami	✓	✓	✓	✓
Starner, Margaret C.	Raymond James	Coral Gables		✓	✓	
Sylvia, Kurt F.	UBS Private Wealth Management	Palm Beach		✓	✓	✓
Tiano, Sal	J.P. Morgan Securities	Palm Beach Gdns		✓	✓	✓
Williams, Jennifer B.	SunTrust Investment Services, Inc.	Tampa		✓	✓	✓
GEORGIA						
Bryant, Jake T.	Ameriprise Financial	Atlanta		✓		
Frank, Brian	Morgan Stanley Private Wealth Management	Atlanta		✓	✓	✓
Hansberger, Jim C.	Morgan Stanley Private Wealth Management	Atlanta		✓	✓	✓
Harbour, Andrew	Graystone Consulting	Atlanta		✓	✓	✓
Higgins, David P.	Merrill Lynch - Private Banking & Investment Group	Atlanta			✓	
Hines, Michael L.	Consolidated Planning Corp./Raymond James	Atlanta	✓	✓	✓	✓
Kent, Rick L.	Merit Financial Advisors/LPL Financial	Alpharetta	✓	✓		
Lauer, Leslie A.	UBS Private Wealth Management	Atlanta		✓	✓	✓
Merlin, Michael J.	Morgan Stanley Private Wealth Management	Atlanta		✓	✓	✓
Westmoreland, Rod	Merrill Lynch - Private Banking & Investment Group	Atlanta			✓	
IDAHO						
Samples, Justin T.	Ameriprise Financial	Boise	✓	✓	✓	
ILLINOIS						
Bhatia, Raj	Merrill Lynch - Private Banking & Investment Group	Chicago			✓	✓
Cutilletta, Patricia G.	Morgan Stanley Wealth Management	Chicago		✓	✓	
Hammond III, John L.	Merrill Lynch Wealth Management	Northbrook		✓	✓	
Held, Richard M.	UBS Financial Services	Chicago		✓	✓	✓
Kartheiser, Joseph	Morgan Stanley Private Wealth Management	Chicago		✓	✓	

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			Retail	HNW*	Ultra HNW**	Institutional
Katz, Benjamin	Morgan Stanley Wealth Management	Chicago		✓	✓	
Lee, Bruce K.	Merrill Lynch - Private Banking & Investment Group	Chicago			✓	✓
Leshem, Benjamin	Wells Fargo Advisors	Highland Park		✓	✓	
Lynch, Kevin R.	Morgan Stanley Private Wealth Management	Chicago		✓	✓	
Magnesen, Scott K.	Morgan Stanley Wealth Management	Oak Brook	✓	✓	✓	
Maltby, Jay	UBS Private Wealth Management	Chicago		✓	✓	✓
Oberheide, James L.	Morgan Stanley Private Wealth Management	Chicago			✓	✓
Oberlander, Sharon	Merrill Lynch Wealth Management	Chicago		✓	✓	
Schaffer, Michael S.	Wells Fargo Advisors	Lake Forest		✓	✓	
Spahn, Kevin M.	Spahn Financial, Northwestern Mutual Wealth Mgmt. Co.	Lombard		✓	✓	
Watson, Philip J.	Ameriprise Financial	Downers Grove	✓	✓	✓	✓
White, Brett D.	Ameriprise Financial	Oakbrook Terrace	✓	✓		
Wilkinson, David M.	Morgan Stanley Private Wealth Management	Chicago			✓	
Wright, David C.	Merrill Lynch - Private Banking & Investment Group	Chicago			✓	
INDIANA						
Cooke, Brian F.	Cooke Financial Group at Noyes	Indianapolis		✓	✓	✓
Cooke, Christopher	Cooke Financial Group at Noyes	Indianapolis		✓	✓	✓
Finley, Daniel B.	Merrill Lynch Wealth Management	Fort Wayne	✓	✓	✓	✓
Gregor, Martin	Merrill Lynch - Private Banking & Investment Group	Indianapolis		✓	✓	✓
Moore, Christopher P.	Ameriprise Financial	Fort Wayne	✓	✓	✓	
Stscherban, Paul	Baird	Mishawaka	✓	✓	✓	✓
IOWA						
Brandt, Jeffrey W.	Ameriprise Financial	Fort Dodge	✓	✓		
Fryar, Matt	Wells Fargo Advisors	Des Moines	✓	✓	✓	✓
Leibfried, Scott G.	Ameriprise Financial	Dubuque	✓	✓		
KANSAS						
Barry, Don	Baird	Wichita	✓	✓		
Ewing, Paul W.	Prosperity Advisory Group	Overland Park	✓	✓	✓	✓
KENTUCKY						
Donohue, Dean M.	Ameriprise Financial	Louisville	✓	✓		✓
Lamkin, Mark T.	Lamkin Wealth Management/LPL Financial	Louisville		✓		
Mahurin, Pete	Hilliard Lyons	Bowling Green	✓	✓	✓	✓
Settle, Mitch	Hilliard Lyons	Owensboro	✓	✓	✓	✓
LOUISIANA						
Couvillon, Mason G.	Dardis Couvillon & Associates/LPL Financial	Metairie	✓	✓	✓	✓
Frayard, Rick	UBS Financial Services	Lafayette	✓	✓	✓	✓
Simmons, Charles L.	Ameriprise Financial	Metairie		✓		
Spiro, James M.	Morgan Stanley Wealth Management	New Orleans	✓	✓	✓	✓
MARYLAND						
Baum, Patricia P.	RBC Wealth Management	Annapolis	✓	✓	✓	✓
Boggs, Larry D.	Wells Fargo Advisors	Cumberland	✓	✓	✓	✓
Collins, Robert J.	Collins Investment Group	Bethesda	✓	✓	✓	
Dingle, Frank W.	RBC Wealth Management	Baltimore	✓	✓	✓	
Eisen, Dean J.	Graystone Consulting	Potomac			✓	✓
Etergino, Ann Marie	RBC Wealth Management	Chevy Chase	✓	✓	✓	✓
Garber, Barry	Alex. Brown Raymond James	Baltimore		✓	✓	✓
Glassman, W. Christopher	RBC Wealth Management	Baltimore		✓	✓	✓
Holzappel, James N.	Holzappel Investment Group of Wells Fargo Advisors	Hagerstown	✓	✓	✓	✓
Keetley, Richard A.	Janney Montgomery Scott LLC	Baltimore		✓		
Murray, Jonathan P.	UBS Financial Services	Hunt Valley		✓	✓	
Pearce, Kent V.	Merrill Lynch Wealth Management	Towson		✓	✓	✓
Rosenwald, Beth	RBC Wealth Management	Baltimore	✓	✓	✓	
Sella, Edward Geoffrey	SPC Financial, Inc./Raymond James	Rockville	✓	✓		
Smith III, H. James	RBC Wealth Management	Baltimore		✓	✓	
MASSACHUSETTS						
Bartholomew, Thomas J.	Bartholomew & Company, Inc.	Worcester	✓	✓	✓	✓
Borden, David A.	CCR Wealth Management	Westborough		✓		✓
Corbett, L.O. Patrick	Morgan Stanley Private Wealth Management	Boston		✓	✓	✓
Gage, Douglas B.	Ameriprise Financial	Auburndale	✓	✓		
Javaheri, David R.	Morgan Stanley Wealth Management	Wellesley		✓	✓	✓
Leland, David G.	Merrill Lynch Wealth Management	Beverly	✓	✓	✓	✓
Mason, Robert F.	Morgan Stanley Private Wealth Management	Boston		✓	✓	✓
Massey, Douglas	UBS Financial Services	Boston	✓	✓	✓	✓
McCauley, Paul J.	Merrill Lynch - Private Banking & Investment Group	Boston		✓	✓	
McGuirk, Gary L.	Merrill Lynch - Private Banking & Investment Group	Boston		✓	✓	
McMahon, Terrence	Morgan Stanley Private Wealth Management	Boston		✓	✓	
Miller, Richard R.	Ameriprise Financial	Wellesley	✓	✓	✓	✓
Mullin, Mary B.	Merrill Lynch Wealth Management	Boston		✓	✓	

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Noonan, Peter C.	J.P. Morgan Securities	Boston		✓	✓	
Princi, Peter	Graystone Consulting	Boston		✓	✓	✓
Sharma, Raj	Merrill Lynch - Private Banking & Investment Group	Boston		✓	✓	✓
Sugar, Alex	Morgan Stanley Wealth Management	Boston		✓	✓	
Wilson, Daniel T.	Ameriprise Financial	Auburndale	✓	✓		✓
Winthrop, Mark	Winthrop Wealth Management/LPL Financial	Westborough		✓	✓	✓
MICHIGAN						
Bernecker, Scott D.	Merrill Lynch Wealth Management	Grand Rapids		✓	✓	✓
Fratarcangeli, Jeffrey	Fratarcangeli Wealth Management	Birmingham		✓	✓	✓
Grace, Jamie	Wells Fargo Advisors	Jackson	✓	✓	✓	✓
Locniskar, Dana	Merrill Lynch - Private Banking & Investment Group	Troy			✓	
Long, Timothy J.	Merrill Lynch Wealth Management	Grand Rapids		✓	✓	✓
Lund, David A.	Merrill Lynch Wealth Management	Grand Rapids	✓	✓	✓	✓
Sanford, Todd A.	Sanford Financial Services/Raymond James	Portage	✓	✓	✓	✓
Stephens, Sherri	Stephens Wealth Mgmt. Grp./Raymond James	Flint	✓	✓	✓	✓
VanDyke, Kevin M.	Bloomfield Hills Financial	Bloomfield Hills	✓	✓	✓	✓
Vigi, Jon	UBS Private Wealth Management	Birmingham			✓	✓
MINNESOTA						
Eckerline, Peter	Merrill Lynch Wealth Management	Wayzata		✓	✓	
Ehleringer, Randall D.	Ameriprise Financial	Rochester	✓	✓		
Marks, Ben	Marks Group Wealth Management/LPL Financial	Minnnetonka		✓	✓	✓
Metcalfe, Robert S.	UBS Private Wealth Management	Minneapolis			✓	✓
Slaggie, Michael	Slaggie Capital Group/Raymond James	Winona	✓	✓	✓	✓
Thoen, Gregory M.	Ameriprise Financial	Austin	✓	✓	✓	✓
MISSISSIPPI						
Finkelberg, Arthur	Raymond James	Ridgeland	✓	✓	✓	✓
Mosby, Bill (Rush)	UBS Financial Services	Jackson	✓	✓	✓	✓
MISSOURI						
Moeller, Mike L.	The Moeller Group of Wells Fargo Advisors	Chesterfield	✓	✓	✓	✓
Murray, Seth C.	Ameriprise Financial	Springfield	✓	✓	✓	
NEBRASKA						
Jacobitz, Andy J.	RBC Wealth Management	Omaha	✓	✓	✓	✓
Kelley, Richard W.	RBC Wealth Management	Omaha	✓	✓	✓	✓
NEW JERSEY						
Barry, Jim R.	Merrill Lynch Wealth Management	Princeton	✓	✓	✓	✓
Deatherage, Mary M.	Morgan Stanley Private Wealth Management	Little Falls		✓	✓	✓
Gisser, Warren J.	RBC Wealth Management	Parsippany	✓	✓	✓	✓
Lippman, Mark J.	Wells Fargo Advisors	Linwood	✓	✓	✓	✓
Matina, Joseph	UBS Private Wealth Management	Short Hills		✓	✓	✓
McLaughlin, James M.	Princeton Wealth Advisors of Raymond James	Princeton	✓	✓	✓	✓
McPeak, Neil P.	McPeak Wealth Management Group of Wells Fargo Advisors	Linwood		✓	✓	
Ricca, Michael J.	Morgan Stanley Wealth Management	Florham Park	✓	✓	✓	
Schwartz, Andy M.	Bleakley Financial Group/LPL Financial	Fairfield	✓	✓	✓	✓
Schwartz, Daniel S.	UBS Private Wealth Management	Paramus		✓	✓	
Shegoski, L. Marc	UBS Financial Services	Princeton		✓	✓	✓
Stern, Michael	Wells Fargo Advisors	Vineland	✓	✓	✓	✓
Udine, Richard D.	Morgan Stanley Wealth Management	Mt. Laurel		✓	✓	
Walker, Ira	UBS Private Wealth Management	Red Bank			✓	✓
Weinerman, David	Morgan Stanley Wealth Management	Florham Park	✓	✓	✓	
NEW YORK						
Armour, Louise	J.P. Morgan Securities	New York	✓	✓	✓	✓
Arthurs, Glenn W.	UBS Financial Services	Buffalo		✓	✓	✓
Bakshi, Vishal	Merrill Lynch - Private Banking & Investment Group	New York			✓	
Barrett, John C.	Merrill Lynch Wealth Management	New York		✓	✓	✓
Basu, Ron	Morgan Stanley Private Wealth Management	New York			✓	✓
Beyer, David	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Bianco, George	Merrill Lynch Wealth Management	New York		✓	✓	
Bickler, Eric A.	UBS Financial Services	White Plains	✓	✓	✓	
Bodner, Eric S.	Merrill Lynch - Private Banking & Investment Group	New York			✓	
Canell, Jay B.	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Canell, Neil	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Cohen, Leigh	Merrill Lynch - Private Banking & Investment Group	New York			✓	✓
Covell, James A.	RBC Wealth Management	New York	✓	✓	✓	✓
Coyle III, John F.	Morgan Stanley Wealth Management	Garden City			✓	✓
Douer, Marcos	Morgan Stanley Wealth Management	New York		✓	✓	
Fitzburgh, Richard A.	RBC Wealth Management	New York		✓	✓	✓
Gero, George	RBC Wealth Management	New York	✓	✓	✓	✓
Grill, Steven	Alex. Brown Raymond James	New York		✓	✓	✓

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Grous, Bill	Alex. Brown Raymond James	New York		✓	✓	✓
Halbfinger, Martin L.	UBS Financial Services	New York		✓	✓	✓
Kass, Jonathan	Merrill Lynch Wealth Management	New York		✓	✓	✓
Katz, Jason M.	UBS Financial Services	New York	✓	✓	✓	✓
Kavallieratos, Nick	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Kelton, Richard W.	Kelton Financial Group, Northwestern Mutual Wealth Mgmt.	Latham		✓	✓	
Kilduff, Sean T.	UBS Private Wealth Management	New York			✓	
Kraus, Andrew P.	Merrill Lynch - Private Banking & Investment Group	New York			✓	✓
Lerner, Rebecca A.	Merrill Lynch Wealth Management	New York		✓	✓	
Luppino, Anthony W.	Merrill Lynch Wealth Management	New York		✓	✓	✓
Maddalena, Tony	Morgan Stanley Wealth Management	Purchase	✓	✓	✓	✓
Malkin, Joshua D.	Morgan Stanley Private Wealth Management	New York		✓	✓	✓
Millman, Ira M.	Morgan Stanley Wealth Management	New York		✓	✓	✓
Mitchell, Neil S.	Morgan Stanley Private Wealth Management	New York		✓	✓	✓
Moeder, Alyssa	Merrill Lynch - Private Banking & Investment Group	New York			✓	
Montaperto, Deborah D.	Morgan Stanley Private Wealth Management	New York			✓	✓
Myers, Jonathon L.	Ameriprise Financial	Vestal	✓	✓	✓	
Nocon, Nannette	Ameriprise Financial	Rochester	✓			
O'Connell, Daniel T.	Merrill Lynch Wealth Management	Garden City		✓	✓	✓
Osio, Miguel G.	Morgan Stanley Private Wealth Management	New York			✓	
Papandrea, Rocco	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Pell, Geri E.	Ameriprise Financial	Rye Brook	✓	✓	✓	
Perkins, Howard	Morgan Stanley Wealth Management	Purchase		✓	✓	✓
Peters, Kevin M.	Morgan Stanley Private Wealth Management	Purchase		✓	✓	✓
Rabito, Russell A.	UBS Financial Services	New York		✓	✓	✓
Sager, Sharon T.	UBS Private Wealth Management	New York		✓	✓	✓
Sax, Ben	Merrill Lynch - Private Banking & Investment Group	New York			✓	
Schubach, Clark	J.P. Morgan Securities	New York	✓	✓	✓	✓
Schwartz, Michael S.	Pioneer Financial, Northwestern Mutual Wealth Mgmt. Co.	New York		✓		
Spinetta, Alessandro	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Stackman, Scott	UBS Private Wealth Management	New York			✓	✓
Sullivan, Thomas E.	Merrill Lynch Wealth Management	Garden City		✓	✓	
Temel, Charles S.	UBS Financial Services	New York		✓	✓	✓
Tennant, Steven A.	Tennant Financial, Northwestern Mutual Wealth Mgmt. Co.	Ballston Lake		✓	✓	✓
Ward, Sofia Michelle	Morgan Stanley Wealth Management	New York		✓	✓	✓
Weil, Noel	Merrill Lynch - Private Banking & Investment Group	New York			✓	
Wilson, Scott C.	Morgan Stanley Private Wealth Management	New York		✓	✓	✓
Wong, Nadine	Morgan Stanley Private Wealth Management	New York			✓	✓
NORTH CAROLINA						
Cash, Gregory M.	Merrill Lynch - Private Banking & Investment Group	Charlotte			✓	✓
Hoge, Brett W.	BB&T Scott & Stringfellow	Winston-Salem	✓	✓	✓	
McCarthy, Robert	RBC Wealth Management	Raleigh	✓	✓	✓	✓
Oliver, William M.	Wells Fargo Advisors	Charlotte		✓	✓	
Thomas, Stephen L.	Linden Thomas & Company	Charlotte		✓	✓	✓
Wickham, Robert Mitchell	Merrill Lynch - Private Banking & Investment Group	Charlotte			✓	✓
NORTH DAKOTA						
Melvie, Loren D.	Ameriprise Financial	Bismarck	✓	✓		✓
OHIO						
Carver, Randy	Carver Financial Services/Raymond James	Mentor	✓	✓	✓	
Chornyak, Jr., Joseph A.	Chornyak & Associates, Ltd.	Columbus	✓	✓	✓	✓
Chornyak, Sr., Joseph A.	Chornyak & Associates, Ltd.	Columbus	✓	✓	✓	✓
Edwards, Brian J.	Morgan Stanley Wealth Management	Columbus	✓	✓	✓	
Ellis III, David W.	UBS Private Wealth Management	Cincinnati		✓	✓	✓
Fish, Stephen J.	UBS Financial Services	Cincinnati	✓	✓	✓	✓
Mauk, Robert A.	Chornyak & Associates, Ltd.	Columbus	✓	✓	✓	✓
Myeroff, Kevin	NCA Financial Planners	Cleveland	✓	✓	✓	
Shendure, Ashok S.	BDS Financial Network	Solon	✓	✓	✓	✓
Shendure, Rajanee A.	BDS Financial Network	Solon	✓	✓		✓
Singer, David L.	Merrill Lynch - Private Banking & Investment Group	Cincinnati		✓	✓	✓
Torbeck, Daniel L.	UBS Financial Services	Cincinnati	✓	✓	✓	
OKLAHOMA						
Blumenthal, Jeffrey	Wells Fargo Advisors	Oklahoma City	✓	✓	✓	
Brock, Brandt T.	Ameriprise Financial	Tulsa	✓	✓	✓	✓
Jelley, Steve M.	Merrill Lynch Wealth Management	Tulsa		✓	✓	✓
OREGON						
Sturdivant, James	Ameriprise Financial	Salem	✓	✓	✓	
Wrenn, James A.	UBS Financial Services	Lake Oswego	✓	✓	✓	✓
PENNSYLVANIA						
Bishop, Robert H.	Janney Montgomery Scott LLC	Pittsburgh		✓	✓	✓

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra HNW**	Institutional
Blumenthal, Edward S.	Janney Montgomery Scott LLC	Philadelphia		✓	✓	✓
Brennan, Patricia C.	Key Financial, Inc.	West Chester	✓	✓	✓	
Camera, Gerald A.	Ameriprise Financial	Bethlehem	✓	✓	✓	✓
DiValerio, Jr., Anthony J.	Morgan Stanley Private Wealth Management	W. Conshohocken			✓	
Glovas, Michael R.	Morgan Stanley Wealth Management	Easton	✓	✓	✓	✓
Kron, David J.	Kron & Polis Financial Group of Wells Fargo Advisors	Philadelphia	✓	✓	✓	✓
Mastrogriorgos, George	Ameriprise Financial	Exton	✓	✓	✓	
Nehrbas, Andrew R.	Janney Montgomery Scott LLC	Bryn Mawr	✓	✓	✓	✓
Parker, Sr., John J.	Wells Fargo Advisors	Philadelphia	✓	✓	✓	✓
Rimmel, James W.	UBS Financial Services	Pittsburgh	✓	✓	✓	✓
Rohr, Peter A.	Merrill Lynch - Private Banking & Investment Group	Philadelphia			✓	
Salmansohn, Eric	Morgan Stanley Wealth Management	Philadelphia	✓	✓	✓	✓
Sargent, Peter H.	Janney Montgomery Scott LLC	Yardley	✓	✓	✓	
Spanos, Samuel W.	Raymond James	Beaver	✓	✓	✓	✓
SOUTH CAROLINA						
Vingi, Jr., Robert E.	Wells Fargo Advisors	Charleston		✓	✓	✓
SOUTH DAKOTA						
Quello, Nathan S.	Raymond James	Sioux Falls	✓	✓	✓	✓
TENNESSEE						
Dobyns, Jeff	Southwestern Investment Group/Raymond James	Franklin	✓	✓	✓	✓
Mayer, Ward W.	Raymond James	Memphis	✓	✓	✓	✓
Roberson, Tim	Merrill Lynch Wealth Management	Brentwood	✓	✓	✓	✓
Smith, Trey	SunTrust Investment Services, Inc.	Nashville		✓	✓	✓
Williams, Jay W.	UBS Private Wealth Management	Memphis			✓	
TEXAS						
Acerra, Guy M.	Ameriprise Financial	San Antonio		✓	✓	
Ashcroft, Richard W.	Baird	Houston	✓	✓	✓	
Begay, Audree L.	Ameriprise Financial	Houston	✓	✓	✓	
Blessing, Kalita	Quest Capital Management, Inc./Raymond James	Dallas		✓	✓	
Blonkvist, Kevin M.	RBC Wealth Management	Midland		✓	✓	✓
Clements, Kevin	Morgan Stanley Wealth Management	Dallas		✓	✓	✓
Coffee, Jr., James L.	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Crocker, J. Dow	Raymond James	Dallas	✓	✓	✓	✓
Dickey, Kevin T.	Morgan Stanley Private Wealth Management	Dallas		✓	✓	
Dodson, Philip M.	Merrill Lynch - Private Banking & Investment Group	Houston		✓	✓	
Elias, Mark S.	UBS Private Wealth Management	Houston		✓	✓	
Hesse, Michael W.	Texas Wealth Management, Inc.	Houston	✓	✓	✓	✓
Heuer, Susan	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Johnson, Willis A.	Willis Johnson & Associates	Houston		✓		
Johri, Anupam (A.)	Morgan Stanley Wealth Management	Plano	✓	✓	✓	
Kardesch, Matthew	Ameriprise Financial	Houston	✓	✓	✓	
Klenke, Gregory O.	UBS Financial Services	Houston	✓	✓	✓	
Kravitz, Ira D.	UBS Financial Services	Plano		✓	✓	
Lewis, Jr., Charles J.	Wells Fargo Advisors	Waco	✓	✓	✓	✓
Lockwood, Elizabeth G.	UBS Financial Services	Houston		✓	✓	
Lorch, Howard S.	The Lorch Group of Wells Fargo Advisors	Houston	✓	✓	✓	✓
McBride, Tommy	Merrill Lynch Wealth Management	Dallas		✓	✓	
Miura, Steven	The Miura Group, Northwestern Mutual Wealth Mgmt. Co.	Austin	✓	✓	✓	
VERMONT						
Stotz, Timothy E.	Morgan Stanley Wealth Management	Colchester		✓	✓	✓
VIRGINIA						
Barnette, Jr., James T.	Raymond James	Reston	✓	✓	✓	✓
Caudron, Tristan M.	Wells Fargo Advisors	Alexandria	✓	✓	✓	✓
Gill, John A.	BB&T Scott & Stringfellow	Virginia Beach	✓	✓	✓	
Kim, Soo (Susan)	Ameriprise Financial	Vienna	✓	✓	✓	
Kurtz, Jonathan R.	Voya Financial Advisors	Vienna	✓	✓	✓	✓
LeClair, Jeff W.	Wells Fargo Advisors	McLean		✓	✓	✓
Montgomery, Joe W.	The Optimal Service Group of Wells Fargo Advisors	Williamsburg		✓	✓	✓
Salomon, Dalal Maria	Salomon & Ludwin, LLC	Richmond		✓	✓	
Sprowls, Ryan C.	Sprowls & Key Wealth Management Group of Wells Fargo Advisors	Alexandria	✓	✓	✓	✓
Strange, Allan H.	Janney Montgomery Scott LLC	Richmond	✓	✓	✓	✓
WASHINGTON						
Braun, Dean	Morgan Stanley Private Wealth Management	Seattle		✓	✓	
Cook, Terry L.	UBS Private Wealth Management	Bellevue			✓	
Elliott, Patrick D.	RBC Wealth Management	Bainbridge Island	✓	✓	✓	✓
Matthews, Michael S.	UBS Financial Services	Bellevue	✓	✓	✓	
Ried, Paul R.	Paul R. Ried Financial Group, LLC	Bellevue	✓	✓		
Scannell, Erin J.	Ameriprise Financial	Mercer Island	✓	✓	✓	✓
West, Lowry	Morgan Stanley Private Wealth Management	Seattle			✓	
WEST VIRGINIA						
Hall, Christopher W.	Hall Financial Advisors, LLC	Parkersburg	✓	✓	✓	✓
Houchins, David L.	BB&T Scott & Stringfellow	Charleston	✓	✓	✓	✓
Stike, Edward R.	RBC Wealth Management	Charleston	✓	✓	✓	✓
WISCONSIN						
Burish, Andrew D.	UBS Financial Services	Madison	✓	✓	✓	✓
Cimino, Vince	Cimino Wealth Advisors/LPL Financial	Clinton	✓	✓	✓	✓
Goldstein, Jon D.	Ameriprise Financial	Middleton	✓	✓	✓	✓
Klein, Michael G.	Baird	Milwaukee		✓	✓	✓
Larsen, John E.	RBC Wealth Management	Mequon	✓	✓	✓	✓

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

Methodology

The fifth annual Financial Times 400 list, like the previous four, is aimed at investors — such as FT readers — who use financial advisers. The FT, therefore, assesses financial advisers based on what investors care about. The methodology is quantifiable and objective.

In autumn 2016, the FT contacted the largest US brokerages to ask for practice information and data for their top advisers across the US. In doing so, we could obtain verified data on assets under management instead of relying on self-reporting by the advisers themselves.

We asked for information on advisers with more than 10 years' experience and that had more than \$300m in assets under management.

Such minimum criteria filtered out most advisers. The FT then invited qualifying advisers out of this group — a list which totalled roughly 800 — to complete a short questionnaire that gave us more information about their practices. We added that information to 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:

- 1. Assets under management** can signal experience managing money and client trust.
- 2. AUM growth rate** (we look at both one-year and two-year growth rates) can be taken as a proxy for performance, asset retention and ability to generate new business.
- 3. Years of experience** indicates experience managing assets in different economic and interest-rate environments.
- 4. Compliance record** provides evidence of past client disputes. A

string of complaints could signal problems.

- 5. Industry certifications** (CFA, CFP, etc) demonstrate technical and industry knowledge and obtaining these designations shows a professional commitment to investment skills.
- 6. Online accessibility** illustrates commitment to providing investors with easy access and transparent contact information.

Assets under management accounted for an average of 66 per cent of each adviser's score. Additionally, the FT places a cap on

the number of advisers from any one state that roughly corresponds 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 research was conducted on behalf of the Financial Times by Ignites Research, a Financial Times sister publication.