

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						
Duncan, Jerry G.	UBS Financial Services	Birmingham		X	X	X
Smith, Tony R.	UBS Financial Services	Birmingham		X	X	X
ARIZONA						
Gale, S. Christopher	Merrill Lynch Wealth Management	Scottsdale	X	X	X	X
ARKANSAS						
Winburn V, Hardy L.	UBS Financial Services	Little Rock		X	X	X
CALIFORNIA						
Abrams, Michael L.	Wells Fargo Advisors, LLC	Palo Alto		X	X	
Arbogast, Peter	Merrill Lynch - Private Banking & Investment Group	San Francisco			X	
Bartman, Brett	RBC Wealth Management	Beverly Hills		X	X	X
Basch, Andrew	Morgan Stanley Private Wealth Management	Los Angeles		X	X	X
Binder, Mark N.	UBS Private Wealth Management	Los Angeles			X	X
Blanchfield, Tom	Merrill Lynch - Private Banking & Investment Group	Newport Beach		X	X	
Bolander, Ivar J.	Morgan Stanley Wealth Management	Santa Rosa		X	X	
Bubb, Kerrick W.	KWB Wealth Managers Group	Redlands	X	X		X
Burbank, Mike	Morgan Stanley Private Wealth Management	San Francisco		X	X	
Burford, Lon E.	Royal Alliance	Sacramento	X	X	X	X
Chopra, Ash	Merrill Lynch - Private Banking & Investment Group	San Francisco			X	
Curtis, Mark T.	Graystone Consulting	Palo Alto		X	X	X
daRoza, Tony	Merrill Lynch - Private Banking & Investment Group	San Francisco		X	X	
Freides, Drew S.	UBS Private Wealth Management	Los Angeles		X	X	X
Friedman, Mark	UBS Private Wealth Management	San Francisco			X	
Gallo, Robert F.	Merrill Lynch Wealth Management	Walnut Creek	X	X	X	X
Garcia, Jennifer Leigh	Wells Fargo Advisors, LLC	Encino		X	X	
Genovese, Michael T.	Royal Alliance	Sacramento	X	X	X	X
Gray, Eric A.	Merrill Lynch - Private Banking & Investment Group	Los Angeles			X	
Green, Rick	Wells Fargo Advisors, LLC	Los Angeles	X	X	X	X
Hartl, Philippe M.	Merrill Lynch - Private Banking & Investment Group	Los Angeles			X	
Jackson, Dana	Graystone Consulting	Menlo Park		X	X	X
Jones, Richard B.	Merrill Lynch - Private Banking & Investment Group	Century City			X	X
Jorgensen, Debbie	Merrill Lynch Wealth Management	San Francisco		X	X	X
Kanigher, Michael D.	UBS Private Wealth Management	Los Angeles		X	X	X
Kelly, Inna L.	Morgan Stanley Wealth Management	San Francisco			X	
COLORADO						
Di Ianni, Donna M.	Merrill Lynch Wealth Management	Aspen		X	X	X
Dodds, Andrew T.	Dodds Wealth Management	Englewood		X	X	
Fowler, Shawn P.	Morgan Stanley Private Wealth Management	Denver		X	X	X
Hoover, Carl R.	Merrill Lynch Wealth Management	Denver		X	X	X
CONNECTICUT						
Erdmann III, John (Jeff) F.	Merrill Lynch - Private Banking & Investment Group	Greenwich		X	X	X

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

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra HNW**	Institutional
Gourd, William C.	UBS Private Wealth Management	Stamford		X	X	
Greco, William J.	UBS Financial Services	Hartford	X	X	X	
Mattson Kenworthy, Mary	UBS Private Wealth Management	Stamford		X	X	
McElroy, Abby Wolman	RBC Wealth Management	Westport	X	X	X	X
Somberg, Matthew A.	Gottfried & Somberg Wealth Management, LLC	Glastonbury	X	X	X	
Spitzbard, Kenneth	SagePoint Financial	Branford	X	X	X	X
DISTRICT OF COLUMBIA						
Apton, Keith	UBS Financial Services	Washington		X	X	
Haffner, Barry M.	UBS Financial Services	Washington		X	X	
King II, James J.	Merrill Lynch - Private Banking & Investment Group	Washington		X	X	X
Nelson, Wayne	Merrill Lynch Wealth Management	Washington	X	X	X	
Ross, Steven S.	RBC Wealth Management	Washington		X	X	
Slater III, William R.	Merrill Lynch - Private Banking & Investment Group	Washington		X	X	X
Walker, Dexter Mead	Morgan Stanley Private Wealth Management	Washington		X	X	X
Williams, John M.	Morgan Stanley Private Wealth Management	Washington		X	X	X
FLORIDA						
Aitken, Christopher C.	Merrill Lynch - Private Banking & Investment Group	Ponte Vedra		X	X	X
Applewhite III, Eric L.	Morgan Stanley Wealth Management	Boca Raton	X	X	X	
Barcena, Ignacio A.	Wells Fargo Advisors, LLC	Miami		X	X	X
Barnes, John C.	RBC Wealth Management	Naples	X	X	X	
Chiaivacci, Louis J.	Merrill Lynch - Private Banking & Investment Group	Coral Gables			X	
Clarke, Peter J.	BB&T Scott & Stringfellow	Palm Beach	X	X	X	
Cogan, Aimee	Morgan Stanley Wealth Management	Sarasota		X	X	X
Dwyer, Patrick J.	Merrill Lynch - Private Banking & Investment Group	Miami			X	
Elwaj, John	Morgan Stanley Wealth Management	Miami		X	X	
Esses, Tony	Wells Fargo Advisors, LLC	Miami		X	X	
Fetterman, Sean	UBS Financial Services	Boca Raton		X	X	X
Gourage, Ghislain	UBS Private Wealth Management	Coral Gables			X	
Johnson, Kevin T.	Morgan Stanley Private Wealth Management	Naples		X	X	
McDonald, Jon Randal	Morgan Stanley Wealth Management	Boca Raton		X	X	X
Merriam III, William H.	Merrill Lynch Wealth Management	Jacksonville	X	X	X	
Moll, Todd A.	Provenance Wealth Advisors / Raymond James	Fort Lauderdale	X	X	X	X
Moran, Thomas M.	Wells Fargo Advisors, LLC	Naples		X	X	X
Reznik, Steven P.	Raymond James	Tallahassee	X	X	X	
Silverman, Mickey	Raymond James	Boca Raton		X	X	
Simmons, Keith	Merrill Lynch Wealth Management	Miami		X	X	X
Stephens, Jason E.	UBS Private Wealth Management	Naples		X	X	
Sylvia, Kurt F.	UBS Private Wealth Management	Palm Beach		X	X	X
Viyella, Miguel A.	Wells Fargo Advisors, LLC	Miami		X	X	X
GEORGIA						
Frank, Brian H.	Morgan Stanley Private Wealth Management	Atlanta		X	X	X
Hansberger, James C.	Morgan Stanley Private Wealth Management	Atlanta		X	X	X
Harbour, Andrew	Graystone Consulting	Atlanta		X	X	X
Hines, Michael L.	Consolidated Planning Corp. / Raymond James	Atlanta	X	X	X	
Hughes, Ron	Merrill Lynch - Private Banking & Investment Group	Atlanta			X	
Lellyett, Jr., William M.	Raymond James	Atlanta	X	X	X	
Mericka, Keith A.	UBS Private Wealth Management	Atlanta		X	X	X
Merlin, Michael J.	Morgan Stanley Private Wealth Management	Atlanta		X	X	X
Montgomery, John	UBS Private Wealth Management	Atlanta		X	X	X
Ryan, Justin P.	UBS Private Wealth Management	Atlanta			X	X
Wagner, Michael J.	Morgan Stanley Wealth Management	Atlanta		X	X	
Westmoreland, Rod	Merrill Lynch - Private Banking & Investment Group	Atlanta			X	
ILLINOIS						
Baldwin, Patrick	Merrill Lynch - Private Banking & Investment Group	Chicago			X	X
Bhata, Raj	Merrill Lynch - Private Banking & Investment Group	Chicago		X	X	X
Cullinetta, Patricia G.	Morgan Stanley Wealth Management	Chicago		X	X	
Doerge, Jack O.	Morgan Stanley Private Wealth Management	Chicago			X	
Eason, William H.	Morgan Stanley Wealth Management	Chicago	X	X	X	
Joyce, John C.	Morgan Stanley Private Wealth Management	Chicago			X	
Leshem, Benjamin	Heffer, Leshem, Margolis Cap Mgmt Group / Wells Fargo Advisors	Highland Park		X	X	X
Lynch, Kevin R.	Morgan Stanley Private Wealth Management	Chicago		X	X	
Magnesen, Scott K.	Morgan Stanley Wealth Management	Oak Brook	X	X	X	
Margolis, Charles B.	Heffer, Leshem, Margolis Cap Mgmt Group / Wells Fargo Advisors	Highland Park		X	X	
Meyer, Douglas L.	Wells Fargo Advisors, LLC	Deerfield	X	X	X	
Oberheide, James L.	Morgan Stanley Private Wealth Management	Chicago			X	X
Pfaff, Christopher S.	UBS Private Wealth Management	Chicago			X	
Raihle, Maureen	Merrill Lynch - Private Banking & Investment Group	Chicago		X	X	X
Roeser, Kathleen	Morgan Stanley Wealth Management	Chicago		X	X	
Schaffer, Michael S.	Wells Fargo Advisors, LLC	Lake Forest		X	X	
Schuster, Scott	Dashboard Wealth Advisors / Raymond James	Oak Brook	X	X	X	
Sparks, Walter L.	The Brechnitz Group of Raymond James	Decatur		X	X	X
Ver Bockel, John	Merrill Lynch - Private Banking & Investment Group	Chicago		X	X	X

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra HNW**	Institutional
White, Brett D.	Ameriprise Financial	Oakbrook Terrace		X	X	
Wilkinson, David M.	Morgan Stanley Private Wealth Management	Chicago			X	
Wright, David C.	Merrill Lynch - Private Banking & Investment Group	Chicago			X	
INDIANA						
Cooke, Brian F.	Cooke Financial Group of Wells Fargo Advisors, LLC	Indianapolis		X	X	X
Cooke, Christopher	Cooke Financial Group of Wells Fargo Advisors, LLC	Indianapolis		X	X	X
Gregor, Martin	Merrill Lynch - Private Banking & Investment Group	Indianapolis		X	X	X
Moore, Christopher P.	Ameriprise Financial	Fort Wayne	X	X	X	X
Payne, Eric	Merrill Lynch Wealth Management	Indianapolis		X	X	X
Perry, John D.	Morgan Stanley Wealth Management	Indianapolis		X	X	X
Stscherban, Paul	Baird	Mishawaka	X	X	X	X
IOWA						
Boesen, Bryan	Morgan Stanley Wealth Management	Des Moines		X	X	X
Swanson, Keith K.	Morgan Stanley Private Wealth Management	West Des Moines		X	X	X
KANSAS						
Fewing, Paul W.	Prosperity Advisory Group	Overland Park		X	X	
Ferguson, Scott D.	Morgan Stanley Wealth Management	Leawood			X	X
KENTUCKY						
Donohue, Dean M.	Ameriprise Financial	Louisville		X	X	X
Fouch, Daniel J.	The Fouch Group, Hilliard Lyons	Glasgow			X	
Perrone, Thomas	Morgan Stanley Wealth Management	Louisville	X	X	X	X
LOUISIANA						
Lewis, Jr., Tandy G.	Raymond James	Shreveport		X	X	X
Simmons, Charles L.	Ameriprise Financial	Metairie		X	X	X
MAINE						
Burns, Jeremiah S.	Morgan Stanley Wealth Management	Portland		X	X	
MARYLAND						
Baker, Gregory M.	Merrill Lynch Wealth Management	Bethesda			X	X
Baum, Patricia P.	RBC Wealth Management	Annapolis	X	X	X	X
Boggs, Larry D.	Wells Fargo Advisors, LLC	Cumberland	X	X	X	X
Eisen, Dean	Graystone Consulting	Potomac			X	X
Etergino, Ann Marie	RBC Wealth Management	Chevy Chase		X	X	X
Fox, Paul M.	Morgan Stanley Wealth Management	Lutherville	X	X	X	
Jackson, Margaret M.	RBC Wealth Management	Annapolis	X	X	X	X
Kantor, Robert	XML Financial Group	Rockville	X	X	X	X
Meredith, Andrew F.	Merrill Lynch Wealth Management	Baltimore	X	X	X	X
Murray, Jonathan P.	UBS Financial Services	Hunt Valley		X	X	
Pakenas, Betsy	Morgan Stanley Wealth Management	Frederick	X	X	X	
Pearce, Kent V.	Merrill Lynch Wealth Management	Towson		X	X	X
Rosenwald, Beth	RBC Wealth Management	Baltimore	X	X	X	
Sella, Edward Geoffrey	SPC Financial, Inc. / Raymond James	Rockville	X	X		
Sereny, Nicholas J.	Morgan Stanley Wealth Management	Rockville		X	X	X
Smith, Edward (Ted) W.	UBS Financial Services	Baltimore		X	X	
Tomick, Paul M.	Jannet Montgomery Scott LLC	Towson	X	X	X	
MASSACHUSETTS						
Armstrong, Christine	Morgan Stanley Wealth Management	Boston			X	
Bartholomew, Thomas J.	Bartholomew & Company, Inc.	Worcester	X	X	X	X
Borden, David	CCR Wealth Management	Westborough		X	X	
Brede, Debra K.	D.K. Brede Investment Management Company, Inc.	Needham	X	X	X	X
Connolly, Jr., Richard F.	Morgan Stanley Private Wealth Management	Boston		X	X	X
Corbett, L.O. Patrick	Morgan Stanley Private Wealth Management	Boston		X	X	
Dillon, Sean V.	UBS Financial Services	Boston		X	X	X
Finn, Daniel N.	Morgan Stanley Wealth Management	Wellesley		X	X	X
Javaheri, David R.	Morgan Stanley Wealth Management	Wellesley		X	X	
Joyce, Mark S.	Merrill Lynch Wealth Management	Boston		X	X	
Kaplan, Susan C.	Kaplan Financial Services, Inc.	Newton		X	X	
Larsen, Wyatt	UBS Private Wealth Management	Boston		X	X	
Marchese, Michael F.	Axial Financial Group	Burlington	X	X	X	
Mason, Robert F.	Morgan Stanley Private Wealth Management	Boston		X	X	
McCauley, Paul J.	Merrill Lynch - Private Banking & Investment Group	Boston		X	X	
McGuirk, Gary L.	Merrill Lynch - Private Banking & Investment Group	Boston			X	
Miller, Paul E.	Axial Financial Group	Burlington	X	X	X	
Miller, Richard R.	Ameriprise Financial	Wellesley	X	X	X	
Mullin, Mary B.	Merrill Lynch Wealth Management	Boston		X	X	
Nabhan, Edward G.	Morgan Stanley Wealth Management	Boston		X	X	
Peckler, Maxwell D.	UBS Financial Services	Boston		X	X	
Princi, Peter	Graystone Consulting	Boston		X	X	X
Rumrill, Dave	Morgan Stanley Private Wealth Management	Wellesley			X	

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra HNW**	Institutional
Sharma, Raj	Merrill Lynch - Private Banking & Investment Group	Boston		X	X	X
Taylor, James W.	UBS Financial Services	Boston		X	X	
Whalen, Kevin	Morgan Stanley Wealth Management	Boston		X	X	
Wilson, Daniel T.	Ameriprise Financial	Auburndale	X	X	X	
Winthrop, Mark	Winthrop Wealth Management	Westborough	X	X	X	
Wolff, Jonathan C.	Lightship Wealth Strategies, Inc.	Newton Lower Falls	X	X	X	X
Wood, Thomas	UBS Financial Services	Boston	X	X	X	X
MICHIGAN						
Berneckner, Scott D.	Merrill Lynch Wealth Management	Grand Rapids	X	X	X	X
Kruzan, James B.	Kaydan Wealth Management, Inc. / Raymond James	Fenton	X	X	X	X
Long, Timothy J.	Merrill Lynch Wealth Management	Grand Rapids	X	X	X	X
Migliazzo, Frank	Merrill Lynch - Private Banking & Investment Group	Troy		X	X	
Nemes, Charles L.	Nemes Rush Private Wealth Management of Raymond James	Novi		X	X	X
Sanford, Todd A.	Sanford Financial Services, Inc. / Raymond James	Portage	X	X	X	X
Towner, Jeff	Merrill Lynch Wealth Management	Grand Rapids		X	X	
VanDyke, Kevin M.	Bloomfield Hills Financial	Bloomfield Hills	X	X	X	X
Veldheer, James D.	Merrill Lynch Wealth Management	Grand Rapids	X	X	X	X
Vigi, Jon	UBS Private Wealth Management	Birmingham			X	X
Zhang, Charles C.	Zhang Financial	Portage	X	X	X	X
MINNESOTA						
Boyd, Christina K.	Merrill Lynch Wealth Management	Wayzata	X	X	X	
Brandt, Thomas J.	RBC Wealth Management	Wayzata	X	X	X	
Eckerline, Peter	Merrill Lynch Wealth Management	Wayzata	X	X	X	
Macken Elliott, Martha	Mayo Employees Federal Credit Union	Rochester	X	X	X	
Major, Charles L.	UBS Private Wealth Management	Minneapolis	X	X	X	
Marks, Ben	Marks Group Wealth Management	Minnetonka	X	X	X	
Metcalf, Robert S.	UBS Private Wealth Management	Minneapolis	X	X	X	
MISSOURI						
Ludwig, John T.	Morgan Stanley Wealth Management	Kansas City	X	X	X	X
Moeller, Michael L.	Moeller Group of Wells Fargo Advisors, LLC	Chesterfield	X	X	X	X
NEBRASKA						
Feltz, Todd A.	Feltz WealthPLAN, Inc.	Omaha	X	X	X	X
Garlock, John (Buzz)	RBC Wealth Management	Omaha	X	X	X	X
Jacobitz, Andy J.	RBC Wealth Management	Omaha	X	X	X	X
Leinen, Scott	RBC Wealth Management	Omaha	X	X	X	X
Robinson, Andrew C.	Morgan Stanley Wealth Management	Omaha	X	X	X	X
NEVADA						
Buckley, Brian J.	Morgan Stanley Wealth Management	Las Vegas		X	X	
Chudd, Michael	UBS Financial Services	Las Vegas		X	X	
Derhake, Michael A.	Wells Fargo Advisors, LLC	Las Vegas		X	X	
Jay, Kelly K.	UBS Financial Services	Reno		X	X	
Loughton, Jr., James R.	Wells Fargo Advisors, LLC	Reno	X	X	X	
NEW JERSEY						
Andreach, Christopher M.	RBC Wealth Management	Red Bank		X	X	X
Barry, James R.	Merrill Lynch Wealth Management	Princeton	X	X	X	X
Burke, John B.	Burke Financial / Raymond James	Iselin		X	X	
Cook, Christopher G.	Merrill Lynch Wealth Management	Florham Park		X	X	
Darcangelo, Devin	UBS Private Wealth Management	Paramus		X	X	X
Deatherage, Mary M.	Morgan Stanley Private Wealth Management	Little Falls		X	X	X
Fendrick, Mark	UBS Financial Services	Mt. Laurel	X	X	X	X
Finkel, David R.	Merrill Lynch Wealth Management	Egg Harbor Twp		X	X	X
Gisser, Warren J.	RBC Wealth Management	Parsippany		X	X	
Lichtenfeld, Mark L.	UBS Private Wealth Management	Florham Park	X	X	X	
Matina, Joseph	UBS Private Wealth Management	Short Hills		X	X	
McLaughlin, James M.	Princeton Wealth Advisors of Raymond James	Princeton		X	X	X
McPeak, Neil	Wells Fargo Advisors, LLC	Linwood	X	X	X	X
Micera, John P.	RBC Wealth Management	Florham Park	X	X	X	X
Ricca, Michael J.	Morgan Stanley Wealth Management	Florham Park	X	X	X	
Schwartz, Daniel S.	UBS Private Wealth Management	Paramus		X	X	X
Schwartz, Eric R.	UBS Private Wealth Management	Florham Park	X	X	X	X
Walker, Ira	UBS Private Wealth Management	Red Bank		X	X	
Weinerman, David	Morgan Stanley Wealth Management	Florham Park	X	X	X	
NEW YORK						
Adamsky, Jonathan	UBS Financial Services	New York	X	X	X	
Bakshi, Vishal	Merrill Lynch - Private Banking & Investment Group	New York		X	X	
Basu, Ron	Morgan Stanley Private Wealth Management	New York		X	X	
Bianco, George	Merrill Lynch Wealth Management	New York		X	X	X
Boccia, Leonard	Wells Fargo Advisors, LLC	New York		X	X	
Bodner, Eric Scott	Merrill Lynch - Private Banking & Investment Group	New York	X	X	X	

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra HNW**	Institutional
Canell, Jay	Morgan Stanley Wealth Management	New York	X	X	X	X
Canell, Neil	Morgan Stanley Wealth Management	New York	X	X	X	X
Cohen, Leigh	Merrill Lynch - Private Banking & Investment Group	New York			X	
Condos, Steve	Morgan Stanley Private Wealth Management	New York		X	X	X
Donohue, Mark G.	Morgan Stanley Wealth Management	New York		X	X	X
Dyer, Robert C.	Merrill Lynch - Private Banking & Investment Group	New York			X	X
Filone, Jeffrey	Morgan Stanley Wealth Management	Garden City		X	X	X
Fitzburgh, Richard A.	RBC Wealth Management	New York		X	X	X
Greenspan, Richard	UBS Financial Services	New York	X	X	X	
Haberman, Jason	Morgan Stanley Wealth Management	New York		X	X	
Halbfinger, Martin	UBS Financial Services	New York		X	X	X
Hart, Andrew	Morgan Stanley Private Wealth Management	New York		X	X	
Kass, Richard P.	KBK Wealth Management, LLC	New York	X	X	X	
Kavallieratos, Nick	Morgan Stanley Wealth Management	New York	X	X	X	X
Kilduff, Sean T.	UBS Private Wealth Management	New York			X	
Kingsolver, Susan L.	Morgan Stanley Private Wealth Management	New York		X	X	X
Kleiner, Scott	Morgan Stanley Wealth Management	New York		X	X	
Klingman, Gerard	Klingman & Associates, LLC / Raymond James	New York		X	X	X
Kobernick, Jeffrey M.	UBS Private Wealth Management	New York		X	X	X
Liebers, Lawrence C.	Merrill Lynch Wealth Management	New York		X	X	X
Mellert, Douglas M.	Merrill Lynch Wealth Management	New York		X	X	X
Naylor, Rachael	Morgan Stanley Private Wealth Management	New York		X	X	X
O'Connell, Daniel	Merrill Lynch Wealth Management	Garden City		X	X	
Osia, Miguel G.	Morgan Stanley Private Wealth Management	New York			X	X
Papandrea, Rocco	Merrill Lynch Wealth Management	New York	X	X	X	X
Pinrios, Fotios	Morgan Stanley Private Wealth Management	New York		X	X	
Poppo, Michael F.	UBS Financial Services	New York		X	X	X
Rukeyser, Peter L.	UBS Private Wealth Management	New York		X	X	X
Salvino, Richard	Merrill Lynch - Private Banking & Investment Group	New York			X	
Sargent, John H.	Morgan Stanley Private Wealth Management	New York			X	
Sawyer, Michael	Morgan Stanley Private Wealth Management	New York				

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Retail	HNW*	Ultra HNW**	Institutional
DiValerio, Jr., Anthony J.	Morgan Stanley Private Wealth Management	W. Conshohocken			X	
Kron, David J.	Kron & Polis Financial Group of Wells Fargo Advisors, LLC	Philadelphia	X	X	X	X
Levy, Victor S.	Levy Wealth Management Group	Philadelphia	X	X	X	X
Nehrbas, Andrew R.	Janney Montgomery Scott LLC	Bryn Mawr	X	X	X	X
Parker, Sr., John J.	Wells Fargo Advisors, LLC	Philadelphia		X	X	X
Perry, Joseph A.	Aviso Financial, LLC	Southampton	X	X		
Rohr, Peter A.	Merrill Lynch - Private Banking & Investment Group	Philadelphia			X	
Salmansohn, Eric	Morgan Stanley Wealth Management	Philadelphia		X	X	X
Seiler, Thomas A.	Raymond James	Newtown		X	X	X
Strope, Peter M.	UBS Financial Services	Canonsburg	X	X	X	X
SOUTH CAROLINA						
Edwards, Jr., Howard D.	Wells Fargo Advisors, LLC	Charleston	X	X	X	X
Ellison, Jr., J. Hagood	Merrill Lynch Wealth Management	Columbia		X	X	X
Kibler, E. Robertson	Merrill Lynch Wealth Management	Columbia			X	X
Sullivan, Derrick A.	Morgan Stanley Wealth Management	Charleston	X	X	X	X
SOUTH DAKOTA						
Nelson, Todd	Merrill Lynch Wealth Management	Sioux Falls	X	X	X	X
TENNESSEE						
Gooch III, Robert D.	Raymond James	Memphis		X	X	X
Hassan, Elias (Yaz)	Hilliard Lyons	Murfreesboro	X	X	X	X
Klindt, Eric T.	Merrill Lynch - Private Banking & Investment Group	Nashville		X	X	X
Liles, Malcolm H.	Baird	Nashville	X	X	X	X
TEXAS						
Blonkvist, Kevin M.	RBC Wealth Management	Midland	X	X	X	X
Carlson, Randy R.	Merrill Lynch Wealth Management	Dallas		X	X	X
Clements, Kevin	Morgan Stanley Wealth Management	Dallas	X	X	X	X
Coffee, Jr., James L.	Merrill Lynch Wealth Management	Houston	X	X	X	X
Crocker, J. Dow	Raymond James	Dallas		X	X	X
de Groot, Frederick A.	Merrill Lynch Wealth Management	The Woodlands		X	X	X
Dodson, Philip M.	Merrill Lynch - Private Banking & Investment Group	Houston			X	X
Elias, Mark	UBS Private Wealth Management	Houston		X	X	X
Emanuelson, Jr., Dwight H.	Merrill Lynch - Private Banking & Investment Group	Dallas			X	
Fox, Leslie B.	RBC Wealth Management	Houston	X	X	X	
Fuhrmann III, Carl (Triple) I.	Merrill Lynch Wealth Management	San Antonio		X	X	X
Hardin, Robert C.	Underwood, Neuhaus & Hardin Group of Wells Fargo Advisors, LLC	Houston	X	X	X	X
Knox, Kerry A.	Merrill Lynch Wealth Management	Fort Worth	X	X	X	X
Kravitz, Ira	UBS Financial Services	Plano		X	X	
Lewis, Jr., Charles J.	Wells Fargo Advisors, LLC	Waco	X	X	X	X
Lorch, Howard S.	The Lorch Group of Wells Fargo Advisors, LLC	Houston	X	X	X	X
Moore, Marie A.	Morgan Stanley Wealth Management	Dallas	X	X	X	
Murray, R. Nelson	Morgan Stanley Private Wealth Management	Houston		X		
Nagel, Steven M.	Merrill Lynch Wealth Management	Dallas		X	X	
Pearcy, Van M.	Van Percy's Wealth Services / Raymond James	Midland	X	X	X	X
Piatas, Richard W.	Merrill Lynch Wealth Management	Dallas		X	X	
Price, Randy R.	RBC Wealth Management	Houston		X	X	
Reich, Mark E.	Merrill Lynch Wealth Management	Houston	X	X	X	X
Robertson, W. Michael	Robertson Wealth Management	Houston	X	X	X	
Schroeder, Ralph J.	Ameriprise Financial	The Woodlands		X	X	
UTAH						
Mintz, Glen R.	UBS Financial Services	Park City	X	X	X	X
VERMONT						
Stotz, Timothy E.	Morgan Stanley Wealth Management	Burlington		X	X	X
VIRGINIA						
Barnette, Jr., James T.	Raymond James Financial Services, Inc.	Reston	X	X		X
Campbell, Kelly	Campbell Wealth Management	Alexandria		X		
Corey, Lynn Alexis Lee	Morgan Stanley Wealth Management	Alexandria		X	X	X
Ford, Brian T.	RBC Wealth Management	Richmond	X	X	X	X
Kim, Soo (Susan)	Ameriprise Financial	Vienna	X	X	X	X
Kurtz, Jonathan R.	Voya Financial Advisors	Vienna	X	X	X	X
LeClair, Jeff W.	Wells Fargo Advisors, LLC	McLean		X	X	X
Leonard, Mark F.	Morgan Stanley Wealth Management	McLean		X	X	
Lewis, John B.	BB&T Scott & Stringfellow	Richmond		X	X	X
Mahler, Jr., G. Carl	The Pinnacle Group / Raymond James	Midlothian		X		
Rosenthal, Larry	Voya Financial Advisors	Manassas	X	X		
Speck, David G.	Speck-Caudron Investment Group of Wells Fargo Advisors, LLC	Alexandria	X	X	X	X
Sprows, Ryan C.	Wells Fargo Advisors, LLC	Alexandria	X	X	X	X
Stoeber, Brude D.	Stoeber & Palmore Investment Group of Wells Fargo Advisors, LLC	Richmond		X	X	X
Strange, Allan H.	Janney Montgomery Scott LLC	Richmond	X	X	X	X
WASHINGTON						
Braun, Dean	Morgan Stanley Private Wealth Management	Seattle		X	X	
Cook, Terry L.	UBS Private Wealth Management	Bellevue			X	
Elliott, Patrick D.	ELC Wealth Management	Bainbridge Island	X	X	X	X
Hollomon, Stephen J.	Merrill Lynch Wealth Management	Seattle		X	X	X
Matthews, Michael S.	UBS Financial Services	Bellevue	X	X	X	X
Ragen, Cameron	Baird	Seattle	X	X	X	X
Scannell, Erin J.	Ameriprise Financial	Mercer Island	X	X	X	X
Strong, Robert	Baird	Seattle	X	X	X	X
Tschetter, Richard	D.A. Davidson & Co.	Bellevue	X	X	X	
West, Lowry	Morgan Stanley Private Wealth Management	Seattle			X	
WEST VIRGINIA						
Houchins, David L.	BB&T Scott & Stringfellow	Charleston	X	X	X	X
WISCONSIN						
Burish, Andrew D.	UBS Financial Services	Madison	X	X	X	X
Cimino, Vince	Cimino Wealth Advisors	Clinton	X	X		
Epstein, David S.	Baird	Milwaukee		X	X	
Kowal, Jeffrey D.	Kowal Investment Group, LLC / Raymond James	Waukesha	X	X	X	X
Meanwell, Walter E.	Wells Fargo Advisors, LLC	Madison	X	X	X	X

* 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 2015, the Financial Times contacted the largest US brokerage firms and asked them to supply information about advisers in their networks in order to compile the listing of the 2016 FT 400 Top Financial Advisers.

By seeking information in this manner, the FT was able to obtain verified data on assets under management (AUM) instead of relying on self-reporting by advisers. We asked for information on advisers with more than 10 years' experience and who had more than \$300m in assets under management.

The FT then invited qualifying advisers — a list which totalled just under 1,000 — 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.

The research team chose indicators that can be taken as proxies for other desirable characteristics.

Assets under management can signal experience managing money and client trust.

AUM growth rate (we look at both one-year and two-year growth rates) can be seen as a proxy for performance, asset retention and ability to generate new business.

Years of experience can indicate a track record managing assets in different economic and interest-rate environments.

Compliance record can show how satisfied clients have been with the adviser's conduct — a string of complaints could signal problems.

Industry certifications (CFA, CFP,

etc) demonstrates technical and industry knowledge and obtaining these designations shows a professional commitment to gaining investment skills.

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

AUM accounted for an average of approximately 66 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.

The FT presents the FT 400 as an elite group, not as a competitive ranking.

The research team decided that ranking the industry's top advisers from one to 400 would have been misleading since each adviser takes a different approach to his or her 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.