

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	Client segments served			
			Retail	HNW*	Ultra-HNW**	Institutional
ALABAMA						
Roberts, Jeff	Ameriprise Financial	Birmingham	✓	✓	✓	✓
ARIZONA						
Bancroft, Robert J.	Morgan Stanley Private Wealth Management	Scottsdale		✓	✓	
Harnden, Stephen P.	Ameriprise Financial	Peoria	✓	✓	✓	✓
Tocco, Judith A.	Tocco Financial Services / LPL Financial	Tucson	✓	✓		✓
CALIFORNIA						
Abrams, Michael L.	Wells Fargo Advisors	Palo Alto		✓	✓	✓
Antoniotti, Jeff D.	Morgan Stanley Wealth Management	Westlake Village	✓	✓	✓	✓
Arbogast, Peter V.	Merrill Lynch – Private Banking & Investment Group	San Francisco			✓	
Blanchfield, Tom	Merrill Lynch – Private Banking & Investment Group	Newport Beach		✓	✓	
Bubb, Kerrick W.	KWB Wealth Managers Group / LPL Financial	Redlands	✓	✓	✓	✓
Burbank, Mike	Morgan Stanley Private Wealth Management	San Francisco		✓	✓	
Chiate, Craig S.	UBS Financial Services	Los Angeles			✓	✓
Choi, Horacio A.	Wells Fargo Advisors	Irvine		✓	✓	✓
Corradini, Drew	J.P. Morgan Securities	San Francisco		✓	✓	✓
Curtis, Mark T.	Graystone Consulting	Palo Alto	✓	✓	✓	✓
daRozza, Tony	Merrill Lynch – Private Banking & Investment Group	San Francisco		✓		
Fagersten, Marcus C.	UBS Financial Services	San Francisco		✓	✓	✓
Genovese, Michael T.	Genovese Burford & Brothers	Sacramento	✓	✓	✓	✓
Gluck, Tracey	J.P. Morgan Securities	Los Angeles		✓	✓	✓
Goldstein, Adam S.	Ameriprise Financial	Calabasas	✓	✓	✓	
Griepp, Troy	Morgan Stanley Private Wealth Management	San Francisco		✓	✓	✓
Guimarin, Alma	Morgan Stanley Wealth Management	San Jose	✓	✓		
Hafeli, Scott	Morgan Stanley Private Wealth Management	San Francisco			✓	
Hogan, Richard	Merrill Lynch – Private Banking & Investment Group	San Francisco		✓	✓	✓
Jones, Richard B.	Merrill Lynch – Private Banking & Investment Group	Los Angeles		✓	✓	✓
Jorgensen, Debbie	Merrill Lynch Wealth Management	San Francisco		✓	✓	✓
Kelly, Inna	Morgan Stanley Wealth Management	San Francisco		✓		
Lee, Grant	Morgan Stanley Private Wealth Management	San Francisco		✓	✓	✓
Malone III, Francis X.	Morgan Stanley Private Wealth Management	Los Angeles			✓	✓
McClellan, Ryan A.	UBS Financial Services	Los Angeles		✓	✓	✓
McDonald, Karen	Morgan Stanley Wealth Management	Palo Alto	✓	✓	✓	✓
Milia, John	Wells Fargo Advisors	Irvine		✓	✓	✓
Morgan, Mark S.	Morgan Stanley Wealth Management	Folsom		✓	✓	✓
Munster, Bruce	Merrill Lynch – Private Banking & Investment Group	Los Angeles		✓	✓	

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Neuhaus, Jon	Morgan Stanley Private Wealth Management	Los Angeles		✓		
Onken, Greg	J.P. Morgan Securities	San Francisco		✓	✓	✓
Osborne, Dan R.	Merrill Lynch Wealth Management	San Francisco		✓	✓	✓
Papadoyannis, George	Ameriprise Financial	San Mateo	✓	✓	✓	✓
Pfefferman, Darren A.	Morgan Stanley Private Wealth Management	San Diego		✓	✓	✓
Piepenkötter, Monica M.	Merrill Lynch – Private Banking & Investment Group	La Jolla		✓	✓	
Reid, Gail D.	Ameriprise Financial	Glendale	✓	✓	✓	✓
Reilly, Sean M.	Merrill Lynch Wealth Management	San Francisco		✓		
Schulten, Mark	The Schulten Group of Wells Fargo Advisors	Long Beach	✓	✓	✓	✓
Schwarz, Donald L.	RBC Wealth Management	Beverly Hills		✓	✓	
Shadden, John	Morgan Stanley Private Wealth Management	Long Beach		✓	✓	✓
Smit, Bernard L.	Walnut Creek Wealth Management / Cetera Advisor Networks	Walnut Creek		✓	✓	✓
Smith, Lawrence E.	UBS Financial Services	Brea	✓	✓	✓	✓
Traum, Jeffrey D.	Morgan Stanley Private Wealth Management	Menlo Park		✓	✓	✓
Vaughan, Gregory V.	Morgan Stanley Private Wealth Management	Menlo Park		✓		✓
Wacker, Roger	UBS Financial Services	Los Angeles		✓	✓	✓
Walsh, Daniel T.	Merrill Lynch Wealth Management	Menlo Park		✓	✓	
Walters, Philip S.	Wells Fargo Advisors	Beverly Hills		✓	✓	✓
Waxman, Scott	Morgan Stanley Private Wealth Management	San Francisco			✓	✓
Whitman, Alan B.	Morgan Stanley Wealth Management	Pasadena	✓	✓	✓	✓
Wolfslau, Karl W.	Morgan Stanley Wealth Management	Long Beach	✓	✓	✓	✓
Wong, Benjamin W.	Viewpoint Financial Network	Pleasanton	✓	✓		
Young, Cheryl L.	Morgan Stanley Wealth Management	Los Gatos		✓	✓	✓
Yu, Gillian	Morgan Stanley Private Wealth Management	San Francisco			✓	
Yu, Sean	Morgan Stanley Private Wealth Management	Pasadena		✓	✓	
Zafari, Reza	Merrill Lynch – Private Banking & Investment Group	Los Angeles			✓	✓
Zanolli, Greg	Wells Fargo Advisors	Roseville		✓	✓	✓
COLORADO						
Brown, Mark R.	Brown & Tiedstrom, Inc. / LPL Financial	Denver		✓	✓	
Sparks, Scott G.	Sparks Financial Northwestern Mutual Wealth Mgmt. Co.	Denver		✓	✓	✓
CONNECTICUT						
Anger, Nicholas	RBC Wealth Management	Stamford		✓	✓	✓
Cerniglia, Jason	Ameriprise Financial	Mystic	✓	✓	✓	
Chieco, Peter	Morgan Stanley Wealth Management	Greenwich		✓	✓	
Daoud, Nancy S.	Ameriprise Financial	Oxford		✓	✓	
*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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Dolgins, Ivan	Merrill Lynch Wealth Management	Stamford	✓	✓	✓	✓
Goodwin, Richard T.	Merrill Lynch Wealth Management	Madison	✓	✓	✓	
Gourd, William C.	UBS Financial Services	Stamford		✓	✓	✓
Jacobsen, Teresa A.	UBS Financial Services	Stamford		✓	✓	✓
Jones, Mark R.	Ameriprise Financial	Middlebury	✓	✓	✓	✓
Koeckert, Dodd N.	RBC Wealth Management	Stamford		✓	✓	✓
Mantione, Thomas	UBS Financial Services	Stamford		✓	✓	
Noble III, Charles J.	Janney Montgomery Scott LLC	New Haven		✓	✓	
Vacheron, Thomas E.	Merrill Lynch Wealth Management	Fairfield		✓	✓	
Wunder, Matthew S.	Wunder Financial Northwestern Mutual Wealth Mgmt. Co.	Westport	✓	✓	✓	✓
DELAWARE						
Orth, Kimberlee M.	Ameriprise Financial	Wilmington	✓	✓	✓	✓
DISTRICT OF COLUMBIA						
Apton, Keith	UBS Financial Services	Washington		✓	✓	✓
Carter, Murray	Janney Montgomery Scott LLC	Washington	✓	✓	✓	
Haffner, Barry M.	UBS Financial Services	Washington		✓	✓	
FLORIDA						
Barcena, Ignacio A.	Wells Fargo Advisors	Miami		✓	✓	
Bober, Michael	UBS Financial Services	Boca Raton		✓	✓	✓
Boyce, Hank	UBS Financial Services	Aventura			✓	
Bunge, Marcos G.	Wells Fargo Advisors	Miami		✓	✓	
DeLappe, John M.	Alex. Brown / Raymond James	Miami	✓	✓	✓	✓
Dwyer, Patrick J.	Merrill Lynch – Private Banking & Investment Group	Miami		✓	✓	
Economacos, Pierre	Alex. Brown / Raymond James	Miami	✓	✓	✓	✓
Edwards, Robert T.	Wells Fargo Advisors	Naples		✓	✓	✓
Esses, Tony	Wells Fargo Advisors	Miami		✓	✓	
Hoyt, William B.	Raymond James	St. Petersburg		✓	✓	✓
Merriam III, William H.	Merrill Lynch Wealth Management	Jacksonville	✓	✓	✓	✓
Moran, Thomas	Wells Fargo Advisors	Naples		✓	✓	✓
Pollock, Gregory	Merrill Lynch Wealth Management	Rockledge	✓	✓	✓	✓
Silver, Michael J.	Baron Silver Stevens Financial Advisors, LLC	Boca Raton		✓		
Simmons, Keith F.	Merrill Lynch Wealth Management	Miami	✓	✓	✓	✓
Starner, Margaret C.	Raymond James	Coral Gables		✓	✓	
Sylvia, Kurt F.	J.P. Morgan Securities	Palm Beach Gardens		✓	✓	✓
Thompson, Mark G.	Raymond James	Melbourne		✓	✓	
Valdes, Michael J.	Merrill Lynch – Private Banking & Investment Group	Tampa		✓	✓	✓
Ventrice, Ed	UBS Financial Services	Boca Raton		✓	✓	✓
Wood, Paul S.	Raymond James	Orlando	✓	✓	✓	✓
GEORGIA						
Hansberger, James C.	Morgan Stanley Private Wealth Management	Atlanta		✓	✓	✓
Harbour, Andrew	Graystone Consulting	Atlanta		✓	✓	✓
Jenkins, Brian G.	J.P. Morgan Securities	Atlanta		✓	✓	✓
Lauer, Leslie A.	UBS Financial Services	Atlanta		✓	✓	✓
Mericka, Keith A.	UBS Financial Services	Atlanta		✓		
Price, Vandyke G.	UBS Financial Services	Atlanta		✓	✓	✓
Westmoreland, Rod	Merrill Lynch – Private Banking & Investment Group	Atlanta		✓		
Wiley, Buck	Merrill Lynch – Private Banking & Investment Group	Atlanta		✓	✓	✓
ILLINOIS						
Cutiletta, Patricia G.	Morgan Stanley Wealth Management	Chicago		✓	✓	
Desai, Ajay	UBS Financial Services	Chicago		✓	✓	✓
Garrity, Christopher	Merrill Lynch Wealth Management	Northbrook		✓		
Griffo, Andrew D.	Morgan Stanley Wealth Management	Chicago	✓	✓	✓	✓
Hammond III, John L.	Merrill Lynch Wealth Management	Northbrook		✓		
Held, Richard M.	UBS Financial Services	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 Financial Services	Chicago		✓	✓	✓
Meyer, Douglas L.	Wells Fargo Advisors	Deerfield	✓	✓	✓	✓
Oberlander, Sharon	Merrill Lynch Wealth Management	Chicago		✓	✓	✓
Sakach, Michael	Graystone Consulting	Chicago			✓	
Schuster, Scott	Dashboard Wealth Advisors / Raymond James	Oak Brook	✓	✓	✓	✓
Spahn, Kevin M.	Spahn Financial Northwestern Mutual Wealth Mgmt. Co.	Lombard		✓	✓	
Stevenson, Jr., John G.	Wells Fargo Advisors	Quincy	✓	✓	✓	✓
Watson, Philip J.	Ameriprise Financial	Downers Grove	✓	✓	✓	
White, Brett D.	Ameriprise Financial	Oakbrook Terrace	✓	✓	✓	
INDIANA						
Cooke, Brian F.	Cooke Financial Group at Noyes	Indianapolis		✓	✓	✓
Cooke, Christopher	Cooke Financial Group at Noyes	Indianapolis		✓	✓	✓

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Gregor, Martin	Merrill Lynch – Private Banking & Investment Group	Indianapolis		✓	✓	✓
Moore, Christopher P.	Ameriprise Financial	Fort Wayne	✓	✓	✓	✓
Payne, Eric	Merrill Lynch Wealth Management	Indianapolis	✓	✓	✓	
Perkins, Ryan N.	Ameriprise Financial	Fort Wayne	✓	✓		✓
Schutz, John L.	Hillard Lyons	Evansville	✓	✓	✓	✓
Stscherban, Paul	Baird	Mishawaka	✓	✓	✓	✓
IOWA						
Brandt, Jeffrey W.	Ameriprise Financial	Fort Dodge	✓	✓	✓	✓
Swanson, Keith K.	Morgan Stanley Private Wealth Management	West Des Moines		✓	✓	✓
KANSAS						
Barry, Don	Baird	Wichita	✓	✓		✓
Ewing, Paul W.	Prosperity Advisory Group / Cetera Advisors	Overland Park	✓	✓	✓	✓
Ferguson, Scott	Morgan Stanley Wealth Management	Leawood	✓	✓	✓	
KENTUCKY						
Perrone, Thomas	Morgan Stanley Wealth Management	Louisville	✓	✓	✓	✓
LOUISIANA						
Eustis, Curtis D.	Merrill Lynch Wealth Management	New Orleans		✓	✓	✓
Frayard, Rick	UBS Financial Services	Lafayette	✓	✓	✓	✓
Spiro, James M.	Morgan Stanley Wealth Management	New Orleans	✓	✓	✓	✓
MARYLAND						
Baker, Gregory	Merrill Lynch Wealth Management	Bethesda		✓	✓	
Baum, Patricia P.	RBC Wealth Management	Annapolis	✓	✓	✓	✓
Etergino, Ann Marie	RBC Wealth Management	Chevy Chase	✓	✓	✓	✓
Giulieri, David L.	Morgan Stanley Wealth Management	Bethesda		✓		
Goldstein, Stephen M.	Janney Montgomery Scott LLC	Baltimore	✓	✓	✓	✓
Jackson, Margaret M.	RBC Wealth Management	Annapolis	✓	✓	✓	✓
Keetley, Richard A.	Janney Montgomery Scott LLC	Baltimore	✓	✓	✓	✓
Lee, Thomas P.	Lee, Sipe and Associates / Raymond James	Rockville		✓	✓	
Murray, Jonathan P.	UBS Financial Services	Hunt Valley		✓	✓	✓
Pearce, Kent V.	Merrill Lynch Wealth Management	Towson		✓	✓	✓
Sella, Edward Geoffrey	SPC Financial, Inc. / Raymond James	Rockville	✓	✓		
MASSACHUSETTS						
Bartholomew, Thomas J.	Bartholomew & Company, Inc.	Worcester	✓	✓	✓	✓
Brede, Debra K.	D.K. Brede Investment Management Co., Inc.	Needham	✓	✓	✓	✓
Fucigna, James	Morgan Stanley Wealth Management	Boston		✓	✓	✓
Gage, Douglas	Ameriprise Financial	Auburndale	✓	✓		
Javaheri, David R.	Morgan Stanley Wealth Management	Wellesley		✓	✓	✓
Joyce, Mark S.	Merrill Lynch Wealth Management	Boston		✓	✓	
Lechner IV, John	Morgan Stanley Private Wealth Management	Boston			✓	
Levsky, Adrian	UBS Financial Services	Springfield	✓	✓	✓	
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	✓	✓	✓	✓
Mullin, Mary B.	Merrill Lynch Wealth Management	Boston		✓	✓	
Noonan, Peter C.	J.P. Morgan Securities	Boston	✓	✓	✓	
Princi, Peter	Graystone Consulting	Boston		✓	✓	✓
Sharma, Raj	Merrill Lynch – Private Banking & Investment Group	Boston		✓	✓	✓
Sugar, Alex	RBC Wealth Management	Boston		✓	✓	✓
Wilson, Daniel T.	Ameriprise Financial	Auburndale	✓	✓	✓	✓
MICHIGAN						
Ferhadson, Kevin T.	Ameriprise Financial	Troy	✓	✓		✓
Grace, Jamie	The Grace Group of Wells Fargo Advisors	Jackson	✓	✓	✓	✓
Long, Timothy J.	Merrill Lynch Wealth Management	Grand Rapids		✓	✓	✓
Migliazzo, Frank	Merrill Lynch – Private Banking & Investment Group	Troy		✓		✓
Rosloniec, Michael	Graystone Consulting	Grand Rapids		✓	✓	✓
Vigi, Jon	UBS Financial Services	Birmingham		✓	✓	✓
Wyman, Timothy W.	Center for Financial Planning, Inc. / Raymond James	Southfield		✓	✓	
MINNESOTA						
Baune, Brad	Baune Financial Northwestern Mutual Wealth Mgmt. Co.	Mendota Heights	✓	✓	✓	✓
Close, Louis D.	UBS Financial Services	Minneapolis			✓	
Doroff, Randy G.	Ameriprise Financial	St. Louis Park	✓	✓		
Eckerline, Peter	Merrill Lynch Wealth Management	Wayzata		✓	✓	
Ehrlinger, Randall D.	Ameriprise Financial	Rochester	✓	✓		
Endersbe, Thomas A.	Signature Wealth Management	Duluth	✓	✓	✓	
Howe, Aaron M.	RBC Wealth Management	Wayzata			✓	
Major, Charles L.	UBS Financial Services	Minneapolis		✓	✓	
Metcalf, Robert S.	UBS Financial Services	Minneapolis			✓	✓
Neuman, Rhett P.	RBC Wealth Management	Stillwater		✓	✓	✓