Special Reports

The FT 300 list

Our state-by-state guide to RIA companies with at least \$300m of assets under management

Loren Fox JUNE 15, 2016

This third edition of the Financial Times 300 has assessed US registered investment advisers (RIAs) on desirable traits for investors.

To ensure a list of established companies with deep, institutional expertise, we examine the database of RIAs registered with the US <u>Securities and Exchange Commission</u> and select those that reported to the SEC that they had \$300m or more in assets under management (AUM). The Financial Times' methodology is quantifiable and objective. The RIAs had no subjective input.

The FT invited qualifying RIA companies — more than 1,500 — to complete a lengthy application that gave us more information about them. We added to this with our own research into their practices, including data from regulatory filings. Some 520 RIA companies applied and 300 made the final list.

The formula the FT uses to grade advisers is based on six broad factors and calculates a numeric score for each adviser. Areas of consideration include adviser AUM, asset growth, the company's age, industry certifications of key employees, SEC compliance record, and online accessibility. The reasons these were chosen are as follows:

- AUM signals experience managing money and client trust.
- AUM growth rate can be a proxy for performance, as well as for asset retention and the ability to generate new business. We assessed companies on both one-year and two-year growth rates.
- Companies' years in existence indicates reliability and experience of managing assets through different market environments.
- Compliance record provides evidence of past client disputes; a string of complaints can signal potential problems.
- Industry certifications (CFA, CFP, etc) shows the company's staff has technical and industry knowledge, and signals a professional commitment to investment skills.
- Online accessibility demonstrates a desire to provide easy access and transparent contact information.

Assets under management and asset growth, combined, comprised roughly 80 to 85 per cent of each adviser's score.

Additionally, the FT caps the number of companies from any one state. The cap is roughly based on the distribution of millionaires across the US.

We present the FT 300 as an elite group, not a competitive ranking of one to 300. This is the fairest way to identify the industry's elite advisers while accounting for the firms' different approaches and different specialisations.

The research was conducted on behalf of the Financial Times by Ignites Distribution Research, a Financial Times sister publication.

		Client segments se	rved
Name	City	Retail (individuals with less than \$1 million) High Net Worth (individuals with \$1 million - \$10 million) Ultra-High Net Worth (individuals with	\$10 million+) Institutional
ALABAMA			
HighTower Twickenham	Huntsville	/ / /	1
ARIZONA			
Galvin, Gaustad & Stein, LLC	Scottsdale	1 1 1	
MRA Associates	Phoenix	/ / /	1
TCI Wealth Advisors, Inc.	Tucson	1 1 1	1
United Planners Financial Services	Scottsdale	/ / /	1
ARKANSAS			
Sowell Management Services	North Little Rock	/ /	1
CALIFORNIA			
AMI Asset Management	Los Angeles	/ / /	1
Aspiriant	Los Angeles	/ /	1
Atlas Capital Advisors	San Francisco	/ /	1
B O S (Bingham, Osborn & Scarborough)	San Francisco	1 1	1
Baker Street Advisors, LLC	San Francisco	/ /	
Beacon Pointe Advisors	Newport Beach	1 1 1	1
California Financial Advisors	San Ramon	/ / /	
Callan Capital	La Jolla	/ /	1
Camden Capital, LLC	El Segundo	/ / /	
Cardiff Park Advisors	Carlsbad	1 1 1	
Checchi Capital Advisers, LLC	Beverly Hills	V V	1

		Client	segmen	ts serve	d
Name	City	Refail (individuals with less than \$1 million)	High Net Worth (individuals with \$1 million - \$10 million)	Ultra-High Net Worth (individuals with \$10 million+)	Institutional
Churchill Management Group	Los Angeles	1	1	1	1
Clifford Swan Investment Counselors	Pasadena	/	/	/	/
Covington Capital Management	Los Angeles		1	/	1
Dan Goldie Financial Services LLC	Palo Alto	1	/	/	•
Destination Wealth Management	Walnut Creek	1	1	*	
Dixon Financial Services, Inc.	Lafayette	/	1	/	1
Dowling & Yahnke, LLC	San Diego		1	1	1
Efficient Market Advisors, LLC	San Diego	/	/	•	•
Ensemble Capital Management	Burlingame	1	1	/	1
		1	1	/	
Evanson Asset Management	Carmel San Francisco	1	1		,
First Republic Investment Management, Inc. Genovese Burford & Brothers	Sacramento	1		1	1
	San Mateo	1	1	/	1
Golub Group					1
Hanson McClain Advisors	Sacramento	1	1	1	1
HighTower San Diego	San Diego	,		/	,
HoyleCohen, LLC	San Diego	1	1		1
Index Fund Advisors, Inc.	Irvine.		1	1	1
Jackson Financial Management	Costa Mesa	1	1	1	1
Kestra Private Wealth Services, LLC	San Diego		1	/	1
L&S Advisors, Inc.	Los Angeles	1	1	/	
Lido Advisors, LLC	Beverly Hills Alamo	,	1	/	1
Lodestar Private Asset Management		1	1	1	1
Mission Wealth Management, LLC	Santa Barbara Calabasas				1
Morton Capital Management		1	1	1	1
Parallel Advisors, LLC	San Francisco				1
Personal Capital	San Carlos Desifica	1	/	/	,
Pillar Pacific Capital Management PlanMember Financial Co.	Pacifica		1	/	1
	Carpinteria San Bafaal	1	1	,	1
Polaris Greystone Financial Group	San Rafael	~	1	/	1
Private Ocean Wealth Management, LLC	San Rafael	1	1	1	1
Pure Financial Advisors, Inc. Rand & Associates	San Diego San Francisco	/	1	/	,
		1	1	1	1
Raub Brock Capital Management, LP	Larkspur Neumant Peach				1
RS Crum, Inc. Sand Hill Global Advisors	Newport Beach Palo Alto	/	1	1	,
Scharf Investments, LLC			1	•	/
Signature Estate & Investment Advisors, LLC	Scotts Valley Los Angeles	1	1	/	1
United Capital Financial Advisers, LLC	Newport Beach	1	1	/	/
		1	1	1	1
Westmount Asset Management, LLC Willow Creek Wealth Management, Inc.	Los Angeles Sebastopol	/	1	/	1
willow creek wealth Management, Inc.	Seoastopoi	,	•	~	•
COLORADO					
BSW Wealth Partners	Boulder	/	1	/	1
	Boulder	1	1		1
Colorado Financial Management		V	v	1	1
Crestone Capital Advisors	Boulder	,	,	1	,
Innovest Portfolio Solutions	Denver Colorado Soringe	1	1	1	1
Intervest International, Inc. Wakefield Asset Management	Colorado Springs Englewood	1	1	•	/
Havered Asset Fidilityelletti	Lityrenood		*		√

CONNECTICUT					
Bradley, Foster & Sargent, Inc.	Hartford	1	1	1	1
Connecticut Wealth Management, LLC	Farmington	1	1	1	1
Greenwich Investment Management, Inc.	ealth Management, LLC Farmington	1			
Investmark Advisory Group, LLC	nent Management, Inc. Stamford Try Group, LLC Stratford Try Group, LLC Stamford Try Group, LLC Washington Try Group, LLC Try Group, L	1			
Relyea Zuckerberg Hanson, LLC	Stamford		1	1	
DISTRICT OF COLUMBIA					
Alexandria Capital, LLC	OLUMBIA tal, LLC Washington	1			
Farr, Miller & Washington, LLC	a Capital, LLC Washington	1			
Lynx Investment Advisory	Washington		1	1	1
FLORIDA					
ARS Wealth Advisors	Saint Petersburg	1	1	1	
BigSur Wealth Management LLC	Miami			1	
Bott-Anderson Partners, Inc.	Jacksonville		1	1	1

		Client	segmen	ts serve	ed
Name	City	Retail (individuals with less than \$1 million)	High Net Worth (individuals with \$1 million - \$10 million)	Ultra-High Net Worth (individuals with \$10 million+)	Institutional
Cumberland Advisors	Sarasota	1	1	1	1
Dimension Capital Management	Miami		1	1	1
Finser International Corporation	Miami	1	1	1	1
GenTrust	Miami			1	1
Global Financial Private Capital, LLC	Sarasota	1	1	1	1
Moisand Fitzgerald Tamayo, LLC	Orlando	1	1		1
Premia Global Advisors	Coral Gables		1	1	1
ProVise Management Group, LLC	Clearwater	1	1	1	1
Resource Consulting Group	Orlando	1	1	1	1
Ruggie Wealth Management	Tavares	1	1	1	1
Singer Xenos Wealth Management	Coral Gables	1	1	1	
Water Oak Advisors	Winter Park	1	1	1	1
WE Family Offices	Miami			1	
GEORGIA					
A. Montag and Associates	Atlanta		1	1	1
Atlantic Trust	Atlanta		1	/	/
Balentine	Atlanta		1	1	1
Berman Capital Advisors, LLC	Atlanta		1	1	/
Brightworth	Atlanta	1	1	1	1
Buckhead Investment Partners	Atlanta	1	1		/
GV Financial Advisors	Atlanta		1	1	
Homrich Berg	Atlanta	/	1	1	/
SignatureFD, LLC	Atlanta		1	1	
Stewardship Financial Advisors, LLC	Stockbridge	/	1	1	
Willis Investment Counsel	Gainesville		1	1	1
ILLINOIS					
Archford Capital Strategies	Swansea	1	1	1	/
Balasa Dinverno Foltz LLC	Itasca		1	1	1
Brookstone Capital Management	Wheaton	1	/		/
Brownson, Rehmus & Foxworth	Chicago		1	1	1
Chicago Partners Wealth Advisors	Chicago	1	/	/	/
Cozad Asset Management, Inc.	Champaign	1	1	1	1
Dearborn Partners, LLC	Chicago	/	/	/	/
EMBREE FINANCIAL Group	Chicago	1	1	1	1
Geneva Advisors, LLC	Chicago	1	/	/	/
HighPoint Advisor Group, LLC	Downers Grove	1	1	1	1
JMG Financial Group, Ltd.	Oak Brook		/	/	-51
Leonetti & Associates, LLC	Buffalo Grove	1	1	1	1
Rappaport Reiches Capital Management	Skokie	/	/	/	
Rothschild Investment Corporation	Chicago	1	1		1
Savant Capital, LLC	Rockford	1	/	1	/
Segall Bryant & Hamill	Chicago	1	1	1	1
Strategic Wealth Partners	Deerfield	1	1	1	/
The Mather Group	Chicago		1	1	
Whitnell & Co.	Oak Brook	/	1	1	
**************************************	WHAT SHEET STORE				
INDIANA					
			2		

Bedel Financial Consulting, Inc.	Indianapolis	/	1	1	1
Column Capital	Indianapolis	1	1	1	1
Donaldson Capital Management, LLC	Evansville	1	1	1	1
Sheaff Brock Investment Advisors, LLC	Indianapolis	1	1	1	1
Valeo Financial Advisors, LLC	Indianapolis	/	1	1	1
IOWA					
Foster Group, Inc.	West Des Moines	1	1	1	1
Honkamp Krueger Financial Services, Inc.	Dubuque	1	1	1	1
Steele Capital Management, Inc.	Dubuque	1	1		1
KANSAS					
Creative Planning, Inc.	Leawood	1	1	1	1
Financial Advisory Service, Inc.	Leawood	1	1	1	
Sunrise Advisors	Leawood	1	1	1	1

	The FT 300 list i Financial Times				
		Client	segmen	ts serve	d
Name	City	Retail (individuals with less than \$1 million)	High Net Worth (Individuals with \$1 million - \$10 million)	Ultra-High Net Worth (individuals with \$10 million+)	Institutional
KENTUCKY					
ARGI Investment Services	Louisville	1	1	1	1
MCF Advisors, LLC	Covington	1	1	1	1
LOUISIANA					
Resource Management, LLC	Metairie	1	1	1	
Summit Financial Wealth Advisors	Lafayette	/	1	1	1
MARYLAND					
Baltimore-Washington Financial Advisors	Columbia	1	1	1	1
Bridgewater Wealth & Financial Management, LLC	Bethesda	1	/	1	1
FBB Capital Partners	Bethesda	/	1	1	/
Heritage Investors Management Corporation	Bethesda	1	/	1	1
HighTower Bethesda	Bethesda	/	1	1	1
Maryland Capital Management	Baltimore	/	1	1	/
Wagner Bowman Management Corp	Baltimore	1	1	1	1
MASSACHUSETTS					
Adviser Investments	Newton	1	/	1	1
Athena Capital Advisors LLC	Lincoln		1	1	1
Aureus Asset Management, LLC	Boston	1	1	1	1
Ballentine Partners, LLC	Waltham	,	1	1	1
Boston Private Wealth LLC	Boston	1	1	1	1
Congress Wealth Management	Boston	,	1	1	1
F.L.Putnam Investment Management Company	Wellesley Westborough	1	1	1	1
Grimes & Company, Inc. GW & Wade, LLC	Wellesley	1			
New England Private Wealth Advisors, LLC	Wellesley		1	1	1
O'Brien Management, LLC	Boston	1	1	1	1
SCS Financial	Boston	*		1	1
St. Germain Investment Management	Springfield	1	1	1	1
The Colony Group	Boston	1	1	1	/
Wilkins Investment Counsel Inc.	Boston	·	1	1	1
Zevin Asset Management, LLC	Boston	/	/	/	1
		i			
MICHIGAN					
Center for Financial Planning, Inc.	Southfield	1	1	1	1
Diversified Portfolios, Inc.	Bloomfield Hills	1	1	1	1
Financial Advisory Corporation	Grand Rapids	1	1	1	1
FormulaFolio Investments LLC	Grand Rapids	1	1	1	1
Integrated Investment Consultants, LLC	Birmingham		1	1	1
Plante Moran Financial Advisors	Southfield	1	1	1	1
Retirement Income Solutions, Inc.	Ann Arbor	1	1	1	
Schechter Investment Advisors, LLC	Birmingham		1	1	
Zhang Financial	Portage	1	1	1	1
MINNESOTA					
JNBA Financial Advisors	Minneapolis	1	1	1	1
SilverOak Wealth Management LLC	Edina	1	1	1	

Stonebridge Capital Advisors, LLC	Saint Paul	✓	1	✓	✓
MISSISSIPPI					
Medley & Brown, LLC	Ridgeland	/	1	1	1
MISSOURI					
Acropolis Investment Management, LLC	Chesterfield	✓	1	1	1
BKD Wealth Advisors, LLC	Springfield	1	1	1	1
Buckingham Asset Management	St. Louis	1	1	1	1
Droms Strauss Wealth Management	St. Louis	1	1	1	1
Frontier Wealth Management, LLC	Kansas City	1	1	1	1
Krilogy Financial LLC	St. Louis	1	1	1	1
Moneta Group	Clayton	1	1	1	1
Plancorp, LLC	St. Louis	1	1	1	1
Zemenick & Walker, Inc.	St. Louis	1	1	1	1

Name			Client	segmen	its serve	ed
Bridges Investment Management	Name	City	Retail (individuals with less than \$1 million)	High Net Worth (individuals with \$1 million - \$10 million)	Ultra-High Net Worth (individuals with \$10 million+)	Institutional
Carson Wealth Management Group	NEBRASKA					
NEVADA	Bridges Investment Management	Omaha	1	1	1	1
NEWADA	Carson Wealth Management Group	Omaha	1	1	1	
Arista Wealth Management High Tower Las Vegas Henderson NEW JERSEY Advisors Capital Management, LLC Ridgewood Ridge	WealthPLAN Partners	Omaha		1	1	1
Arista Wealth Management High Tower Las Vegas Henderson NEW JERSEY Advisors Capital Management, LLC Ridgewood Ridge						
HighTower Las Vegas						
NEW JERSEY Advisors Capital Management, LLC Ridgewood CRA Financial LLC Northfield CRA Financial LLC Northfield CRA Financial Croup, Inc. Basking Ridge CRA Financial Group, Inc. Modera Wealth Management, LLC Westwood CRA Financial Group, Inc. Modera Wealth Management, LLC Westwood CRA Financial CFO Solutions, LLC Personal CFO Solutions, LLC Personal CFO Solutions, LLC Chester CRA Advisor Group, LLC Morristown CRA Advisor Group, LLC Morristown CREDW Stanley Financial Advisors, LLC NEW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque CRA Advisor Republic Advisors, LLC New York Ascent Wealth Partners, LLC New York Determent New York Catalyst Capital Advisors LLC New York Catalyst Capital Advisors LLC New York Cevercore Wealth Management, LLC New York Cevercore Wealth Management Cevercore Wealth	Service a service serv					
Advisors Capital Management, LLC Ridgewood /	HighTower Las Vegas	Henderson	/	/	1	/
Advisors Capital Management, LLC Ridgewood /						
CFS Investment Advisory Services, LLC CRA Financial LLC Northfield J J J Delta Financial Group, Inc. Basking Ridge J J Modera Wealth Management, LLC Westwood J J Pathstone Federal Street For Lee For Lee For Lee Frivate Advisor Group, LLC Chester Frivate Advisor Group, LLC Chester Frivate Advisor Group, LLC Summit J J J J Tradition Capital Management, LLC Summit J J J J J Summit J J J J J J J Summit J J J J J J Summit J J J J J Summit J J J J J J J J Summit J J J J J J J J J J J Summit J J J J J J J J J J J J J Summit J J J J J J J J J J J J J Summit J J J J J J J J J J J J J J Summit J J J J J J J J J J J J J J J J J J J		Didaguand	,	,	,	,
CRA Financial LLC Northfield						1
Delta Financial Group, Inc. Basking Ridge						
Modera Wealth Management, LLC Pathstone Federal Street Fort Lee Personal CFO Solutions, LLC Chester Private Advisor Group, LLC Morristown V Tradition Capital Management, LLC Summit V V V NEW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque V V V V Seekman Wealth Partners, LLC Utica Beekman Wealth Partners, LLC We York Betterment New York V Catalyst Capital Advisory, LLC New York We York V Catalyst Capital Advisors LLC New York V Forbes Family Trust New York Mew York Mew York New York V Forbes Family Trust New York New Y				-		
Pathstone Federal Street Personal CFO Solutions, LLC Chester Private Advisor Group, LLC Morristown Tradition Capital Management, LLC Summit NEW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque NEW YORK NEW Wealth Partners, LLC Utica Seekman Wealth Advisory, LLC New York Betterment New York Vallay Capital Advisors LLC Huntington Vallay Capital Advisors LLC New York Vercore Wealth Management, LLC New York Vercore, Wealth Management New York Vercore, Verco						
Personal CFO Solutions, LLC Private Advisor Group, LLC Morristown Tradition Capital Management, LLC Summit NEW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque NEW YORK Ascent Wealth Partners, LLC Utica Ascent Wealth Partners, LLC Beterman Wealth Advisory, LLC New York Ascent Wealth Advisors LLC New York Ascent Wealth Advisors LLC New York Ascent Wealth Advisors LLC New York Ascent Wealth Management, LLC New York Ascent Wealth Management New York Ascent Mealth Meal			~			
Private Advisor Group, LLC Tradition Capital Management, LLC Summit V V V V Tradition Capital Management, LLC Summit V V V V V Tradition Capital Management, LLC Summit V V V V V Tradition Capital Management, LLC NeW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque V V V V Seekman Wealth Partners, LLC Utika V V V Seekman Wealth Advisory, LLC New York Betterment New York V Tatalyst Capital Advisors LLC Huntington V V V Tobuglass Winthrop Advisors LLC New York V Financial Partners Capital Management, LLC New York V Forbes Family Trust V Forbe			,			-
Tradition Capital Management, LLC NEW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque / / / / / New YORK Ascent Wealth Partners, LLC Beekman Wealth Advisory, LLC New York Betterment New York Joel Sanagement, LLC New York New York V / / Financial Partners Capital Management, LLC Mew York Meville Wey York Joel Sanagement New York Meville Joel Sanagement, LLC New York Meville Joel Isaacson & Co., LLC New York Joel Isaacson & Co., LLC New York New York Joel Isaacson & Associates, LLC New York New York Joel Isaacson & Co., LLC New York New York Joel Isaacson & Co., LLC New York New York Joel Isaacson & Co., LLC New York New York Joel Isaacson & Co., LLC New York New York Joel Isaacson & Co., LLC New York New York Joel Isaacson & Co., LLC Joel			-	-		,
NEW MEXICO REDW Stanley Financial Advisors, LLC Albuquerque V V V NEW YORK Ascent Wealth Partners, LLC Utica New York Betterment New York Catalyst Capital Advisors LLC Huntington V V V Evercore Wealth Management, LLC New York New York V V V Financial Partners Capital Management, LLC Mew York New York V V V Forbes Family Trust Melville Melville V HSW Advisors, HighTower New York New York New York V V V Kings Point Capital Management, LLC New York New York New York New York V V V Klingman & Associates, LLC New York New Hartford New York New Providence Asset Management New York New Providence Asset Management New York New Providence Asset Management New York New York New York New Providence Asset Management New York New Providence Asset Management New York Ne						
REDW Stanley Financial Advisors, LLC New YORK Ascent Wealth Partners, LLC Beekman Wealth Advisory, LLC New York New York Actalyst Capital Advisors LLC Litica New York Actalyst Capital Advisors LLC New York Levercore Wealth Management, LLC New York Actalyst Capital Management, LLC New York New Providence Asset Management New York New York New Providence Asset Management New York New Providence Asset Management New York New Providence Asset Management New York	Tradition Capital Management, LLC	Summir	/	V	V	/
REDW Stanley Financial Advisors, LLC New YORK Ascent Wealth Partners, LLC Beekman Wealth Advisory, LLC New York New York Actalyst Capital Advisors LLC Litica New York Actalyst Capital Advisors LLC New York Levercore Wealth Management, LLC New York Actalyst Capital Management, LLC New York New Providence Asset Management New York New York New Providence Asset Management New York New Providence Asset Management New York New Providence Asset Management New York	NEW MEXICO					
NEW YORK Ascent Wealth Partners, LLC Beekman Wealth Advisory, LLC Beetman Wealth Advisory, LLC Betterment New York V Catalyst Capital Advisors LLC Huntington Douglass Winthrop Advisors LLC New York Evercore Wealth Management, LLC New York V V Financial Partners Capital Management, LLC New York Wey Work Wey York Wey Work Wey Work Wey York Wey Work Wey Work Wey York Wey Work Welliamsville Welliamsville Wey York Wey York Wey York Wey Welliamsville Wey York Wey Welliamsville Wey York Wey York Wey York Wey Welliamsville Wey York Wey		Albuquerque	1	1	1	1
Ascent Wealth Partners, LLC Beekman Wealth Advisory, LLC Beetterment New York Betterment New York Catalyst Capital Advisors LLC Huntington New York V V Evercore Wealth Management, LLC New York New York Financial Partners Capital Management, LLC New York New York W Forbes Family Trust New York Melville Wey York HPM Partners LLC New York New York W HSW Advisors, HighTower New York New York Joel Isaacson & Co, LLC New York New York New York New York V Klingman & Associates, LLC New York New York New York V LUW Advisors Pittsford New York New Providence Asset Management New York	NEDW Statiley Filancial Advisors, Eco	randucique				
Ascent Wealth Partners, LLC Beekman Wealth Advisory, LLC Beetterment New York Betterment New York Catalyst Capital Advisors LLC Huntington New York V V Evercore Wealth Management, LLC New York New York Financial Partners Capital Management, LLC New York New York W Forbes Family Trust New York Melville Wey York HPM Partners LLC New York New York W HSW Advisors, HighTower New York New York Joel Isaacson & Co, LLC New York New York New York New York V Klingman & Associates, LLC New York New York New York V LUW Advisors Pittsford New York New Providence Asset Management New York	NEW YORK					
Beekman Wealth Advisory, LLC New York New York J Catalyst Capital Advisors LLC Huntington New York New York New York V Z Evercore Wealth Management, LLC New York N		Utica	1	/	/	1
Betterment New York						
Catalyst Capital Advisors LLC Douglass Winthrop Advisors LLC New York Evercore Wealth Management, LLC New York New York Financial Partners Capital Management, LLC New York New York New York Melville HPM Partners LLC New York New York HSW Advisory Group, Inc. HPM Partners LLC New York New York We York Joel Isaacson & Co., LLC New York Williams & Associates, LLC New York We York Williamsville We York Williamsville			1	1		/
Douglass Winthrop Advisors LLC New York	Catalyst Capital Advisors LLC	Huntington				
Evercore Wealth Management, LLC New York Financial Partners Capital Management, LLC New York New York New York Melville Wester Family Trust Melville New York New York New York New York New York New York Wester Family Trust Melville Wester Family Trust Melville Wester Family Trust New York New York Wester Family Trust New York New York Wester Family Trust Wester Family Trust Wester Family Trust New York Wester Family Trust Wester Fam	Douglass Winthrop Advisors LLC	Bightill op≅ities. I			/	1
Financial Partners Capital Management, LLC New York New York Melville Welville New York Welville Welville New York Welville New York Welville New York Welville New York Welville We		New York		1		
Forbes Family Trust GM Advisory Group, Inc. Melville V V FMPM Partners LLC New York New York New York New York Joel Isaacson & Co, LLC New York Kings Point Capital Management, LLC Great Neck V Klingman & Associates, LLC New York V V Lebenthal Asset Management New York New York V V V New York V V V Cly Advisors Pittsford New Hartford Morse, Towey & White Group New York New York New York V V Offit Capital New York New York V V V V V V V V V V V V V						
HPM Partners LLC HSW Advisors, HighTower New York Joel Isaacson & Co., LLC New York Kings Point Capital Management, LLC Great Neck Klingman & Associates, LLC New York V Lebenthal Asset Management New York New York V V V M. Griffith Investment Services, Inc. New York New York New York V V Offit Capital New York New York V V V Ogorek Wealth Management LLC New York V V V V V V V V V V V V V		New York		1	1	
HPM Partners LLC New York ✓		Melville	1	1		1
Joel Isaacson & Co, LLC New York	HPM Partners LLC	New York		1	1	
Kings Point Capital Management, LLC Great Neck ✓ <td>HSW Advisors, HighTower</td> <td>New York</td> <td></td> <td>1</td> <td>1</td> <td></td>	HSW Advisors, HighTower	New York		1	1	
Klingman & Associates, LLC New York J	Joel Isaacson & Co., LLC	New York	1	1	1	
Lebenthal Asset Management New York ✓ ✓ ✓ LVW Advisors Pittsford ✓ ✓ ✓ M. Griffith Investment Services, Inc. New Hartford ✓ ✓ Morse, Towey & White Group New York ✓ ✓ New Providence Asset Management New York ✓ ✓ Offit Capital New York ✓ ✓ Ogorek Wealth Management LLC Williamsville ✓ ✓	Kings Point Capital Management, LLC	Great Neck	1	1	1	1
LVW Advisors Pittsford J J J M. Griffith Investment Services, Inc. New Hartford J J J Morse, Towey & White Group New York J J J New Providence Asset Management New York J J J Offit Capital New York J J J J Ogorek Wealth Management LLC Williamsville J J J J	Klingman & Associates, LLC	New York		1	1	1
M. Griffith Investment Services, Inc. New Hartford ✓	Lebenthal Asset Management	New York	1	1	1	1
Morse, Towey & White Group New York ✓	LVW Advisors	Pittsford		1	1	1
New Providence Asset Management New York Offit Capital New York V Ogorek Wealth Management LLC Williamsville V V	M. Griffith Investment Services, Inc.	New Hartford	1	1		
Offit Capital New York	Morse, Towey & White Group	New York	1	1	1	
Ogorek Wealth Management LLC Williamsville 🗸 🗸	New Providence Asset Management	New York		1	1	1
	Offit Capital	New York		1	1	1
RCL Advisors, LLC New York / / /	Ogorek Wealth Management LLC	Williamsville	1	1	1	
	RCL Advisors, LLC	New York	1	1	1	1
Silvercrest Asset Management Group New York	Silvercrest Asset Management Group	New York		1	1	1
Snowden Lane Partners New York / /	Snowden Lane Partners	New York		1	1	1
The Bapis Group, HighTower New York 🗸 🗸 🗸	The Bapis Group, HighTower	New York	1	1	1	1

The Portfolio Strategy Group, LLC	White Plains		1	1	1
Treasury Partners, HighTower	New York		1	1	
NORTH CAROLINA					
Biltmore Family Office, LLC	Charlotte			1	
Cornerstone Financial Partners	Huntersville	1	1	1	
Delegate Advisors	Chapel Hill			1	
Hamilton Point Investment Advisors	Chapel Hill	1	1	1	1
Novare Capital Management	Charlotte	1	1	1	1
Smith, Salley & Associates, LLC	Greensboro	1	1	1	1
Stearns Financial Group	Greensboro	1	1	1	1
Triad Financial Advisors, Inc.	Greensboro	1	1		
оню					
Bartlett & Co., LLC	Cincinnati	1	1	1	1
Beacon Capital Management	Centerville	1	1	1	1

		Client	segmen	ts serve	ed
Name	City	Retail (individuals with less than \$1 million)	High Net Worth (Individuals with \$1 million - \$10 million)	Ultra-High Net Worth (Individuals with \$10 million*)	Institutional
Budros, Ruhlin & Roe, Inc.	Columbus	1	1	1	1
Carnegie Investment Counsel	Pepper Pike	/	/	/	1
Fairport Asset Management	Cleveland		1	1	
Fairway Wealth Management LLC	Independence		1	1	
Foster & Motley, Inc.	Cincinnati	1	1	1	1
McDonald Partners, LLC	Cleveland	/	/	1	1
OBS Financial Services, Inc.	Whitehouse	1	1		1
Pinnacle Wealth Planning Services, Inc.	Mansfield	1	/	1	1
RiverPoint Capital Management	Cincinnati	1	1	1	1
SJS Investment Services	Sylvania	1	1	1	1
Spero-Smith Investment Advisers, Inc.	Cleveland	1	1	1	1
Summit Financial Strategies, Inc.	Columbus	1	1	1	1
Truepoint Wealth Counsel	Cincinnati		1	1	1
OKLAHOMA					
Mariner Wealth Advisors-Oklahoma, LLC	Tulsa	1	1	1	1
Retirement Investment Advisors, Inc.	Oklahoma City	1	1	1	1
Tom Johnson Investment Management, LLC	Oklahoma City	1	1	1	1
OREGON					
AKT Wealth Advisors, LP	Lake Oswego	1	1	1	1
Ferguson Wellman Capital Management	Portland	1	1	1	1
Sloy, Dahl & Holst, Inc.	Portland	1	1	1	1
TRUE Private Wealth Advisors	Salem	1	1	1	1
PENNSYLVANIA					
Bluestone Capital Management	Wayne	1	1	1	1
Clark Capital Management Group	Philadelphia	1	1	1	1
Concentus Wealth Advisors	King of Prussia	1	1	1	
CooksonPeirce Wealth Management	Pittsburgh	1	1	1	1
HBKS Wealth Advisors	Erie	1	1	1	1
HJ Wealth Management LLC	Plymouth Meeting	1	1	1	1
Hoover Financial Advisors, PC	Malvern	1	1	1	
Ironview Capital Management	Blue Bell	1	1	1	1
JFS Wealth Advisors, LLC	Hermitage	1	1	1	/
Mill Creek Capital Advisors, LLC	Conshohocken		1	1	/
ParenteBeard Wealth Management	Lancaster	1	/	1	/
RTD Financial Advisors, Inc.	Philadelphia	1	1	1	/
Sage Financial Group	Conshohocken	/	1	1	
Schneider Downs Wealth Management Advisors, LP		1	1	1	/
Veritable, L.P.	Newtown Square			1	
Wescott Financial Advisory Group LLC	Philadelphia	1	1	1	1

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Edelman Financial Services, LLC Fairfax
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VWG Wealth Management at HighTower Advisors Vienna ✓ ✓ ✓
West Financial Services, Inc. McLean 🗸 🗸 🗸
WASHINGTON
Brighton Jones Seattle ✓ ✓ ✓ ✓
Empirical Financial Services, LLC Seattle
Fisher Investments Camas ✓ ✓ ✓ ✓
Freestone Capital Management, LLC Seattle ✓ ✓ ✓ ✓
Garde Capital, Inc. Seattle
Greene Wealth Management, LLC Seattle
Petersen Hastings Kennewick
Schmidt Financial Group, Inc. Kirkland ✓ ✓ ✓
WISCONSIN
WISCONSIN Annex Wealth Management, LLC Elm Grove

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