

THE TOP 100 WIREHOUSE ADVISORS IN AMERICA

Name	Firm (B/D)	City	Est. AUM in MM	Yrs. in Biz	Yrs. with Firm	Business Description/Specialty
1 Mark T. Curtis	Smith Barney	Palo Alto	\$17,000	26	26	Private clients, corporate services, endowments and foundations, retirement plans.
2 Thomas J. Keegan	Merrill Lynch	New York	12,800	27	27	Primary financial advisors to UHNW individuals.
3 Joseph W. Montgomery	Wachovia Securities	Williamsburg, Va.	11,000	32	32	World-class investment advice and comprehensive wealth management for high-net-worth clients.
4 Reza Zafari and Richard Jones	Merrill Lynch	Los Angeles	10,000	22	8	HNW individuals, foundations and endowments.
5 Bill Gurtin	Morgan Stanley	Rancho Santa Fe, Calif.	6,500	22	9	Discretionary management; high grade fixed income; UHNW individuals.
6 J. Dorian McKelvy	Smith Barney	Menlo Park, Calif.	6,400	23	23	Private wealth management for HNW clients; custody and execution for money managers.
7 Ronald Hart	Smith Barney	Atlanta	5,000	24	6	HNW individuals, foundations, corporations; Forbes 400 individuals; family office; after-tax-returns.
8 Richard Zinman	Smith Barney	New York	5,000	25	6	HNW and UHNW clients.
9 Montford S. Will	Wachovia Securities	Dublin, Ohio	5,000	40	26	HNW wealth management, consulting, institutional sales and trading.
10 F. Lee Bryan, III	Deutsche Bank Alex. Brown	Winston Salem, Mass.	4,500	31	21	Managing assets for HNW individuals and their families.
11 John Rasweiler	Smith Barney	Morristown, N.J.	4,200	48	19	Corporate services.
12 George A. Dunn	Smith Barney	Washington, D.C.	4,200	33	28	HNW and non-profit clients.
13 Raj Sharma	Merrill Lynch	Boston	4,000	19	19	Affluent families and corporate executives.
14 Barry Snyder	Deutsche Bank Alex. Brown	Palm Beach	4,000	16	4	Family office focus; market expertise.
15 Christopher C. Aitken	Smith Barney	Lutherville, Md.	3,850	21	21	30 institutional clients (endowments, foundations, hospitals) and 65 high-net-worth families.
16 Michael Klein	Robert W. Baird	Milwaukee	3,810	15	6	Asset management and investment consulting.
17 David Cumming	Smith Barney	Albany	3,800	17	13	Investment policy advisory and high grade fixed-income portfolio management.
18 Mark C. Hutchinson	Smith Barney	Chicago	3,500	22	7	Equity portfolio management.
19 Scott Zelnick and Patrick McBrien	Deutsche Bank Alex. Brown	New York	3,420	17	5	High-net-worth individuals and families, equities.
20 Jon Goldstein	Smith Barney	Menlo Park, Calif.	3,300	16	13	UHNW wealth management.
21 Marvin McIntyre	Smith Barney	Washington, D.C.	3,250	38	38	HNW families.
22 Mark Orgel	RBC Dain Rauscher	Eau Claire, Wis.	3,200	24	18	Wealth management, M&A, retirement planning, foundations, endowments, trusts.
23 Roger Coleman	Smith Barney	Garden City, N.Y.	3,100	26	19	Equity-based stock plan admin. for Fortune 500 clients, wealth management for HNW retail clients.
24 David J. La Placa	Deutsche Bank Alex. Brown	San Francisco	3,000	14	3.5	Work with network of entrepreneurs and venture capitalists, as well as hedge funds and family offices.
25 Grant W. Lee and Antonio deRoza	Smith Barney	San Francisco	2,806	20	20	Family office advisor, HNW families, corporate executives.
26 Dave Lindberg	Smith Barney	Milwaukee	2,700	31	19	Term fixed income, corporate cash management.
27 John C. Barrett	Merrill Lynch	New York	2,500	22	21	Multi-generational families, corporate execs. Biz owners, non-profits, endowments and foundations.
28 Andrew Perry	Deutsche Bank Alex. Brown	New York	2,500	20	5	High-net-worth individuals and families, equities.

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29 Brian Ward	Wachovia Securities	Brentwood, Tenn.	2,500	15	7	401(k), institutional consulting.
30 William Kay Blount	UBS	Portland, Ore.	2,400	49	49	Portfolio growth.
31 Shane Brisbin	Smith Barney	San Francisco	2,250	13	5	Horizontal team; each member specializes in one area.
32 Eric S. Bodner	UBS	New York	2,100	21	4	Trust and estates, tax consulting, cash flow analysis, concentrated equity, options and restrictions, tactical asset allocation, investment and review.
33 Joseph H. Evelo	Merrill Lynch	Cincinnati	2,000	32	12	Executive financial services (10b5-1 trading, Rule 144 services, employee stock options, concentrated stock), retirement planning, trust and estate planning.
34 Larry Palmer	Smith Barney	Los Angeles	2,000	25	13	Financial planning and business consulting to senior level executives and business owners.
35 Jim Hansberger	Smith Barney	Atlanta	2,000	37	31	Private wealth management for HNW clientele.
36 Rod Westmoreland	Merrill Lynch	Atlanta	1,950	28	28	Investment mngmt., credit and lending, estates and trusts, hedging, monetization, concentrated stock, philanthropic services, alternative investments.
37 Phil Scott	Merrill Lynch	Bellevue, Wash.	1,900	23	23	Portfolio management.
38 Bobby Fisher	UBS	Houston	1,900	13.5	13.5	Stock options, restricted stock, ESPPs, performance awards (equity-based compensation plans).
39 Barry Sobel	Deutsche Bank Alex. Brown	Atlanta	1,840	20	2	Comprehensive wealth management plans for HNW families, pension plans, foundations, endowments and financial institutions.
40 Patrick J Dwyer	Merrill Lynch	Miami	1,800	13	13	Third-party consulting and family office services for ultra high-net-worth clients.
41 James Hulburd	Merrill Lynch	San Francisco	1,800	24	5.5	UHNW clients.
42 Heliane Steden	Merrill Lynch	New York	1,800	15	8	Family-office for select families in Mexico. Global wealth management, tactical allocation.
43 Bruce Treitman	Deutsche Bank Alex. Brown	Los Angeles	1,800	23	7	HNW asset management, asset allocation.
44 Alan Zafran	Merrill Lynch	Menlo Park, Calif.	1,750	17	10	Estate planning, investment for affluent families and individuals with liquid net assets over \$10 million.
45 Jeffrey S. Gerson	Smith Barney	New York	1,700	22	22	Family office approach to business consulting; HNW clients; asset mngmt., lending, insurance, planning.
46 David Hou	Merrill Lynch	Los Angeles	1,700	16	10	UHNW individuals.
47 Rebecca Rothstein	Smith Barney	Beverly Hills	1,700	20	9	Estate, tax and financial planning for HNW and UNHW; concentrated stock positions.
48 William Easom	Smith Barney	Chicago	1,688	24	19	Retirement planning.
49 Allan Yarkin	Smith Barney	Hallandale, Fla.	1,680	29	29	Private wealth management for HNW individuals and families.
50 Pete K.G. Thompson	Smith Barney	Honolulu	1,653	23	13	Institutional cash management and fixed-income investing.
51 Peter Eckerline	Merrill Lynch	Wayzata, Minn.	1,600	24	24	HNW individuals and families.
52 Sanford M. Katz	UBS	San Francisco	1,500	21	5	Estate planning, diversification, investment mngmt.; objective guidance, consistent performance, "best of breed" managers.

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53 Saly A. Glassman	Merrill Lynch	Blue Bell, Penn.	1,500	27	27	HNW, business owners, employer sponsored retirement plans, foundations and endowments.
54 George Bianco	Merrill Lynch	New York	1,500	28	28	Business owners, HNW and UHNW; pensions.
55 Mike Evans and David Jasper	UBS	San Francisco	1,450	10	3.5	Tax-efficient asset allocation, investment consulting, concentrated-stock positions, estate and income tax minimization.
56 Dana Jackson	Smith Barney	Menlo Park, Calif.	1,400	14	13	HNW, risk management, credit and investment strategies, estate and income tax planning.
57 John C. Korbell	Smith Barney	San Antonio	1,323	38	22	HNW clients, tailored wealth management; emphasis on client relationships and superior service.
58 Raj Bhatia	Merrill Lynch	Chicago	1,300	26	26	Concentrated stock, pre-IPO and pre-merger planning, asset allocation, fee-based portfolio mngmt., manager searches, alternative investments.
59 Alan B. Whitman	Morgan Stanley	Pasadena, Calif.	1,300	36	36	Non-modeled individually managed accounts for HNW investors.
60 Brett D. Clifford	Deutsche Bank Alex. Brown	Baltimore	1,250	25	25	Wealthy individuals and family offices: asset allocation, account managers, absolute return strategy funds, individual security selection.
61 William Einstein	UBS	New York	1,250	27	12	HNW individuals; emphasis on municipal bonds.
62 Richard W. Kelley	RBC Dain Rauscher	Omaha	1,233	39	27	Full service broker: stocks, bonds, mutual funds.
63 Grant Davis and Michael Frayman	Raymond James & Associates	Beachwood, Ohio	1,261	15	1.5	Family office, business succession planning, asset management, income planning.
64 Howard S. Lorch	Wachovia Securities	Houston	1,160	38	12	HNW individuals and corporate clients with \$5MM to \$50MM investable assets.
65 Nestor Vicknair	Merrill Lynch	Houston	1,100	15	15	Executive retirees, HNW families.
66 Victor Livingstone	Morgan Stanley	Boston	1,100	18	2	Cash management, fixed income, equities, alternatives; investment policy review, asset allocation, manager selection, performance measurement. Wealthy families, executives, foundations and endowments.
67 Peter Philpott	Smith Barney	Fort Worth	1,100	5	5	Wealth management, family-office-like services.
68 Andrew D. Burish	UBS	Madison, Wis.	1,020	25	25	Absolute return, separately managed accounts, alternative investments and private equity.
69 John C. Lopez	Smith Barney	Palo Alto	1,011	21	21	Asset management, restricted securities, estate and retirement planning, alternatives, art advisory.
70 Douglas Braff	UBS	New York	1,011	25	25	Stock option and restricted share programs, financial and estate planning, executive wealth management.
71 Thomas J. Buck	Merrill Lynch	Carmel	1,000	25	25	Education, retirement and wealth transfer planning; investment for affluent retail clients.
72 Michael J. Valdes	Merrill Lynch	Tampa	1,000	23	23	Private banking and asset management for UHNW individuals and families.
73 David R. Barnes	UBS	Dallas	1,000	16	6.5	Turnkey HNW wealth management, retirement, tax, insurance and estate planning; assets and liabilities.
74 Jeffrey Klotz	Morgan Stanley	New York	1,000	27	7	HNW and UHNW families; tax efficient investments for corporate entities.
75 Harold Trischman	Smith Barney	Greenwich, Conn.	1,000	22	22	Business owners, UHNW retirees or pre-retirees.
76 Rusty Tally	Morgan Stanley	Austin	1,000	31	17	Managed money: HNW, UHNW, institutional.

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77 Thomas D. Lips	UBS	Hartford	950	26	17	Private wealth management; sophisticated financial planning for the ultra affluent.
78 Bernard J. King	UBS	St. Louis.	945	25	25	Wealth management HNW and UHNW; investment, retirement and estate planning; asset management.
79 John Mockovciak	Robert W. Baird & Co.	Dallas	942	29	4	Business owners and families; long-term planning; team of specialists.
80 Anthony George Gero	RBC Dain Rauscher	New York	900	47	1.5	Financial advisor.
81 Michael Dowell	Smith Barney	Jackson, Miss.	900	32	20	HNW individuals, retirement plans, foundations, endowments, fixed income, estate planning.
82 William J Sullivan	UBS	Boston	875	39	32	Financial planning and investment consulting.
83 Gregory S Hurlbrink	Smith Barney	Baltimore	866	21	21	HNW comprehensive wealth management, investment consulting.
84 Ron Hughes, Jr	Merrill Lynch	Atlanta	850	14	7	Comprehensive wealth management for entrepreneurs during significant liquidity events.
85 Andrew Robinson	UBS	Omaha	850	21	21	HNW equity and fixed income asset allocation.
86 Sean Fetterman	Wachovia Securities	Boca Raton	850	18	7	Building and protecting wealth for affluent clients.
87 James Rickey Frayard	UBS	Lafayette, La.	820	24	22	Fee-based and transactional managed accounts; specialize in asset allocation and risk management.
88 Mark Donohue	RBC Dain Rauscher	New York	800	25	25	Fixed-income expert, wealth management.
89 Christopher Sargent	Wachovia Securities	Washington	800	41	41	Manage investments for HNW individuals and small institutions, including charitable organizations.
90 Brad Wheelock	RBC Dain Rauscher	St. Cloud, Minn.	800	20	20	Wealth management.
91 Daniel J. Kilmurray	UBS	New York	770	25	23	Asset allocation and investment performance versus established goals and benchmarks.
92 Bruce F. Bickley	UBS	Atlanta	770	26	22	Succession planning and wealth management, especially involving ESOP strategies.
93 Richard E. Mistler	UBS	Kansas City, Mo.	760	40	33	HNW clients; teaching young people to make good financial decisions.
94 P. Timothy Connolly	UBS	Boston	750	25	25	Asset allocation for HNW clients.
95 Jim Wohlgemuth	Deutsche Bank Alex. Brown	Washington, D.C.	750	23	19	Wealthy individuals and families; asset allocation, investment manager selection, custom reporting and estate planning for entire family groups.
96 David Leeds Eustis Jr	UBS	Houston	750	7	10	Investment consulting for HNW clients.
97 Richard Abrams	UBS	New York	720	24	15	Holistic consulting for UHNW clients; estate and generational planning, insurance, investments.
98 Jason Katz	UBS	New York	700	15	9	Asset allocation, retirement planning, education planning and portfolio risk management.
99 Joe P. Liberty	UBS	Midland, Texas	700	45	17	Wealth planning for oil & gas executives; accumulation and distribution; estate planning and customized asset allocation.
100 Adam Schur	UBS	White Plains, N.Y.	700	14	14	Managing fixed-income portfolios. HNW individuals, foundations and corporations.
101 Evan L. Steinberg	UBS	New York	700	12	7	Strategic asset allocation, due diligence and financial planning for HNW individuals.

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