

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra-HNW**	Institutional
Slaggie, Michael	Slaggie Capital Group / Raymond James	Winona	✓	✓	✓	✓
MISSISSIPPI						
Minor, Douglas M.	Raymond James	Jackson	✓	✓	✓	✓
Mosby, Bill (Rush)	UBS Financial Services	Jackson	✓	✓	✓	✓
MISSOURI						
Burke, Thomas	Ameriprise Financial	Chesterfield	✓	✓	✓	✓
Millner, Robert	Morgan Stanley Wealth Management	Clayton	✓	✓	✓	✓
Murray, Seth C.	Ameriprise Financial	Springfield	✓	✓	✓	✓
Underwood, Scott P.	Socium Advisors Northwestern Mutual Wealth Mgmt. Co.	St. Louis	✓	✓	✓	✓
NEBRASKA						
Harrison, Tim	Harrison Financial Services Northwestern Mutual Wealth Mgmt. Co.	Omaha	✓	✓	✓	✓
Jacobitz, Andy J.	RBC Wealth Management	Omaha	✓	✓	✓	✓
Robinson, Andrew	Morgan Stanley Wealth Management	Omaha	✓	✓	✓	✓
NEVADA						
Lee, Geoffrey B.	Ameriprise Financial	Henderson	✓	✓	✓	✓
NEW JERSEY						
Andreach, Christopher M.	RBC Wealth Management	Red Bank	✓	✓	✓	✓
Burke, John B.	Burke Financial / Raymond James	Iselin	✓	✓	✓	✓
Deatherage, Mary M.	Morgan Stanley Private Wealth Management	Little Falls	✓	✓	✓	✓
Durso, Lawrence	Morgan Stanley Wealth Management	Red Bank	✓	✓	✓	✓
Fendrick, Mark	UBS Financial Services	Mt. Laurel	✓	✓	✓	✓
Kugek, Elliott	Merrill Lynch Wealth Management	Bridgewater	✓	✓	✓	✓
Maltese, James	Merrill Lynch Wealth Management	Iselin	✓	✓	✓	✓
Matina, Joseph	UBS Financial Services	Short Hills	✓	✓	✓	✓
McGinley, Christine	UBS Financial Services	Mt. Laurel	✓	✓	✓	✓
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	✓	✓	✓	✓
Riley, Jack R.	UBS Financial Services	Warren	✓	✓	✓	✓
Schwartz, Andy M.	Bleakley Financial Group / LPL Financial	Fairfield	✓	✓	✓	✓
Stern, Michael S.	Wells Fargo Advisors	Vineland	✓	✓	✓	✓
Udine, Richard D.	Morgan Stanley Wealth Management	Mt. Laurel	✓	✓	✓	✓
Weinerman, David S.	Morgan Stanley Wealth Management	Florham Park	✓	✓	✓	✓
NEW YORK						
Bakshi, Vishal	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Barrett, John C.	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Beyer, David	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Bickler, Eric A.	UBS Financial Services	White Plains	✓	✓	✓	✓
Bieber, David	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Bodner, Eric S.	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Borowsky, Peter N.	UBS Financial Services	New York	✓	✓	✓	✓
Braff, Douglas P.	UBS Financial Services	New York	✓	✓	✓	✓
Bryan, Jeffrey M.	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Burrows, Bruce A.	Morgan Stanley Wealth Management	Garden City	✓	✓	✓	✓
Canell, Jay	J.P. Morgan Securities	New York	✓	✓	✓	✓
Canell, Neil	J.P. Morgan Securities	New York	✓	✓	✓	✓
Cannataro, Louis S.	Cannataro Park Avenue Financial Northwestern Mutual Wealth Mgmt. Co.	New York	✓	✓	✓	✓
Carter, Kenneth W.	Wells Fargo Advisors	New City	✓	✓	✓	✓
Chrys, Michael C.	Merrill Lynch Wealth Management	Latham	✓	✓	✓	✓
Cohen, Leigh	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Cohen, Robert D.	UBS Financial Services	Garden City	✓	✓	✓	✓
Coyle III, John F.	Morgan Stanley Private Wealth Management	Garden City	✓	✓	✓	✓
Cuneo, Paul L.	Merrill Lynch Wealth Management	Great Neck	✓	✓	✓	✓
Detterick, Jim	Graystone Consulting	New York	✓	✓	✓	✓
DiScala, Todd	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Dyer, Robert C.	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Epstein, Adam F.	UBS Financial Services	New York	✓	✓	✓	✓
Ferreira, Artur	UBS Financial Services	New York	✓	✓	✓	✓
Gero, George	RBC Wealth Management	New York	✓	✓	✓	✓
Gully, Joshua P.	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Halbfinger, Martin L.	UBS Financial Services	New York	✓	✓	✓	✓
Hart, Andrew	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Karetsky, Marc	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Kass, Jonathan	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Katz, Jason M.	UBS Financial Services	New York	✓	✓	✓	✓
Kavaliaratos, Nick	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Kelton, Richard W.	The Kelton Financial Group Northwestern Mutual Wealth Mgmt. Co.	Latham	✓	✓	✓	✓
Kilduff, Sean T.	UBS Financial Services	New York	✓	✓	✓	✓
Kokubo, Sergio S.	UBS Financial Services	New York	✓	✓	✓	✓
Kolev, Bobby	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓

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Kraus, Andrew P.	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Kuttin, Jonathan	Ameriprise Financial	Melville	✓	✓	✓	✓
Liebers, Lawrence C.	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Malkin, Joshua D.	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
McGinty, Robert J.	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Mellert, Douglas M.	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Millman, Ira M.	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Mitchell, Neil S.	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Montaperto, Deborah D.	Morgan Stanley Private Wealth Management	New York	✓	✓	✓	✓
Myers, Jonathan L.	Ameriprise Financial	Vestal	✓	✓	✓	✓
Newman, William J.	Northwestern Mutual Wealth Mgmt. Co.	Albany	✓	✓	✓	✓
O'Connell, Daniel T.	Merrill Lynch Wealth Management	Garden City	✓	✓	✓	✓
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 Wealth Management	Purchase	✓	✓	✓	✓
Poppo, Michael F.	UBS Financial Services	New York	✓	✓	✓	✓
Rabito, Russell A.	UBS Financial Services	New York	✓	✓	✓	✓
Reali, Renato J.	UBS Financial Services	New York	✓	✓	✓	✓
Rosenthal, Peter W.	UBS Financial Services	Jericho	✓	✓	✓	✓
Saunders, Allen	UBS Financial Services	New York	✓	✓	✓	✓
Sax, Ben	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Schoff, William L.	UBS Financial Services	Rochester	✓	✓	✓	✓
Schubach, Clark	J.P. Morgan Securities	New York	✓	✓	✓	✓
Schwartz, Daniel	UBS Financial Services	New York	✓	✓	✓	✓
Serure, Theodore	J.P. Morgan Securities	New York	✓	✓	✓	✓
Stackman, Scott	UBS Financial Services	New York	✓	✓	✓	✓
Sukhin, Andrew G.	Morgan Stanley 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	✓	✓	✓	✓
Trikha, Umesh K.	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Waldede, Robert J.	Merrill Lynch Wealth Management	New York	✓	✓	✓	✓
Weil, Noel	Merrill Lynch – Private Banking & Investment Group	New York	✓	✓	✓	✓
Winik, Jeffrey	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓
Zeller, Mark	UBS Financial Services	New York	✓	✓	✓	✓
Zipper, Adam J.	J.P. Morgan Securities	New York	✓	✓	✓	✓
NORTH CAROLINA						
Cash, Gregory M.	Merrill Lynch – Private Banking & Investment Group	Charlotte	✓	✓	✓	✓
Graves, Kelly	Carroll Financial / Cetera Advisor Networks	Charlotte	✓	✓	✓	✓
Hoge, Brett W.	BB&T Scott & Stringfellow	Winston-Salem	✓	✓	✓	✓
Klenke, David W.	BB&T Scott & Stringfellow	Raleigh	✓	✓	✓	✓
Wickham, R. Mitchell	Merrill Lynch – Private Banking & Investment Group	Charlotte	✓	✓	✓	✓
NORTH DAKOTA						
Melvie, Loren D.	Ameriprise Financial	Bismarck	✓	✓	✓	✓
OHIO						
Carbetta, Paul C.	Ameriprise Financial	Worthington	✓	✓	✓	✓
Carver, Randy	Carver Financial Services / Raymond James	Mentor	✓	✓	✓	✓
Chornyak, Jr., Joseph A.	Chornyak & Associates, Ltd.	Columbus	✓	✓	✓	✓
Chornyak, Sr., Joseph A.	Chornyak & Associates, Ltd.	Columbus	✓	✓	✓	✓
Ellis III, David W.	UBS Financial Services	Cincinnati	✓	✓	✓	✓
Fish, Stephen J.	UBS Financial Services	Cincinnati	✓	✓	✓	✓
Holwadel, David K.	Raymond James	Cincinnati	✓	✓	✓	✓
Mauk, Robert A.	Chornyak & Associates, Ltd.	Columbus	✓	✓	✓	✓
Motta, Peter F.	Merrill Lynch – Private Banking & Investment Group	Columbus	✓	✓	✓	✓
Musser, Joseph M.	Ameriprise Financial	Canton	✓	✓	✓	✓
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						
Brock, Brandt T.	Ameriprise Financial	Tulsa	✓	✓	✓	✓
OREGON						
Gall, J. Charles	RBC Wealth Management	Portland	✓	✓	✓	✓
Kilkenny Hale, Kelly	RBC Wealth Management	Portland	✓	✓	✓	✓
PENNSYLVANIA						
Brennan, Patricia C.	Key Financial, Inc.	West Chester	✓	✓	✓	✓
Jugan, AJ	Ameriprise Financial	Pittsburgh	✓	✓	✓	✓
Kron, David J.	Kron & Polis Financial Group of Wells Fargo Advisors	Philadelphia	✓	✓	✓	✓

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Parker, Sr., John J.	Wells Fargo Advisors	Philadelphia	✓	✓	✓	✓
Petredis, Charles J.	Petredis Investment Advisors of Wells Fargo Advisors	Sewickley	✓	✓	✓	✓
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	✓	✓	✓	✓
Wilding, James	Confluence Financial Partners / Raymond James	Pittsburgh	✓	✓	✓	✓
SOUTH CAROLINA						
Vingi, Jr., Robert E.	Wells Fargo Advisors	Charleston	✓	✓	✓	✓
SOUTH DAKOTA						
Hillard, David T.	RBC Wealth Management	Rapid City	✓	✓	✓	✓
Nelson, Todd	Merrill Lynch Wealth Management	Sioux Falls	✓	✓	✓	✓
Quello, Nathan S.	Loft Advisors / Raymond James	Sioux Falls	✓	✓	✓	✓
Wolman, Gordon	Cornerstone Financial Solutions, Inc. / Raymond James	Huron	✓	✓	✓	✓
TENNESSEE						
Mayer, Ward	Raymond James	Memphis	✓	✓	✓	✓
Oakley, Samuel H.	Raymond James / Pinnacle Asset Management	Nashville	✓	✓	✓	✓
Roberson, Tim	Merrill Lynch Wealth Management	Brentwood	✓	✓	✓	✓
Smith, Trey	SunTrust Investment Services, Inc.	Nashville	✓	✓	✓	✓
Stein, Michael E.	Wells Fargo Advisors	Memphis	✓	✓	✓	✓
Williams, Jay W.	UBS Financial Services	Memphis	✓	✓	✓	✓
TEXAS						
Acerra, Guy M.	Ameriprise Financial	San Antonio	✓	✓	✓	✓
Ardayno, Matt (Toby)	Merrill Lynch Wealth Management	Fort Worth	✓	✓	✓	✓
Ashcroft, Richard W.	Baird	Houston	✓	✓	✓	✓
Barnes, David R.	UBS Financial Services	Dallas	✓	✓	✓	✓
Begay, Audree L.	Ameriprise Financial	Houston	✓	✓	✓	✓
Clements, Kevin M.	Morgan Stanley Wealth Management	Dallas	✓	✓	✓	✓
Coffee, Jr., James L.	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Dickey, Kevin T.	Morgan Stanley Private Wealth Management	Dallas	✓	✓	✓	✓
Duncan, Sharon B.	Selah Financial Services	Friendswood	✓	✓	✓	✓
Dziuk, Steve	Ameriprise Financial	San Antonio	✓	✓	✓	✓
Elias, Mark S.	UBS Financial Services	Houston	✓	✓	✓	✓
Gladstein, Mark B.	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Harrell, Bob	Harrell Investment Partners of Raymond James	Austin	✓	✓	✓	✓
Heuer, Susan	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Johri, Anupam (AJ)	Morgan Stanley Wealth Management	Dallas	✓	✓	✓	✓
Klenke, Allan J.	UBS Financial Services	Houston	✓	✓	✓	✓
Knox, Kerry	Merrill Lynch Wealth Management	Fort Worth	✓	✓	✓	✓
Leonard, Bryan A.	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Lorch, Howard S.	The Lorch Group of Wells Fargo Advisors	Houston	✓	✓	✓	✓
McBride, Tommy	Merrill Lynch Wealth Management	Dallas	✓	✓	✓	✓
McIntire, Thomas R.	Cadent Capital, LLC / Raymond James	Dallas	✓	✓	✓	✓
McIntyre Fields, Charla K.	Ameriprise Financial	Hurst	✓	✓	✓	✓
Messick, Chris	Messick, Peacock & Associates Northwestern Mutual Wealth Mgmt. Co.	Dallas	✓	✓	✓	✓

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Muldoon, Kathleen	Carter Financial Management / Raymond James	Dallas	✓	✓	✓	✓
Nagel, Steve M.	Merrill Lynch Wealth Management	Frisco	✓	✓	✓	✓
Paulson, Richard P.	Raymond James	Houston	✓	✓	✓	