

Top Financial Advisers The FT ⁻

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

| | present the leading US professionals, listed by state, and p ts with \$1m-\$10m in investable assets), **Ultra high net worth (clients v | | restat | ole as | ment |) s |
|---|---|--|---|---|---|---|
| B ALABAMA Roberts, Jeff ARIZONA Bancroft, Robert J. Harnden, Stephen P. | Ameriprise Financial Morgan Stanley Private Wealth Management Ameriprise Financial | Birmingham Scottsdale Peoria | Retail | HNW* × × | Ultra-HNW** | Institutional |
| Tocco, Judith A. CALIFORNIA Abrams, Michael L. Antoniotti, Jeff D. Arbogast, Peter V. Blanchfield, Tom | Tocco Financial Services / LPL Financial Wells Fargo Advisors Morgan Stanley Wealth Management Merrill Lynch – Private Banking & Investment Group Merrill Lynch – Private Banking & Investment Group | Tucson Palo Alto Westlake Village San Francisco Newport Beach | ✓ ✓ | ✓ ✓ ✓ ✓ | * * * * | ×< |
| Bubb, Kerrick W. Burbank, Mike Chiate, Craig S. Choi, Horacio A. Corradini, Drew Curtis, Mark T. daRoza, Tony Fagersten, Marcus C. | KWB Wealth Managers Group / LPL Financial Morgan Stanley Private Wealth Management UBS Financial Services Wells Fargo Advisors J.P. Morgan Securities Graystone Consulting Merrill Lynch – Private Banking & Investment Group UBS Financial Services | Redlands San Francisco Los Angeles Irvine San Francisco Palo Alto San Francisco San Francisco | | ✓ ✓ ✓ ✓ ✓ | < | < < < < < |
| Genovese, Michael T. Gluck, Tracey Goldstein, Adam S. Griepp, Troy Guimarin, Alma Hafeli, Scott Hogan, Richard Jones, Richard B. | Genovese Burford & Brothers J.P. Morgan Securities Ameriprise Financial Morgan Stanley Private Wealth Management Morgan Stanley Wealth Management Morgan Stanley Private Wealth Management Merrill Lynch – Private Banking & Investment Group Merrill Lynch – Private Banking & Investment Group | Sacramento Los Angeles Calabasas San Francisco San Jose San Francisco San Francisco Los Angeles | ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | < | < < < |
| Jorgensen, Debbie Kelly, Inna Lee, Grant Malone III, Francis X. McClellan, Ryan A. McDonald, Karen Milia, John Morgan, Mark S. | Merrill Lynch Wealth Management Morgan Stanley Wealth Management Morgan Stanley Private Wealth Management Morgan Stanley Private Wealth Management UBS Financial Services Morgan Stanley Wealth Management Wells Fargo Advisors Morgan Stanley Wealth Management | San Francisco San Francisco San Francisco Los Angeles Los Angeles Palo Alto Irvine Folsom | ✓ | < | < | < < < < < < < < < < < < < < < < < < < |
| Munster, Bruce Neuhaus, Jon Onken, Greg Osborne, Dan R. Papadoyannis, George Pfefferman, Darren A. Piepenkotter, Monica M. | Merrill Lynch – Private Banking & Investment Group Morgan Stanley Private Wealth Management J.P. Morgan Securities Merrill Lynch Wealth Management Ameriprise Financial Morgan Stanley Private Wealth Management Merrill Lynch – Private Banking & Investment Group | Los Angeles Los Angeles San Francisco San Francisco San Mateo San Diego La Jolla | ✓ ✓ | * *< | * *< | × × × |
| Reid, Gail D. Reilly, Sean M. Schulten, Mark Schwarz, Donald L. Shadden, John Smit, Bernard L. Smith, Lawrence E. Traum, Jeffrey D. | Ameriprise Financial Merrill Lynch Wealth Management The Schulten Group of Wells Fargo Advisors RBC Wealth Management Morgan Stanley Private Wealth Management Walnut Creek Wealth Management / Cetera Advisor Networks UBS Financial Services Morgan Stanley Private Wealth Management | Glendale San Francisco Long Beach Beverly Hills Long Beach Walnut Creek Brea Menlo Park | ✓ ✓ ✓ | < | ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ | < < < < < < |
| Vaughan, Gregory V. Wacker, Roger Walsh, Daniel T. Walters, Philip S. Waxman, Scott Whitman, Alan B. Wolfslau, Karl W. Wong, Benjamin W. | Morgan Stanley Private Wealth Management UBS Financial Services Merrill Lynch Wealth Management Wells Fargo Advisors Morgan Stanley Private Wealth Management Morgan Stanley Wealth Management Morgan Stanley Wealth Management Viewpoint Financial Network | Menlo Park Los Angeles Menlo Park Beverly Hills San Francisco Pasadena Long Beach Pleasanton | ✓ ✓ ✓ | × * * * * * | < | < < < < < < < < < < < < < < < < < < < |
| Young, Cheryl L. Yu, Gillian Yu, Sean Zafari, Reza Zanolli, Greg COLORADO Brown, Mark R. | Morgan Stanley Wealth Management Morgan Stanley Private Wealth Management Morgan Stanley Private Wealth Management Merrill Lynch – Private Banking & Investment Group Wells Fargo Advisors Brown & Tedstrom, Inc. / LPL Financial | Los Gatos San Francisco Pasadena Los Angeles Roseville Denver | | × × × | ✓ | < < < |
| Sparks, Scott G. CONNECTICUT Anger, Nicholas Cerniglia, Jason Chieco, Peter Daoud, Nancy S. | Sparks Financial Northwestern Mutual Wealth Mgmt. Co. RBC Wealth Management Ameriprise Financial Morgan Stanley Wealth Management Ameriprise Financial | Denver Stamford Mystic Greenwich Oxford | ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ | * |
| Dolgins, Ivan Goodwin, Richard T. Gourd, William C. Jacobsen, Teresa A. Jones, Mark R. Koeckert, Dodd N. Mantione, Thomas Noble III, Charles J. | Merrill Lynch Wealth Management Merrill Lynch Wealth Management UBS Financial Services UBS Financial Services Ameriprise Financial RBC Wealth Management UBS Financial Services Janney Montgomery Scott LLC | Stamford Madison Stamford Stamford Middlebury Stamford Stamford New Haven | ✓ ✓ ✓ | < | < | X |
| Vacheron, Thomas E. Wunder, Matthew S. DELAWARE Orth, Kimberlee M. DISTRICT OF COLUMBIA Apton, Keith | Merrill Lynch Wealth Management Wunder Financial Northwestern Mutual Wealth Mgmt. Co. Ameriprise Financial UBS Financial Services | Fairfield Westport Wilmington Washington | ✓ ✓ | ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ | < × |
| Carter, Murray Haffner, Barry M. FLORIDA Barcena, Ignacio A. Bober, Michael Boyce, Hank Bunge, Marcos G. | Janney Montgomery Scott LLC UBS Financial Services Wells Fargo Advisors UBS Financial Services UBS Financial Services Wells Fargo Advisors | Washington Washington Miami Boca Raton Aventura Miami | | ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ | |
| DeLappe, John M. Dwyer, Patrick J. Economacos, Pierre Edwards, Robert T. Esses, Tony Hoyt, William B. Merriam III, William H. Moran, Thomas | Alex. Brown / Raymond James Merrill Lynch – Private Banking & Investment Group Alex. Brown / Raymond James Wells Fargo Advisors Wells Fargo Advisors Raymond James Merrill Lynch Wealth Management Wells Fargo Advisors | Miami Miami Naples Miami St. Petersburg Jacksonville Naples | ✓ ✓ ✓ | < | < | < < < < < < < < < < < < < < < < < < < |
| Pollock, Gregory Silver, Michael J. Simmons, Keith F. Starner, Margaret C. Sylvia, Kurt F. Thompson, Mark G. Valdes, Michael J. Ventrice, Ed | Merrill Lynch Wealth Management Baron Silver Stevens Financial Advisors, LLC Merrill Lynch Wealth Management Raymond James J.P. Morgan Securities Raymond James Merrill Lynch – Private Banking & Investment Group UBS Financial Services | Rockledge Boca Raton Miami Coral Gables Palm Beach Gardens Melbourne Tampa Boca Raton | ✓ ✓ ✓ | < | < | < < < < < |
| Wood, Paul S. GEORGIA Hansberger, James C. Harbour, Andrew Jenkins, Brian G. Lauer, Leslie A. Mericka, Keith A. | Raymond James Morgan Stanley Private Wealth Management Graystone Consulting J.P. Morgan Securities UBS Financial Services UBS Financial Services | Orlando Atlanta Atlanta Atlanta Atlanta Atlanta | × | * * * * * | ✓ ✓ ✓ ✓ ✓ ✓ ✓ | < < < < |
| Price, Vandyke G. Westmoreland, Rod Wiley, Buck ILLINOIS Cutilletta, Patricia G. Desai, Ajay Garrity, Christopher | UBS Financial Services Merrill Lynch – Private Banking & Investment Group Merrill Lynch – Private Banking & Investment Group Morgan Stanley Wealth Management UBS Financial Services Merrill Lynch Wealth Management | Atlanta Atlanta Atlanta Chicago Chicago Northbrook | | × × × × × × × | * * * * | |
| Griffo, Andrew D. Hammond III, John L. Held, Richard M. Lee, Bruce K. Leshem, Benjamin Lynch, Kevin R. Magnesen, Scott K. | Morgan Stanley Wealth Management Merrill Lynch Wealth Management UBS Financial Services Merrill Lynch – Private Banking & Investment Group Wells Fargo Advisors Morgan Stanley Private Wealth Management Morgan Stanley Wealth Management | Chicago Northbrook Chicago Chicago Highland Park Chicago Oak Brook | ✓ | < | < | × × × × |
| Maltby, Jay Meyer, Douglas L. Oberlander, Sharon Sakach, Michael Schuster, Scott Spahn, Kevin M. Stevenson, Jr., John G. Watson, Philip J. White, Brett D. | UBS Financial Services Wells Fargo Advisors Merrill Lynch Wealth Management Graystone Consulting Dashboard Wealth Advisors / Raymond James Spahn Financial Northwestern Mutual Wealth Mgmt. Co. Wells Fargo Advisors Ameriprise Financial Ameriprise Financial | Chicago Deerfield Chicago Oak Brook Lombard Quincy Downers Grove Oakbrook Terrace | ✓ ✓ ✓ ✓ ✓ ✓ ✓ | < | < | < < < < < < |
| White, Brett D. INDIANA Cooke, Brian F. Cooke, Christopher Gregor, Martin Moore, Christopher P. Payne, Eric Perkins, Ryan N. | Ameriprise Financial Cooke Financial Group at Noyes Cooke Financial Group at Noyes Merrill Lynch – Private Banking & Investment Group Ameriprise Financial Merrill Lynch Wealth Management Ameriprise Financial | Oakbrook Terrace Indianapolis Indianapolis Indianapolis Fort Wayne Indianapolis Fort Wayne | × | × × × × × × × × × | < | < < < < |
| Perkins, Ryan N. Schutz, John L. Stscherban, Paul IOWA Brandt, Jeffrey W. Swanson, Keith K. | | | ✓ ✓ ✓ ✓ | < | ✓ ✓ ✓ ✓ | < < < < |
| KANSAS Barry, Don Ewing, Paul W. Ferguson, Scott KENTUCKY Perrone, Thomas | Baird Prosperity Advisory Group / Cetera Advisors Morgan Stanley Wealth Management Morgan Stanley Wealth Management | Wichita Overland Park Leawood Louisville | ✓ ✓ ✓ ✓ | ✓ ✓ ✓ | ✓ ✓ ✓ | |
| LOUISIANA Eustis, Curtis D. Frayard, Rick Spiro, James M. MARYLAND Baker, Gregory Baum, Patricia P. | Merrill Lynch Wealth Management UBS Financial Services Morgan Stanley Wealth Management Merrill Lynch Wealth Management RBC Wealth Management | New Orleans Lafayette New Orleans Bethesda Annapolis | * * * | * * * * | * * * * | < < < |
| Etergino, Ann Marie Giulieri, David L. Goldstein, Stephen M. Jackson, Margaret M. Keetley, Richard A. Lee, Thomas P. Murray, Jonathan P. Pearce, Kent V. | RBC Wealth Management Morgan Stanley Wealth Management Janney Montgomery Scott LLC RBC Wealth Management Janney Montgomery Scott LLC Lee, Sipe and Associates / Raymond James UBS Financial Services Merrill Lynch Wealth Management | Chevy Chase Bethesda Baltimore Annapolis Baltimore Rockville Hunt Valley Towson | ✓ ✓ ✓ ✓ | < | < | < < < < < < |
| Sella, Edward Geoffrey MASSACHUSETTS Bartholomew, Thomas J. Brede, Debra K. Fucigna, James Gage, Douglas Javaheri, David R. | SPC Financial, Inc. / Raymond James Bartholomew & Company, Inc. D.K. Brede Investment Management Co., Inc. Morgan Stanley Wealth Management Ameriprise Financial Morgan Stanley Wealth Management | Rockville Worcester Needham Boston Auburndale Wellesley | ✓ ✓ ✓ ✓ | × × × × × | · · · | |
| Joyce, Mark S. Lechner IV, John Levsky, Adrian McCauley, Paul J. McGuirk, Gary L. Miller, Richard R. Mullin, Mary B. | Merrill Lynch Wealth Management Morgan Stanley Private Wealth Management UBS Financial Services Merrill Lynch – Private Banking & Investment Group Merrill Lynch – Private Banking & Investment Group Ameriprise Financial Merrill Lynch Wealth Management | Boston Boston Springfield Boston Wellesley Boston | × × | * * * * * | < | • • |
| Noonan, Peter C. Princi, Peter Sharma, Raj Sugar, Alex Wilson, Daniel T. MICHIGAN Ferhadson, Kevin T. | J.P. Morgan Securities Graystone Consulting Merrill Lynch – Private Banking & Investment Group RBC Wealth Management Ameriprise Financial | Boston Boston Boston Auburndale Troy | ✓ ✓ ✓ ✓ | < | < | |
| Grace, Jamie Long, Timothy J. Migliazzo, Frank Rosloniec, Michael Vigi, Jon Wyman, Timothy W. MINNESOTA | The Grace Group of Wells Fargo Advisors Merrill Lynch Wealth Management Merrill Lynch – Private Banking & Investment Group Graystone Consulting UBS Financial Services Center for Financial Planning, Inc. / Raymond James | Jackson Grand Rapids Troy Grand Rapids Birmingham Southfield | × | * * * * | ✓ ✓ | * * * * |
| Baune, Brad Close, Louis D. Doroff, Randy G. Eckerline, Peter Ehleringer, Randall D. Endersbe, Thomas A. Howe, Aaron M. Major, Charles L. | Baune Financial Northwestern Mutual Wealth Mgmt. Co. UBS Financial Services Ameriprise Financial Merrill Lynch Wealth Management Ameriprise Financial Signature Wealth Management RBC Wealth Management UBS Financial Services | Mendota Heights Minneapolis St. Louis Park Wayzata Rochester Duluth Wayzata Minneapolis | × × × × | × × × × × × × × × | × × × × × × × × | |
| Metcalf, Robert S. Neuman, Rhett P. Slaggie, Michael MISSISSIPPI Minor, Douglas M. Mosby, Bill (Rush) | UBS Financial Services RBC Wealth Management Slaggie Capital Group / Raymond James Raymond James UBS Financial Services | Minneapolis Stillwater Winona Jackson Jackson | ✓ ✓ ✓ | * * * | * * * * | < < < < < |
| MISSOURI Burke, Thomas Millner, Robert Murray, Seth C. Underwood, Scott P. NEBRASKA Harrison, Tim | Ameriprise Financial Morgan Stanley Wealth Management Ameriprise Financial Socium Advisors Northwestern Mutual Wealth Mgmt. Co. Harrison Financial Services Northwestern Mutual Wealth Mgmt. Co. | Chesterfield Clayton Springfield St. Louis Omaha | ✓ ✓ ✓ ✓ | × × × × | * * * * | < < < < |
| Jacobitz, Andy J. Robinson, Andrew NEVADA Lee, Geoffrey B. NEW JERSEY Andreach, Christopher M. | RBC Wealth Management Ameriprise Financial RBC Wealth Management | Omaha Omaha Henderson Red Bank | ✓ ✓ ✓ | × × × | × × × | < < < < < |
| Burke, John B. Deatherage, Mary M. Durso, Lawrence Fendrick, Mark Kugel, Elliott Maltese, James Matina, Joseph | Burke Financial / Raymond James Morgan Stanley Private Wealth Management Morgan Stanley Wealth Management UBS Financial Services Merrill Lynch Wealth Management UBS Financial Services | Iselin Little Falls Red Bank Mt. Laurel Bridgewater Iselin Short Hills | * * * * | < | * * * * * | * |
| McGinley, Christine McLaughlin, James M. McPeak, Neil P. Ricca, Michael J. Riley, Jack R. Schwartz, Andy M. Stern, Michael S. Udine, Richard D. | UBS Financial Services Princeton Wealth Advisors of Raymond James McPeak Wealth Management Group of Wells Fargo Advisors Morgan Stanley Wealth Management UBS Financial Services Bleakley Financial Group / LPL Financial Wells Fargo Advisors Morgan Stanley Wealth Management | Mt. Laurel Princeton Linwood Florham Park Warren Fairfield Vineland Mt. Laurel | ✓ ✓ ✓ ✓ ✓ | < | < | < < < < < < < < < < < < < < < < < < < |
| Weinerman, David S. NEW YORK Bakshi, Vishal Barrett, John C. Beyer, David Bickler, Eric A. Bieber, David | Morgan Stanley Wealth Management Merrill Lynch – Private Banking & Investment Group Merrill Lynch Wealth Management Morgan Stanley Wealth Management UBS Financial Services Morgan Stanley Private Wealth Management | Florham Park New York New York New York White Plains New York | × × | < | < | < < < < < < |
| Bodner, Eric S. Borowsky, Peter N. Braff, Douglas P. Bryan, Jeffrey M. Burrows, Bruce A. Canell, Jay Canell, Neil Cannelaro, Louis S. | Merrill Lynch – Private Banking & Investment Group UBS Financial Services UBS Financial Services Merrill Lynch – Private Banking & Investment Group Morgan Stanley Wealth Management J.P. Morgan Securities J.P. Morgan Securities Cannataro Park Avenue Financial Northwestern Mutual Wealth Mgmt. Co. | New York New York New York Garden City New York New York New York | × × × × | * * * * * * | < | |
| Carter, Kenneth W. Chrys, Michael C. Cohen, Leigh Cohen, Robert D. Coyle III, John F. Cuneo, Paul L. Detterick, Jim DiScala, Todd | Wells Fargo Advisors Merrill Lynch Wealth Management Merrill Lynch – Private Banking & Investment Group UBS Financial Services Morgan Stanley Private Wealth Management Merrill Lynch Wealth Management Graystone Consulting Merrill Lynch Wealth Management | New City Latham New York Garden City Great Neck New York New York | ✓ ✓ ✓ ✓ | * * * * * | < | < < < < < < |
| Dyer, Robert C. Epstein, Adam F. Ferreira, Artur Gero, George Gully, Joshua P. Halbfinger, Martin L. Hart, Andrew Karetsky, Marc | Merrill Lynch – Private Banking & Investment Group UBS Financial Services UBS Financial Services RBC Wealth Management Morgan Stanley Private Wealth Management UBS Financial Services Morgan Stanley Private Wealth Management Morgan Stanley Private Wealth Management | New York New York New York New York New York New York New York | ✓ ✓ | * * * * * | * * * * * * * * * * * * * * * * * * * | * |
| Kass, Jonathan Katz, Jason M. Kavallieratos, Nick Kelton, Richard W. Kilduff, Sean T. Kokubo, Sergio S. Kolev, Bobby Kraus, Andrew P. | Merrill Lynch Wealth Management UBS Financial Services Morgan Stanley Wealth Management The Kelton Financial Group Northwestern Mutual Wealth Mgmt. Co. UBS Financial Services UBS Financial Services Morgan Stanley Wealth Management Merrill Lynch – Private Banking & Investment Group | New York New York Latham New York New York New York New York | ✓ ✓ ✓ | * * * * * | * * * * * * * * * * * * * * * * * * * | < < < < |
| Kuttin, Jonathan Liebers, Lawrence C. Malkin, Joshua D. McGinty, Robert J. Mellert, Douglas M. Millman, Ira M. Mitchell, Neil S. Montaperto, Deborah D. | Ameriprise Financial Merrill Lynch Wealth Management Morgan Stanley Private Wealth Management Merrill Lynch – Private Banking & Investment Group Merrill Lynch Wealth Management Morgan Stanley Wealth Management Morgan Stanley Private Wealth Management | Melville New York New York New York New York New York New York | ✓ | * * * * * | ✓ ✓ | < < < < < < < < < < < < < < < < < < < |
| Myers, Jonathon L. Newman, William J. O'Connell, Daniel T. Papandrea, Rocco Pell, Geri E. Perkins, Howard Peters, Kevin M. Poppo, Michael F. | Ameriprise Financial Northwestern Mutual Wealth Mgmt. Co. Merrill Lynch Wealth Management Merrill Lynch Wealth Management Ameriprise Financial Morgan Stanley Wealth Management UBS Financial Services | Vestal Albany Garden City New York Rye Brook Purchase Purchase New York | ✓ ✓ ✓ ✓ | < | < | < < < < < < |
| Rabito, Russell A. Reali, Renato J. Rosenthal, Peter W. Saunders, Allen Sax, Ben Schoff, William L. Schubach, Clark Schwartz, Daniel | UBS Financial Services UBS Financial Services UBS Financial Services UBS Financial Services Merrill Lynch – Private Banking & Investment Group UBS Financial Services J.P. Morgan Securities UBS Financial Services | New York New York Jericho New York Rochester New York New York | ✓ ✓ | < | * * * * * * | |
| Serure, Theodore Stackman, Scott Sukhin, Andrew G. Sullivan, Thomas E. Temel, Charles S. Tennant, Steven A. Trikha, Umesh K. Waldele, Robert J. | J.P. Morgan Securities UBS Financial Services Morgan Stanley Wealth Management Merrill Lynch Wealth Management UBS Financial Services Tennant Financial Northwestern Mutual Wealth Mgmt. Co. Merrill Lynch Wealth Management Merrill Lynch Wealth Management | New York New York Garden City New York Ballston Lake New York New York | × × × | × ×< | × × × × × × × × × | < < < < < < |
| Weil, Noel Winik, Jeffrey Zeller, Mark Zipper, Adam J. NORTH CAROLINA Cash, Gregory M. Graves, Kelly | Merrill Lynch – Private Banking & Investment Group Morgan Stanley Wealth Management UBS Financial Services J.P. Morgan Securities Merrill Lynch – Private Banking & Investment Group Carroll Financial / Cetera Advisor Networks | New York New York New York New York Charlotte Charlotte | ✓ ✓ ✓ | * * * * | * * * * | < < |
| Hoge, Brett W. Rakestraw, David W. Wickham, R. Mitchell NORTH DAKOTA Melvie, Loren D. | BB&T Scott & Stringfellow BB&T Scott & Stringfellow Merrill Lynch – Private Banking & Investment Group Ameriprise Financial | Winston-Salem Raleigh Charlotte Bismarck | ✓ ✓ | ✓ ✓ ✓ | ✓ ✓ ✓ | < < < |
| Carbetta, Paul C. Carver, Randy Chornyak, Jr., Joseph A. Chornyak, Sr., Joseph A. Ellis III, David W. Fish, Stephen J. Holwadel, David K. Mauk, Robert A. | Ameriprise Financial Carver Financial Services / Raymond James Chornyak & Associates, Ltd. Chornyak & Associates, Ltd. UBS Financial Services UBS Financial Services Raymond James Chornyak & Associates, Ltd. | Worthington Mentor Columbus Columbus Cincinnati Cincinnati Cincinnati Columbus | ✓ ✓< | < | < | |
| Motta, Peter F. Musser, Joseph M. Myeroff, Kevin Shendure, Ashok S. Shendure, Rajanee A. Singer, David L. Torbeck, Daniel L. | Merrill Lynch – Private Banking & Investment Group Ameriprise Financial NCA Financial Planners BDS Financial Network BDS Financial Network Merrill Lynch – Private Banking & Investment Group UBS Financial Services | Columbus Canton Cleveland Solon Solon Cincinnati Cincinnati | ✓ ✓ ✓ ✓ | < | * * * * | |
| OKLAHOMA Brock, Brandt T. OREGON Gall, J. Charles Kilkenny Hale, Kelly PENNSYLVANIA | Ameriprise Financial RBC Wealth Management RBC Wealth Management | Tulsa Portland Portland | * * * | * * * | * | < < < |
| Brennan, Patricia C. Jugan, AJ Kron, David J. Parker, Sr., John J. Petredis, Charles J. Rimmel, James W. Rohr, Peter A. Salmansohn, Eric | Key Financial, Inc. Ameriprise Financial Kron & Polis Financial Group of Wells Fargo Advisors Wells Fargo Advisors Petredis Investment Advisors of Wells Fargo Advisors UBS Financial Services Merrill Lynch – Private Banking & Investment Group | West Chester Pittsburgh Philadelphia Philadelphia Sewickley Pittsburgh Philadelphia | × × × × × | * * * * * | × × × × × × × | < < < < < < |
| Sargent, Peter H. Spanos, Samuel W. Wilding, James SOUTH CAROLINA Vingi, Jr., Robert E. | Morgan Stanley Wealth Management Janney Montgomery Scott LLC Raymond James Confluence Financial Partners / Raymond James Wells Fargo Advisors | Philadelphia Yardley Beaver Pittsburgh Charleston | ✓ ✓ ✓ | ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ | × × × |
| SOUTH DAKOTA Hillard, David T. Nelson, Todd Quello, Nathan S. Wollman, Gordon TENNESSEE Mayer, Ward | RBC Wealth Management Merrill Lynch Wealth Management Loft Advisors / Raymond James Cornerstone Financial Solutions, Inc. / Raymond James | Rapid City Sioux Falls Sioux Falls Huron Memphis | * * * * | * * * * | * * * * | X |
| Oakley, Samuel H. Roberson, Tim Smith, Trey Stein, Michael E. Williams, Jay W. TEXAS Acerra, Guy M. Ardoyno, Matt (Toby) | Raymond James / Pinnacle Asset Management Merrill Lynch Wealth Management SunTrust Investment Services, Inc. Wells Fargo Advisors UBS Financial Services Ameriprise Financial Merrill Lynch Wealth Management | Nashville Brentwood Nashville Memphis Memphis San Antonio Fort Worth | ✓ ✓ ✓ | < | ✓ ✓ ✓ ✓ ✓ ✓ | × × × |
| Ashcroft, Richard W. Barnes, David R. Begay, Audree L. Clements, Kevin M. Coffee, Jr., James L. Dickey, Kevin T. Duncan, Sharon B. | Baird UBS Financial Services Ameriprise Financial Morgan Stanley Wealth Management Merrill Lynch Wealth Management Morgan Stanley Private Wealth Management Selah Financial Services | Fort Worth Houston Dallas Houston Dallas Houston Dallas Friendswood San Antonio | ✓ ✓ ✓ ✓ ✓ | < | < | < < < < |
| Dziuk, Steve Elias, Mark S. Gladstein, Mark B. Harrell, Bob Heuer, Susan Johri, Anupam (AJ) Klenke, Allan J. Knox, Kerry Leonard. Brvan A. | Ameriprise Financial UBS Financial Services Merrill Lynch Wealth Management Harrell Investment Partners of Raymond James Merrill Lynch Wealth Management UBS Financial Services Merrill Lynch Wealth Management Merrill Lynch Wealth Management | Houston Houston Austin Houston Dallas Houston Fort Worth | × | < | * * * * * * | X |
| Leonard, Bryan A. Lorch, Howard S. McBride, Tommy McIntire, Thomas R. McIntyre Fields, Charla K. Messick, Chris Muldoon, Kathleen Nagel, Steve M. Paulson Richard P. | Merrill Lynch Wealth Management The Lorch Group of Wells Fargo Advisors Merrill Lynch Wealth Management Cadent Capital, LLC / Raymond James Ameriprise Financial Messick, Peacock & Associates Northwestern Mutual Wealth Mgmt. Co. Carter Financial Management / Raymond James Merrill Lynch Wealth Management Raymond James | Houston Houston Dallas Dallas Hurst Dallas Frisco Houston | ✓ ✓ ✓ | * * * * * * | < | X |
| Paulson, Richard P. Pearcy, Van M. Pennington, Darrell R. Peterson, Donald S. Piatas, Richard W. Schroeder, Ralph J. Uptegraph, Jr., Don S. Utter, Gail W. | Raymond James Van Pearcy's Wealth Services / Raymond James Ameriprise Financial UBS Financial Services Merrill Lynch Wealth Management Ameriprise Financial Morgan Stanley Wealth Management Utter Wealth Management Group of Wells Fargo Advisors | Houston Midland Houston Dallas Frisco The Woodlands Houston Sherman | ✓ ✓ ✓ | < | < | × × |
| Vicknair, Nestor J. Wood, Jr., F. Michael VIRGINIA Beatty, Bryan D. Cassaday, Stephan Caudron, Tristan M. Gill, John A. | Merrill Lynch Wealth Management Merrill Lynch – Private Banking & Investment Group Voya Financial Advisors Cassaday & Company, Inc. Wells Fargo Advisors BB&T Scott & Stringfellow | Houston San Antonio Vienna McLean Alexandria Virginia Beach | ✓ ✓ ✓ ✓ | * | ✓ ✓ ✓ ✓ ✓ ✓ | |
| Gill, John A. Hamilton, Simon R. Kim, Soo (Susan) Krell, Christopher Mahler, George (Carl) Montgomery, Joe W. Salomon, Dalal Maria Smith, Gregory S. Sprowls, Ryan C. | BB&T Scott & Stringtellow Baird Ameriprise Financial Cassaday & Company, Inc. The Pinnacle Group / Raymond James The Optimal Service Group of Wells Fargo Advisors Salomon & Ludwin, LLC Baird Sprowls, Key & Romano Wealth Management Group of Wells Fargo Advisors | Virginia Beach Reston Vienna McLean Midlothian Williamsburg Richmond Reston Alexandria | ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ | < | ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ | < < < < < < < |
| Sprowls, Ryan C. WASHINGTON Braun, Dean Conti, Edward A. Elliott, Patrick D. Jackson, Paul W. Matthews, Michael S. Ried, Paul R. | Sprowls, Key & Romano Wealth Management Group of Wells Fargo Advisors Morgan Stanley Private Wealth Management Ameriprise Financial RBC Wealth Management Morgan Stanley Wealth Management UBS Financial Services Paul R. Ried Financial Group, LLC / Cetera Advisor Networks | Alexandria Seattle Bellevue Bainbridge Island Bellevue Bellevue Bellevue | ✓ ✓ ✓ ✓ ✓ ✓ ✓ | × | ✓ ✓ ✓ ✓ ✓ | < < |
| Ried, Paul R. West, Lowry WEST VIRGINIA Houchins, David L. WISCONSIN Burish, Andrew D. Calvelli, Chris | Paul R. Ried Financial Group, LLC / Cetera Advisor Networks Morgan Stanley Private Wealth Management BB&T Scott & Stringfellow UBS Financial Services Baird | Bellevue Seattle Charleston Madison Milwaukee | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ | < < |
| DeFrance, Ed Fries, Timothy M. Heckmann, Matthew M. Klein, Michael G. Klenke, David Kowal, Jeffrey | Baird Baird Fries Financial Group / Raymond James Heckmann Financial Northwestern Mutual Wealth Mgmt. Co. Baird Baird Kowal Investment Group, LLC / Raymond James ts with \$1m-\$10m in investable assets), **Ultra high net worth (clients v | Milwaukee Chippewa Falls Middleton Milwaukee Milwaukee Waukesha | ✓ ✓ | ✓ ✓ ✓ | * * * * * | * * |
| Methodology | | | | | - | |

With the Financial Times 400, we aim to provide a snapshot of the best financial advisers for the investors who use them - such as FT readers. We assess advisers based on what investor care about, and we use a quantifiable, objective

methodology. The Financial Times and Ignites Research, the FT's sister company, contacted the largest US brokerages in autumn 2017 to obtain practice information and data for their top advisers across the US. This resulted in verified data on assets under management instead of relying on advisers' self-reported figures.

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 880 — 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. The factors were: **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 designa tions shows a professional commitment to investment skills.

6. Online accessibility illustrates commitment to providing investors with easy access and transparent contact

information.

Among the top factors in our scoring, assets under management accounted for an average of 70 per cent of each adviser's score. Also, AUM growth rate

accounted for an average of 17 per cent. 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.