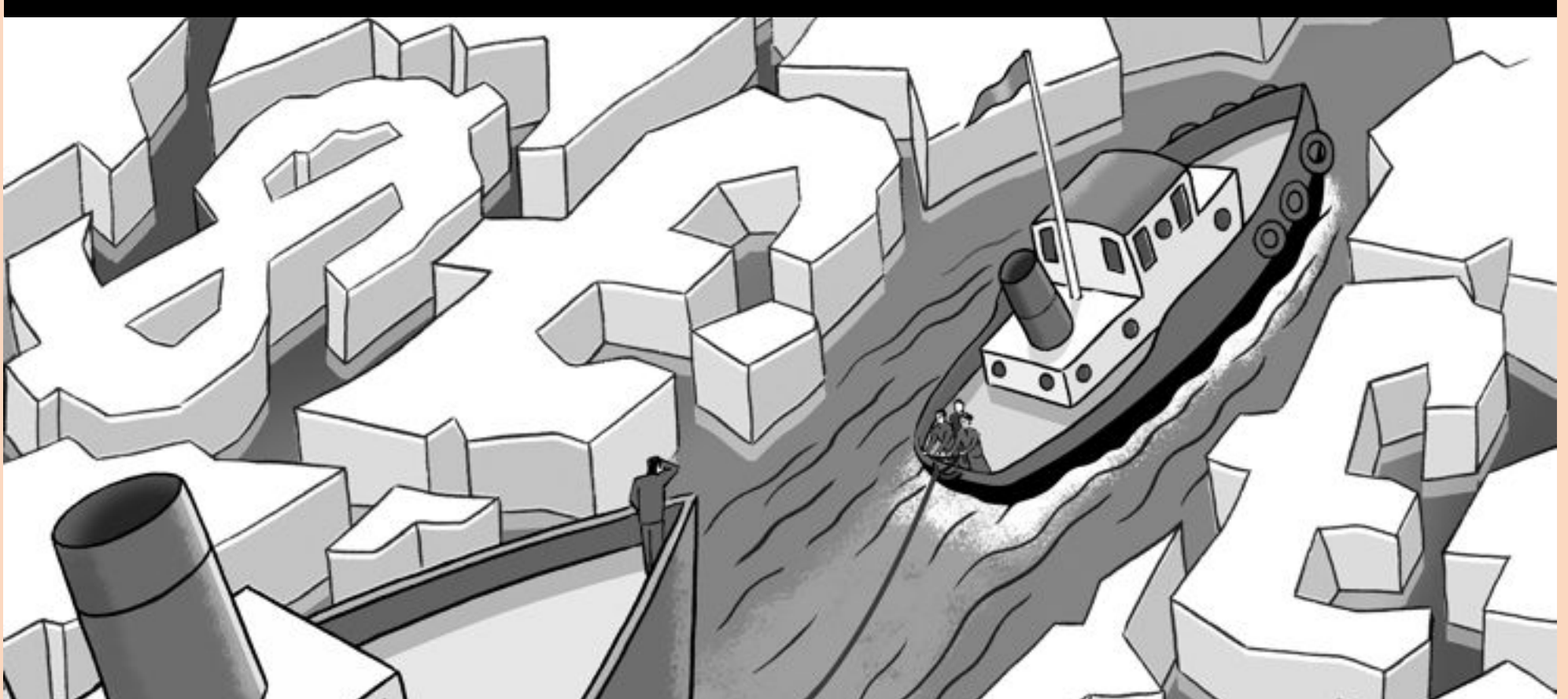


FT 400



The FT 400 Top Financial Advisers

Who made the final cut? We present the leading US professionals, listed by state, plus the methodology on p14

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
ARIZONA						
Bancroft, Robert J.	Morgan Stanley	Scottsdale	✓	✓	✓	
Chacopulos, Theresa E.	Morgan Stanley	Scottsdale	✓	✓		
Marten, James P.	Merrill Lynch	Phoenix	✓	✓	✓	
Transue, Ruth L.	Wells Fargo Advisors	Tucson	✓	✓	✓	
ARKANSAS						
McDonald, Don R.	Merrill Lynch	Fort Smith	✓	✓	✓	✓
CALIFORNIA						
Abrams, Michael L.	Wells Fargo Advisors	Palo Alto	✓	✓	✓	
Balog, Anouchka M.	Morgan Stanley	Laguna Niguel	✓	✓	✓	
Barry, Robert J.	Wells Fargo Advisors	Palo Alto	✓	✓		
Basch, Andrew B.	Morgan Stanley	Los Angeles	✓	✓	✓	
Benedetti, Marie	Merrill Lynch	San Francisco		✓	✓	
Blanchfield, Tom	Merrill Lynch – Private Bank & Investment Group	Newport Beach		✓		

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
Blosser, Richard	UBS Private Wealth Management	Los Angeles			✓	✓
Blotner, Bernard S.	Morgan Stanley	San Diego		✓	✓	✓
Bradshaw, Michael W.	Merrill Lynch	San Diego	✓	✓	✓	
Burbank, Mike	Morgan Stanley	San Francisco		✓	✓	
Burford, Lon E.	Genovese Burford & Brothers/Royal Alliance	Sacramento	✓	✓		✓
Chase, Andy L.	Morgan Stanley	Menlo Park		✓	✓	✓
Cody, John P.	Merrill Lynch	Century City	✓	✓	✓	
Curtis, Mark T.	Morgan Stanley	Palo Alto		✓	✓	✓
Fagersten, Marcus C.	UBS Financial Services	San Francisco		✓	✓	
Feinstein, Paul L.	UBS Private Wealth Management	Los Angeles		✓	✓	✓
Fourcade, Renee M.	UBS Financial Services	Los Angeles	✓	✓	✓	✓
Garcia, Jennifer L.	Wells Fargo Advisors	Encino		✓	✓	
Genovese, Michael T.	Genovese Burford & Brothers/Royal Alliance	Sacramento	✓	✓	✓	✓
Gray, Eric A.	Merrill Lynch – Private Bank & Investment Group	Los Angeles			✓	✓
Griep, Troy	Morgan Stanley	San Francisco			✓	✓
Guimarin, Alma	Morgan Stanley	San Jose	✓	✓	✓	✓

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

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
Hogan, Richard Aloysius	Merrill Lynch – Private Bank & Investment Group	San Francisco			√	
Hulburd, James E.	Merrill Lynch – Private Bank & Investment Group	San Francisco			√	
Inbody, Robert	Morgan Stanley	La Jolla	√	√	√	√
Jankiewicz, Michael S.	UBS Financial Services	San Francisco		√	√	
Jones, Richard B.	Merrill Lynch – Private Bank & Investment Group	Los Angeles			√	√
Jorgensen, Debbie	Merrill Lynch	San Francisco		√	√	√
Kelly, Inna L.	Morgan Stanley	San Francisco		√	√	
Khoury, Dorian	UBS Private Wealth Management	Los Angeles			√	√
Lee, Grant W.	Morgan Stanley	San Francisco		√	√	
Maher, Michael J.	Merrill Lynch	Carlsbad	√	√	√	√
Malone III, Francis X.	Morgan Stanley	Los Angeles			√	
McCabe, James D.	Wells Fargo Advisors	Beverly Hills		√	√	√
McKelvy, J. Dorian	Morgan Stanley	Menlo Park		√	√	√
McNamee, John C.	Merrill Lynch – Private Bank & Investment Group	Los Angeles			√	√
Morgan, Mark S.	Morgan Stanley	Folsom		√	√	√
Munster, Bruce	Morgan Stanley	Woodland Hills	√	√	√	√
Murphy, Daniel W.	Morgan Stanley	Menlo Park		√		
Palmer, Larry	Morgan Stanley	Los Angeles		√	√	√
Pence, Laila	Laila Pence	Newport Beach	√	√		
Rothstein, Rebecca	Merrill Lynch – Private Bank & Investment Group	Beverly Hills		√	√	
Schulten, Mark E.	Wells Fargo Advisors	Long Beach	√	√	√	√
Scott, Kevin	Merrill Lynch	Los Angeles		√		
Shadden, John T.	Morgan Stanley	Long Beach		√	√	√
Sievers, Taryn A.	Morgan Stanley	Oakland		√	√	
Smith, Lawrence E.	UBS Financial Services	Brea	√	√	√	√
Van Acker, David J.	UBS Financial Services	Westlake Village		√	√	√
Van Hoorickx, Emily W.	UBS Financial Services	San Jose		√	√	√
Waitrovich, David J.	Merrill Lynch – Private Bank & Investment Group	San Francisco			√	
Whitman, Alan B.	Morgan Stanley	Pasadena	√	√	√	√
Yu, Sean	Morgan Stanley	Pasadena		√	√	√
Zanolli, Greg	Wells Fargo Advisors	Roseville		√	√	√
COLORADO						
Brown, Mark R.	Brown & Tedstrom	Denver		√		
Fowler, Shawn	Morgan Stanley	Denver		√	√	√
Smith, Mark J.	M.J. Smith and Associates/Raymond James	Greenwood Village	√	√	√	√
Sogge, David B.	RBC Wealth Management	Greenwood Village		√	√	√
CONNECTICUT						
DesRochers, Stephen	UBS Financial Services	Stamford		√	√	√
Dolgin, Ivan	Merrill Lynch	Stamford	√	√	√	√
Fiore, Phil	UBS Financial Services	Stamford		√	√	√
Gaugler, Dean H.	UBS Financial Services	Stamford		√	√	√
Goldberg, Gerald B.	Wells Fargo Advisors	West Hartford		√	√	√
Goodwin, Richard T.	Merrill Lynch	Madison	√	√	√	
Gourd, William C.	UBS Private Wealth Management	Stamford		√	√	√
Hetherington, Brian J.	Merrill Lynch – Private Bank & Investment Group	New Canaan			√	
Jacobsen, Teresa A.	UBS Private Wealth Management	Stamford		√	√	√
Kampf, Andrew S.	Merrill Lynch	New Haven		√	√	√
Mattson Kenworthy, Mary	UBS Private Wealth Management	Stamford		√	√	√
Noble III, Charles J.	Janney Montgomery Scott	New Haven		√	√	√
Outtrim, Jr., Robert W.	Merrill Lynch	New Haven		√	√	√
Trischman, Jr., Harold J.	Morgan Stanley	Greenwich		√	√	√
Vacheron, Thomas E.	Merrill Lynch	Fairfield		√	√	
Yolles, Jonathan S.	Wells Fargo Advisors	West Hartford		√	√	√
DISTRICT OF COLUMBIA						
Caron, Jr., Donald A.	Morgan Stanley	Washington			√	√
Haffner, Barry M.	UBS Financial Services	Washington	√	√	√	
Legg, Jonathan R.	Morgan Stanley	Washington			√	
McIntyre, Marvin	Morgan Stanley	Washington	√	√	√	

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
O'Neill, Michael J.	Morgan Stanley	Washington			√	
Rietano III, Thomas J.	Merrill Lynch	Washington		√	√	√
Shaffer, Sheila S.	Janney Montgomery Scott	Washington	√	√	√	√
Stuart, David A.	Morgan Stanley	Washington	√	√	√	
Williams, John M.	Morgan Stanley	Washington		√	√	√
FLORIDA						
Aitken, Christopher C.	Merrill Lynch – Private Bank & Investment Group	Ponte Vedra Beach			√	√
Bain, Diane J.	Merrill Lynch	Palm Beach Gardens		√	√	
Camp, Gray A.	Merrill Lynch	Jacksonville	√	√	√	√
Chiavacci, Louis J.	Merrill Lynch – Private Bank & Investment Group	Coral Gables			√	
D'Adesky, Don Anthony	Morgan Stanley	Boca Raton		√	√	√
Dwyer, Patrick James	Merrill Lynch – Private Bank & Investment Group	Miami			√	
Gomez, Jorge L.	UBS Financial Services	Coral Gables		√	√	
Green, Meg	Meg Green & Associates	Miami		√	√	√
Jacoby, Keith M.	Wells Fargo Advisors	Naples		√	√	
Jaffe, Barbara	Morgan Stanley	Jacksonville	√	√	√	√
King, William W.	Merrill Lynch	Vero Beach		√	√	√
Loos, Randolph M.	Wells Fargo Advisors	Clearwater	√	√	√	√
McCain, Michael A.	Wells Fargo Advisors	Naples	√	√	√	√
Merriam III, William H.	Merrill Lynch	Jacksonville	√	√	√	√
Moran, Thomas M.	Wells Fargo Advisors	Naples		√	√	
Rubin, Barry E.	Merrill Lynch	Delray Beach		√	√	√
Starner, Margaret C.	The Starner Group of Raymond James	Coral Gables		√	√	√
Sylvia, Kurt F.	UBS Private Wealth Management	Palm Beach		√	√	√
Valdes, Michael J.	Merrill Lynch – Private Bank & Investment Group	Tampa		√	√	√
GEORGIA						
Frank, Brian	Morgan Stanley	Atlanta		√	√	√
Hansberger, James C.	Morgan Stanley	Atlanta		√	√	
Hart, Ronald	Morgan Stanley	Atlanta	√	√	√	√
Higginbotham, Kevin	Merrill Lynch	Atlanta	√	√	√	√
Higgins, David P.	Merrill Lynch – Private Bank & Investment Group	Atlanta			√	
Kaufman, Jim	Merrill Lynch	Atlanta	√	√	√	√
Mack, David F.	Merrill Lynch	Atlanta		√	√	√
Mericka, Keith A.	UBS Private Wealth Management	Atlanta		√	√	
Neumeyer, Jeff	Merrill Lynch	Atlanta	√	√	√	√
Prediletto, Steve	Merrill Lynch	Atlanta	√	√	√	√
Price, Vandyke G.	UBS Private Wealth Management	Atlanta		√	√	√
Rosenberg, Mark D.	Morgan Stanley	Atlanta	√	√	√	
Wallace, James	Merrill Lynch	Atlanta	√	√	√	√
Westmoreland, Rod	Merrill Lynch – Private Bank & Investment Group	Atlanta			√	
Wiley III, Buck	Merrill Lynch – Private Bank & Investment Group	Atlanta			√	√
ILLINOIS						
Becker, Bruce M.	Morgan Stanley	Chicago		√	√	√
Bhatia, Raj	Merrill Lynch – Private Bank & Investment Group	Chicago			√	√
Brandt, Carol	Merrill Lynch	Chicago		√	√	√
Chudom, Kyle	Morgan Stanley	Oak Brook	√	√	√	√
Ciesemier, Michael D.	Morgan Stanley	Chicago		√	√	√
Covey III, F. Michael	UBS Private Wealth Management	Chicago		√	√	
Davis, Ted	UBS Financial Services	Oakbrook Terrace	√	√		
DeHond, Brad T.	Morgan Stanley	Chicago			√	
Desai, Ajay	UBS Private Wealth Management	Chicago		√	√	√
Easom, William H.	Morgan Stanley	Chicago		√		
Held, Richard M.	UBS Financial Services	Chicago		√	√	√
Hickey, Thomas M.	Merrill Lynch	Chicago	√	√	√	
Kane, Thomas	UBS Private Wealth Management	Chicago		√	√	
Kartheiser, Joseph	Morgan Stanley	Chicago		√	√	
Lee, Bruce K.	Merrill Lynch – Private Bank & Investment Group	Chicago			√	
Leshem, Benjamin	Wells Fargo Advisors	Deerfield		√	√	√

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
Magnesen, Scott K.	Morgan Stanley	Oak Brook	✓	✓	✓	
McLean, Russell James G.	Wells Fargo Advisors	Oak Brook		✓	✓	
Meyer, Douglas L.	Wells Fargo Advisors	Deerfield	✓	✓	✓	✓
Oberheide, James L.	Morgan Stanley	Chicago			✓	✓
Oberlander, Sharon F.	Merrill Lynch	Chicago		✓	✓	✓
Raihle, Maureen M.	Merrill Lynch – Private Bank & Investment Group	Chicago			✓	
Rice, Thomas E.	UBS Financial Services	Northbrook	✓	✓	✓	✓
Roeser, Kathy R.	Morgan Stanley	Chicago		✓	✓	
Silich, Joseph N.	Morgan Stanley	Chicago		✓		
Stenger, Ronald	Morgan Stanley	Oak Brook	✓	✓		
Stevenson, Jr., John G.	Wells Fargo Advisors	Quincy	✓	✓	✓	✓
Ver Bockel, John P.	Merrill Lynch – Private Bank & Investment Group	Chicago		✓	✓	
Wiktor, Mark	UBS Private Wealth Management	Chicago		✓	✓	
Wright, David C.	Merrill Lynch – Private Bank & Investment Group	Chicago			✓	
INDIANA						
Buck, Thomas J.	Merrill Lynch	Indianapolis	✓	✓	✓	✓
Cooke, Brian F.	Wells Fargo Advisors	Indianapolis	✓	✓	✓	✓
Cooke, J. Christopher	Wells Fargo Advisors	Indianapolis		✓	✓	✓
Estes, Adam	Hilliard Lyons	Bloomington	✓	✓	✓	✓
Stscherban, Paul	Robert W. Baird & Co.	Mishawaka	✓	✓	✓	✓
IOWA						
Fryar, Matthew	Wells Fargo Advisors	Des Moines	✓	✓	✓	✓
KANSAS						
Freeman, Sr., Thomas H.	UBS Financial Services	Leawood		✓	✓	✓
KENTUCKY						
Foutch, Dan J.	Hilliard Lyons	Glasgow		✓		
Mahurin, Pete	Hilliard Lyons	Bowling Green	✓	✓	✓	✓
Settle, Mitch	Hilliard Lyons	Owensboro	✓	✓	✓	✓
LOUISIANA						
Frayard, Rick	UBS Financial Services	Lafayette	✓	✓	✓	✓
Spiro, James M.	Morgan Stanley	New Orleans	✓	✓		
MAINE						
Burns, Jr., Jeremiah S.	Morgan Stanley	Portland			✓	
MARYLAND						
Baum, Patricia P.	RBC Wealth Management	Annapolis	✓	✓	✓	✓
Charkatz, Ross P.	Morgan Stanley	Potomac		✓	✓	✓
Etergino, Ann Marie	RBC Wealth Management	Chevy Chase	✓	✓	✓	✓
Fishbein, Ronald L.	Morgan Stanley	Rockville		✓	✓	✓
Orr, William F.	Merrill Lynch	Frederick		✓	✓	✓
Pearce, Kent V.	Merrill Lynch	Towson		✓	✓	✓
Scherer, Robert S.	Morgan Stanley	Potomac			✓	✓
Wagener, Richard H.	Wagener - Lee Wealth Advisors/Raymond James	Columbia		✓	✓	✓
MASSACHUSETTS						
Armstrong, Christine	Morgan Stanley	Boston	✓	✓		✓
Atwood, James	Merrill Lynch – Private Bank & Investment Group	Boston		✓	✓	✓
Bryan, Douglas E.	Morgan Stanley	Boston		✓	✓	✓
Connolly, Jr., Richard F.	Morgan Stanley	Boston	✓	✓	✓	✓
Corbett, L. O. Patrick	Morgan Stanley	Boston		✓	✓	✓
Dillon, Sean V.	UBS Financial Services	Boston		✓	✓	✓
Gillan, Duncan W.	Wells Fargo Advisors	Boston	✓	✓	✓	✓
Javaheri, David	Morgan Stanley	Wellesley		✓		
Kaplan, Susan C.	Kaplan Financial Services	Newton		✓	✓	✓
Livingstone, Victor T.	Morgan Stanley	Boston				✓

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
Mulvey, Brian Patrick	UBS Private Wealth Management	Boston			✓	
Nabhan, Edward G.	Morgan Stanley	Boston		✓	✓	
Princi, Peter B.	Morgan Stanley	Boston		✓	✓	✓
Principe, Steven R.	Morgan Stanley	Boston		✓	✓	✓
Sharma, Raj	Merrill Lynch – Private Bank & Investment Group	Boston			✓	✓
Simmons, Gregory W.	Merrill Lynch	Quincy	✓	✓	✓	✓
Strachan, Brian S.	Morgan Stanley	Boston	✓	✓	✓	✓
Sugar, Alex M.	Morgan Stanley	Boston		✓	✓	
Sullivan, William J.	UBS Private Wealth Management	Boston		✓	✓	
Swett, Jeffrey A.	UBS Financial Services	Boston	✓	✓	✓	✓
Traino, Jason M.	Morgan Stanley	Middleton	✓	✓	✓	✓
Wilson, Daniel	Ameriprise Financial	Auburndale	✓	✓		
Winthrop, Mark	Winthrop Wealth Management	Westborough	✓	✓	✓	✓
Zimmerman, Andrew H.	Morgan Stanley	Boston		✓	✓	
MICHIGAN						
Ballard, Bruce K.	Morgan Stanley	Bloomfield Hills		✓	✓	✓
Bernecker, Scott D.	Merrill Lynch	Grand Rapids		✓	✓	✓
Kulhavi, John G.	Merrill Lynch	Farmington Hills		✓		
Lozniskar, Dana M.	Merrill Lynch – Private Bank & Investment Group	Troy			✓	
Long, Timothy J.	Merrill Lynch	Grand Rapids		✓	✓	✓
Lund, David A.	Merrill Lynch	Grand Rapids		✓	✓	✓
Mackay, William S.	Merrill Lynch	Grand Rapids		✓	✓	✓
Rogers, Mark J.	Morgan Stanley	Farmington Hills		✓	✓	✓
Veldheer, James D.	Merrill Lynch	Grand Rapids		✓	✓	✓
Zhang, Charles C.	Zhang Financial	Portage		✓	✓	✓
MINNESOTA						
Adamski, Mary	RBC Wealth Management	Edina		✓		
Baker, Todd D.	Wells Fargo Advisors	Bloomington		✓	✓	✓
Bengtson, Jesse	Merrill Lynch	Stillwater		✓	✓	
Close, Louis D.	UBS Private Wealth Management	Minneapolis		✓	✓	
Drees, Tom	Morgan Stanley	Bloomington	✓	✓	✓	✓
Eckerline, Peter	Merrill Lynch	Wayzata		✓	✓	
Howe, Aaron M.	RBC Wealth Management	Wayzata		✓	✓	
Major, Charles L.	UBS Private Wealth Management	Minneapolis		✓	✓	✓
Swenson, Michael	Merrill Lynch – Private Bank & Investment Group	Wayzata		✓	✓	✓
MISSISSIPPI						
Mosby III, Bill Rush	UBS Financial Services	Jackson	✓	✓	✓	✓
MISSOURI						
King, Bernard J.	UBS Financial Services	St Louis		✓	✓	✓
Mistler, Richard	UBS Financial Services	Kansas City	✓	✓	✓	✓
Moore, John W.	Morgan Stanley	St Louis	✓	✓	✓	
NEBRASKA						
Beukelman, Jonathan	UBS Private Wealth Management	Lincoln		✓	✓	✓
Dworak, Jason M.	UBS Private Wealth Management	Lincoln		✓	✓	✓
Garlock, John "Buzz"	RBC Wealth Management	Omaha	✓	✓	✓	✓
Kelley, Richard W.	RBC Wealth Management	Omaha	✓		✓	✓
Robinson, Andrew C.	Morgan Stanley	Omaha	✓	✓	✓	
NEW JERSEY						
Barry, James R.	Merrill Lynch	Princeton	✓	✓	✓	✓
Berkery, Jr., Joseph W.	Merrill Lynch	Summit		✓	✓	
Cook, Christopher G.	Merrill Lynch	Florham Park		✓	✓	
Fendrick, Mark D.	UBS Financial Services	Mount Laurel	✓	✓	✓	✓
Hakim, Nina	UBS Financial Services	Westfield	✓	✓	✓	✓
Heavey, John W.	Morgan Stanley	Red Bank	✓	✓	✓	✓
Kreshpane, Karl L.	Morgan Stanley	Ridgewood		✓	✓	✓

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra HNW**	Institutional
Kugel, Elliott	Merrill Lynch	Bridgewater	✓	✓	✓	
Lippman, Mark J.	Wells Fargo Advisors	Linwood	✓	✓	✓	✓
Liss, Andrew R.	Merrill Lynch	Short Hills		✓	✓	✓
Malamut, Charles	Merrill Lynch	Egg Harbor Township	✓	✓	✓	✓
McLaughlin, James M.	Princeton Wealth Advisors of Raymond James	Princeton	✓	✓	✓	✓
McPeak, Neil	Wells Fargo Advisors	Linwood	✓	✓	✓	✓
Ricca, Michael J.	Morgan Stanley	Florham Park		✓	✓	✓
Schwartz, Daniel	UBS Private Wealth Management	Paramus		✓	✓	
Shegoski, L. Marc	UBS Financial Services	Princeton		✓	✓	✓
Spierer, Alan	UBS Financial Services	Westfield		✓	✓	✓
Walker, Ira A.	UBS Private Wealth Management	Red Bank			✓	✓
Weinerman, David S.	Morgan Stanley	Florham Park		✓	✓	✓
Zangari, Christopher	UBS Financial Services	Westfield		✓	✓	✓
NEW YORK						
Addessi, Mark A.	UBS Financial Services	New York	✓	✓	✓	✓
Basu, Ron	Morgan Stanley	New York			✓	✓
Beyer, David	Morgan Stanley	New York	✓	✓	✓	
Bickler, Eric	UBS Financial Services	White Plains	✓	✓	✓	
Bieber, David	Morgan Stanley	New York		✓	✓	✓
Bodner, Eric Scott	Merrill Lynch – Private Bank & Investment Group	New York			✓	
Bryan, Jeffrey M.	Merrill Lynch – Private Bank & Investment Group	New York			✓	✓
Carter, Kenneth W.	Wells Fargo Advisors	New City	✓	✓	✓	✓
Cohen, Leigh E.	Merrill Lynch – Private Bank & Investment Group	New York		✓	✓	
Cohen, Robert D.	UBS Financial Services	Uniondale	✓	✓	✓	✓
Coyle III, John F.	Morgan Stanley	Garden City		✓	✓	✓
Detterick, James J.	Morgan Stanley	New York	✓	✓	✓	✓
Einstein, William	UBS Financial Services	New York		✓	✓	
Elish, Harold	UBS Financial Services	New York	✓	✓	✓	✓
Filone, Jeffrey	Morgan Stanley	Garden City		✓	✓	✓
Hart, D. Andrew	Morgan Stanley	New York			✓	✓
Hersch, Gregory A.	UBS Financial Services	New York	✓	✓	✓	✓
Hollenbaugh, David	Merrill Lynch – Private Bank & Investment Group	New York			✓	✓
Kadden, Harvey B.	Morgan Stanley	New York		✓	✓	✓
Kass, Jonathan E.	Merrill Lynch	New York		✓	✓	✓
Katz, Jason	UBS Financial Services	New York		✓	✓	✓
Kavallieratos, Nick	Morgan Stanley	New York	✓	✓	✓	✓
Kazazes, Tom	Morgan Stanley	New York			✓	✓
Keegan, Thomas J.	Merrill Lynch – Private Bank & Investment Group	New York	✓	✓	✓	✓
Kleiner, Scott	Morgan Stanley	New York		✓	✓	✓
Klingman, Gerard A.	Klingman and Associates/Raymond James	New York		✓	✓	✓
Kobernick, Jeffrey M.	UBS Private Wealth Management	New York		✓	✓	✓
Kraus, Andrew P.	Merrill Lynch – Private Bank & Investment Group	New York			✓	
Lewis, Ryan C.	Morgan Stanley	New York		✓	✓	
Liebers, Lawrence C.	Merrill Lynch	New York		✓	✓	✓
Maddalena, Tony	Morgan Stanley	Purchase	✓	✓	✓	✓
Mahoney, Christopher J.	Merrill Lynch	West Nyack		✓	✓	✓
Malof, Christopher F.	Morgan Stanley	Buffalo		✓	✓	✓
Mark, Ira H.	RBC Wealth Management	New York			✓	
Marvin, Paul J.	Merrill Lynch	New York	✓	✓	✓	✓
McGinty, Bob	Merrill Lynch – Private Bank & Investment Group	New York			✓	
Mellert, Douglas M.	Merrill Lynch	New York		✓	✓	✓
Millman, Ira M.	UBS Financial Services	New York		✓	✓	✓
Moeder, Alyssa C.	Merrill Lynch – Private Bank & Investment Group	New York			✓	
Morgan McReynolds, Erna	Morgan Stanley	Oneonta	✓	✓	✓	✓
Nocon, Nannette	Ameriprise Financial	Rochester	✓	✓		
O'Connell, Daniel T.	Merrill Lynch	Garden City		✓	✓	✓
Olson, John D.	Merrill Lynch	New York		✓	✓	✓
Pastolove, Craig	Morgan Stanley	New York		✓	✓	✓
Perkins III, E. Howard	Morgan Stanley	Purchase		✓	✓	✓
Piniros, Fotios	Morgan Stanley	New York			✓	

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra HNW**	Institutional
Pluff, J. Daniel	Morgan Stanley	Syracuse	✓	✓	✓	✓
Rabito, Russell A.	UBS Financial Services	New York		✓	✓	✓
Sabia, Frank J.	UBS Financial Services	White Plains	✓	✓	✓	✓
Sager, Sharon T.	UBS Private Wealth Management	New York		✓	✓	✓
Salvino, Richard	Merrill Lynch – Private Bank & Investment Group	New York			✓	
Sauro, Christopher	Wells Fargo Advisors	White Plains	✓	✓	✓	✓
Sechan II, Robert J.	UBS Private Wealth Management	New York		✓	✓	✓
Seruya, Mark	Morgan Stanley	New York		✓	✓	✓
Sobocinski, David P.	Morgan Stanley	Melville		✓	✓	✓
Spector, Gary M.	UBS Financial Services	New York	✓	✓	✓	✓
Stackman, Scott L.	UBS Private Wealth Management	New York		✓	✓	
Steden, Heliane	Merrill Lynch	New York			✓	
Sullivan, Thomas E.	Merrill Lynch	Garden City	✓	✓	✓	
Svarre, Peter L.	Merrill Lynch	New York			✓	
Talish, Joel	Wells Fargo Advisors	White Plains		✓	✓	
Temel, Charles S.	UBS Financial Services	New York		✓	✓	✓
Terzioglu, Ahmet	Morgan Stanley	Rochester	✓	✓	✓	✓
Vinder, Ron	UBS Financial Services	New York			✓	
Weil, Noel L.	Merrill Lynch – Private Bank & Investment Group	New York			✓	
Wilson, Scott C.	Morgan Stanley	New York		✓	✓	✓
NORTH CAROLINA						
Cash, Gregory M.	Merrill Lynch – Private Bank & Investment Group	Charlotte			✓	
Davis, Christopher W.	Wells Fargo Advisors	Davidson	✓	✓	✓	✓
Knott, Bruce W.	Wells Fargo Advisors	Chapel Hill	✓	✓	✓	
Miles, Pamela P.	Wells Fargo Advisors	North Wilkesboro	✓	✓	✓	
Murchison III, John Reid	Wells Fargo Advisors	Wilmington	✓	✓	✓	✓
Oliver, William M.	Wells Fargo Advisors	Charlotte		✓	✓	
Wickham, R. Mitchell	Merrill Lynch – Private Bank & Investment Group	Charlotte			✓	
OHIO						
Edwards, Brian J.	Morgan Stanley	Columbus	✓	✓	✓	✓
Evelo, Joseph H.	Merrill Lynch – Private Bank & Investment Group	Cincinnati		✓	✓	✓
Keidan, Robert S.	Keidan Financial Consultants	Columbus	✓	✓	✓	✓
Knowles III, Harvey C.	Merrill Lynch	Cincinnati		✓	✓	✓
Myeroff, Kevin	NCA Financial Planners	Cleveland		✓		
Sarran, William R.	Morgan Stanley	Cincinnati		✓	✓	
Schwartz, Walter S.	Merrill Lynch	Pepper Pike	✓	✓	✓	✓
Shane, Jon R.	Merrill Lynch	Pepper Pike	✓	✓	✓	✓
Singer, David L.	Merrill Lynch – Private Bank & Investment Group	Cincinnati		✓	✓	✓
Torbeck, Dan L.	UBS Financial Services	Cincinnati		✓	✓	
Washburn, Todd	Morgan Stanley	Cincinnati		✓	✓	✓
OKLAHOMA						
Cary III, John W.	Morgan Stanley	Tulsa		✓		
OREGON						
Clemans, Glen A.	CGC Financial Services	Lake Oswego	✓	✓	✓	✓
McGee, Judith A.	McGee Wealth Management/Raymond James	Portland	✓	✓		✓
PENNSYLVANIA						
Blumenthal, Edward S.	Janney Montgomery Scott	Philadelphia	✓	✓	✓	✓
Brown, Jr., William H.	Merrill Lynch	Sewickley		✓	✓	
Duckworth, Michael D.	Merrill Lynch – Private Bank & Investment Group	Pittsburgh		✓	✓	✓
Gallagher, John W.	Morgan Stanley	Bryn Mawr	✓	✓	✓	
Hayes, Gregory	Merrill Lynch	Yardley	✓	✓	✓	✓
Kron, David J.	Wells Fargo Advisors	Philadelphia	✓	✓		✓
Richman, Marc S.	Morgan Stanley	Philadelphia			✓	
Rimmel, James W.	UBS Financial Services	Pittsburgh	✓	✓	✓	✓
Rohr, Peter A.	Merrill Lynch – Private Bank & Investment Group	Philadelphia			✓	✓
Solis-Cohen, John A.	Wells Fargo Advisors	Jenkintown	✓	✓	✓	✓

FT 400 Top Financial Advisers

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
RHODE ISLAND						
Makin, Malcolm A.	Professional Planning Group/Raymond James	Westerly	✓	✓	✓	✓
SOUTH CAROLINA						
Covington III, J. Preston	Wells Fargo Advisors	Columbia	✓	✓	✓	✓
Ellison, Jr., J. Hagood	Merrill Lynch	Columbia		✓	✓	✓
Kibler, E. Robertson	Merrill Lynch	Columbia		✓	✓	✓
Vingi, Jr., Robert E.	Wells Fargo Advisors	Charleston	✓	✓	✓	✓
TENNESSEE						
Eskind, William H.	Wells Fargo Advisors	Nashville	✓	✓	✓	✓
Hepner, David E.	Merrill Lynch	Germantown	✓	✓	✓	✓
Kinney, Raymond A.	Merrill Lynch	Memphis	✓	✓	✓	✓
Petty III, John H.	Petty Moore Advisory Group of Raymond James	Memphis		✓	✓	✓
TEXAS						
Blonkvist, Kevin M.	RBC Wealth Management	Midland	✓	✓	✓	✓
Bollinger, J. Michael	Morgan Stanley	Houston			✓	
Carlson, Randy	Merrill Lynch	Dallas		✓		
Caryl, Ted L.	Merrill Lynch	Houston		✓		
Coffee, Jr., James L.	Merrill Lynch	Houston	✓	✓	✓	
Crocker, J. Dow	Crocker Prince & Blackford Group of Raymond James	Dallas		✓	✓	✓
de Groot, Frederick A.	Merrill Lynch	The Woodlands		✓	✓	✓
Frisco, William	Morgan Stanley	Houston		✓		
Gouldin, William "Bill" W.	Morgan Stanley	Houston		✓	✓	✓
Hardin, Rob C.	Wells Fargo Advisors	Houston	✓	✓	✓	✓
Holstead, Thomas Scott	Merrill Lynch	Houston			✓	
Johri, Anupam	Morgan Stanley	Plano		✓		
Kever, Mark	UBS Financial Services	Addison	✓	✓	✓	✓
Klenke, Gregory	UBS Financial Services	Houston	✓	✓	✓	✓
Lockwood, Elizabeth G.	UBS Financial Services	Houston		✓	✓	
Metzger, Lewis	Morgan Stanley	Houston		✓	✓	
Miller, Shott F.	Merrill Lynch	Fort Worth	✓	✓	✓	✓
Moldawer, Palmer	Morgan Stanley	Houston			✓	✓
Moore, Mark A.	UBS Financial Services	Austin		✓	✓	✓
Neuhaus, Charles E.	Wells Fargo Advisors	Houston		✓	✓	✓
Newton, Jeremy Charles	Morgan Stanley	Houston		✓	✓	

Name	Company	City	Client segments served			
			Individual	HNW*	Ultra-HNW**	Institutional
Pearcy, Van M.	Van Percy's Wealth Services Team/Raymond James	Midland		✓	✓	✓
Piatas, Richard W.	Merrill Lynch	Dallas		✓	✓	
Pickle, Jan D.	UBS Financial Services	Austin	✓	✓	✓	✓
Sammons, Joseph	Morgan Stanley	San Antonio		✓	✓	✓
Sauer, Brian C.	UBS Financial Services	Houston		✓	✓	
Schroeder, Ralph	Ameriprise Financial	The Woodlands	✓	✓	✓	
Smith, Reed H.B.	Merrill Lynch – Private Bank & Investment Group	Houston			✓	
Tiras, Scott	Ameriprise Financial	Houston	✓	✓	✓	✓
Walsh, Marc P.	Merrill Lynch	Houston		✓	✓	✓
Warren III, Champ D.	Merrill Lynch – Private Bank & Investment Group	Houston			✓	
Young, Barry	UBS Financial Services	Houston		✓	✓	
UTAH						
Runia, Raymond Scott	Merrill Lynch – Private Bank & Investment Group	Provo			✓	✓
VIRGINIA						
Cassaday, Stephan Q.	Cassaday and Company	McLean		✓		
Gill, John A.	BB&T Scott and Stringfellow	Virginia Beach	✓	✓	✓	✓
Montgomery, Joseph W.	Wells Fargo Advisors	Williamsburg		✓	✓	✓
Salomon, Dalal Maria	Wells Fargo Advisors	Richmond	✓	✓	✓	
Smith, Gregory S.	Robert W. Baird & Co.	Reston	✓	✓	✓	
WASHINGTON						
Braun, Dean	Morgan Stanley	Seattle			✓	
Cook, Terry L.	UBS Private Wealth Management	Bellevue			✓	
Geri, Michael A.	RBC Wealth Management	Seattle		✓		
Hampson, Wayne C.	Merrill Lynch	Seattle		✓	✓	✓
Mash, Jeff	Morgan Stanley	Bellevue	✓	✓	✓	✓
Miller, Dale T.	Morgan Stanley	Bellevue		✓	✓	
Nelson, Robert A.	Morgan Stanley	Seattle			✓	
Reveley, Thomas L.	Merrill Lynch	Bainbridge Island		✓		
WISCONSIN						
Berg, Gregory G.	Wells Fargo Advisors	Milwaukee	✓	✓	✓	✓
Burish, Andrew D.	UBS Financial Services	Madison	✓	✓	✓	✓
Epstein, David S.	Robert W. Baird & Co.	Milwaukee		✓	✓	✓
Klein, Michael G.	Robert W. Baird & Co.	Milwaukee			✓	✓

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

Methodology How the FT 400 Top Financial Advisers list was compiled

The guiding principle behind the FT 400 is to focus on investors. We assessed financial advisers from the perspective of current and prospective clients.

The methodology is quantifiable and objective. In autumn 2013, the FT contacted the largest US brokerage firms to solicit advisers' practice information and data for the firms' most elite advisers. Thus, we could obtain verified adviser data on assets under management, rather than relying on adviser self-reporting, thereby increasing the list's credibility. We asked the broker-dealers for

advisers with 10 or more years' experience and \$200m or more in assets under management; the brokerages had no subjective input.

The FT invited the 1,500 advisers who qualified to fill out a short questionnaire that gave us more information about their practices. We augmented that information with our 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 score for each adviser. Areas considered include adviser assets under

management, asset growth, years of experience, industry certification, Financial Industry Regulatory Authority compliance record and online accessibility:

Assets under management
Signals experience managing money and client trust

Assets under management growth rate
Developing assets is a proxy for performance, as well as for asset retention and ability to generate new business

Years of experience
Indicates experience in managing assets in different

economic and interest-rate environments

Compliance record
Provides evidence of past client disputes – a string of complaints can indicate potential problems

Industry certifications
Shows technical and industry knowledge. Designations such as CFA (chartered financial analyst) or CFP (certified financial planner) signal a professional commitment to investment skills

Online accessibility
Illustrates commitment to providing investors with easy

access and transparent contact information

Assets under management and asset growth comprise 80-85 per cent of each adviser's score. Additionally, to provide a diversity of advisers, the FT places a cap on the number from any one US state that is roughly correlated to the distribution of millionaires across the US.

We present the FT 400 as an elite group, not ranked from one to 400, since each adviser takes a different approach to their practice and has different specialisations.

Loren Fox