

Special Report **FT 300: Top Registered Investment Advisers****Financial Advice****FT 300: full 2017 list of top US registered investment advisers**

The fourth annual line-up of leading advisers, with the methodology for inclusion



Financial advisers are offering a mix of technology and the personal touch

YESTERDAY by **Loren Fox** and Michael Ferraro

This fourth edition of the FT 300 assesses registered investment advisers (RIAs) on desirable traits for investors.

To ensure a list of established companies with substantial expertise, we examine the database of RIAs registered with the US Securities and Exchange Commission 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 2,000 — to complete a lengthy application that gave us more information about them. We added this to our own research into their practices, including data from regulatory filings. Some 725 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 one- 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. AUM comprised roughly 65 to 70 per cent of each adviser's score, while asset growth accounted for an additional 10 to 15 per cent.

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 companies' different approaches and different specialisations.

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

FT 300

The FT 300 top registered investment advisers in the US listed alphabetically by state

Name	City	Client segments served			
		Retail	HNW*	Ultra HNW**	Institutional
ALABAMA					
Bridgeworth, LLC	Birmingham	✓	✓	✓	
Keel Point, LLC	Huntsville	✓	✓	✓	✓
Porter White & Company	Birmingham	✓	✓	✓	✓
RFG Advisory	Vestavia Hills	✓	✓	✓	✓
ARIZONA					
Dynamic Wealth Advisors	Scottsdale	✓	✓	✓	
Galvin, Gaustad & Stein, LLC	Scottsdale	✓	✓	✓	✓
MRA Associates	Phoenix	✓	✓	✓	✓
TCI Wealth Advisors, Inc.	Tucson	✓	✓	✓	✓
Total Investment Management, Inc.	Scottsdale	✓	✓		
CALIFORNIA					
Apriem Advisors	Irvine	✓	✓	✓	
Arlington Financial Advisors	Santa Barbara	✓	✓	✓	
Aspiriant	Los Angeles		✓	✓	✓
BOS (Bingham, Osborn & Scarborough)	San Francisco		✓	✓	✓
Bailard, Inc.	Foster City	✓	✓	✓	✓
Blankinship & Foster, LLC	Solana Beach	✓	✓	✓	✓
Burton Enright Welch	Walnut Creek	✓	✓	✓	✓
Cornerstone Capital, Inc.	Palo Alto		✓	✓	✓
Dixon Financial Services, Inc.	Lafayette	✓	✓	✓	✓
Donnelly Wealth Advisors, Inc.	San Diego	✓	✓	✓	✓
Dowling & Yahnke, LLC	San Diego		✓	✓	✓
Eclectic Associates	Fullerton	✓	✓	✓	✓
Ensemble Capital Management	Burlingame	✓	✓	✓	✓
First Republic Investment Management, Inc.	San Francisco	✓	✓	✓	✓
Golub Group	San Mateo	✓	✓	✓	✓
Gurtin Municipal Bond Management	Solana Beach		✓	✓	
Harris Financial Advisors, Inc.	Torrance	✓	✓	✓	✓

Investment Adviser	City	✓	✓	✓	✓
Hewins Financial Wipfli Hewins	Redwood City	✓	✓	✓	✓
HighTower San Diego	San Diego	✓	✓	✓	
HoyleCohen, LLC	San Diego	✓	✓	✓	✓
Loring Ward	San Jose	✓	✓	✓	✓
LourdMurray	Beverly Hills	✓	✓	✓	
Main Management, LLC	San Francisco		✓	✓	✓
Miracle Mile Advisors	Los Angeles	✓	✓	✓	✓
Mission Wealth	Santa Barbara	✓	✓	✓	✓
Morton Capital Management	Calabasas	✓	✓	✓	✓
Penniall & Associates, Inc.	Pasadena	✓	✓		✓
Pillar Pacific Capital Management	Pacifica	✓	✓	✓	✓
Private Ocean Wealth Management, LLC	San Rafael		✓	✓	✓
Pure Financial Advisors, Inc.	San Diego	✓	✓		✓
Reilly Financial Advisors	La Mesa	✓	✓		✓
Sand Hill Global Advisors, LLC	Palo Alto	✓	✓	✓	✓
Scharf Investments, LLC	Scotts Valley	✓	✓	✓	✓

Name	City	Client segments served			
		Retail	HNW*	Ultra HNW**	Institutional
Schnieders Capital Management, LLC	Pasadena	✓	✓	✓	✓
Signature Estate & Investment Advisors, LLC	Los Angeles	✓	✓	✓	✓
The Bahnsen Group - HighTower	Newport Beach	✓	✓	✓	✓
The Ezzell-Conklin Group - HighTower	Folsom	✓	✓	✓	✓
United Capital Financial Advisers, LLC	Newport Beach	✓	✓	✓	✓
Violich Capital Management	San Francisco	✓	✓	✓	✓
Wacker Wealth Partners	San Luis Obispo	✓	✓	✓	✓
WealthSource Partners	San Luis Obispo	✓	✓	✓	
Weatherly Asset Management	Del Mar	✓	✓	✓	✓
Westmount Asset Management, LLC	Los Angeles	✓	✓	✓	✓
Wetherby Asset Management	San Francisco	✓	✓	✓	✓
Willow Creek Wealth Management, Inc.	Sebastopol	✓	✓	✓	✓
COLORADO					
BSW Wealth Partners	Boulder	✓	✓	✓	✓
Colorado Financial Management	Boulder	✓	✓	✓	✓
Janiczek Wealth Management	Greenwood Village		✓	✓	
Peak Asset Management, LLC	Louisville		✓	✓	
Wagner Wealth Management	Denver	✓	✓	✓	✓
CONNECTICUT					
Bradley, Foster & Sargent, Inc.	Hartford	✓	✓	✓	✓
Coastal Bridge Advisors	Westport	✓	✓	✓	✓
HTG Investment Advisors	New Canaan		✓	✓	
RZH Advisors	Stamford		✓	✓	
DISTRICT OF COLUMBIA					
Farr, Miller & Washington, LLC	Washington	✓	✓	✓	✓
FLORIDA					
ARS Wealth Advisors	St. Petersburg	✓	✓	✓	✓
Bott-Anderson Partners, Inc.	Jacksonville		✓	✓	✓
Cumberland Advisors	Sarasota	✓	✓	✓	✓
CV Advisors, LLC	Aventura			✓	✓
Heritage Investment Group, Inc.	Pompano Beach	✓	✓	✓	✓

Investor Solutions	Coconut Grove	✓	✓	✓	✓
Moisand Fitzgerald Tamayo, LLC	Orlando	✓	✓		✓
Resource Consulting Group	Orlando	✓	✓	✓	✓
Ruggie Wealth Management	Tavares	✓	✓	✓	✓
Singer Xenos Schechter Sosler Wealth Mgmt	Coral Gables	✓	✓	✓	✓
Water Oak Advisors	Winter Park	✓	✓	✓	✓
WE Family Offices	Miami			✓	
GEORGIA					
A. Montag and Associates	Atlanta		✓	✓	✓
American Financial Advisors, LLC	Marietta	✓	✓		✓
Balentine	Atlanta		✓	✓	✓

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Berkeley Capital Partners	Norcross	✓	✓	✓	✓
Berman Capital Advisors, LLC	Atlanta		✓	✓	✓
Brightworth	Atlanta	✓	✓	✓	✓
Buckhead Investment Partners, LLC	Atlanta	✓	✓		✓
Capital Investment Advisors	Atlanta	✓	✓	✓	
CornerCap Investment Counsel	Atlanta	✓	✓	✓	✓
Crawford Investment Counsel, Inc.	Atlanta	✓	✓	✓	✓
Homrich Berg	Atlanta	✓	✓	✓	✓
TrueWealth, LLC	Atlanta	✓	✓	✓	
Willis Investment Counsel	Gainesville		✓	✓	✓
IDAHO					
Rathbone Warwick Investment Management	Boise	✓	✓	✓	✓
ILLINOIS					
Archford Capital Strategies	Swansea	✓	✓	✓	✓
Balasa Dinverno Foltz LLC	Itasca		✓	✓	✓
Brownson, Rehmus & Foxworth	Chicago		✓	✓	✓
Chicago Partners Wealth Advisors	Chicago	✓	✓	✓	✓
Cozad Asset Management, Inc.	Champaign	✓	✓	✓	✓
Dearborn Partners, LLC	Chicago	✓	✓	✓	✓
Embree Financial Group	Chicago	✓	✓	✓	✓
Gofen and Glossberg, L.L.C.	Chicago	✓	✓	✓	✓
HighPoint Advisor Group, LLC	Downers Grove	✓	✓	✓	
Huber Financial Advisors, LLC	Lincolnshire		✓	✓	✓
IHT Wealth Management	Chicago	✓	✓	✓	
JMG Financial Group, Ltd.	Downers Grove		✓	✓	
Mid-Continent Capital LLC	Chicago		✓	✓	✓
Private Vista LLC	Chicago	✓	✓	✓	✓
RMB Capital	Chicago	✓	✓	✓	✓
Savant Capital, LLC	Rockford	✓	✓	✓	✓
Segall Bryant & Hamill	Chicago		✓	✓	✓
Stairway Partners, LLC	Chicago		✓	✓	✓
The Lerner Group - HighTower	Deerfield	✓	✓	✓	✓
The Mather Group	Chicago		✓	✓	✓

INDIANA					
Column Capital	Indianapolis	✓	✓	✓	✓
Deerfield Financial Advisors, Inc.	Indianapolis	✓	✓	✓	✓
Goelzer Investment Management	Indianapolis	✓	✓	✓	✓
Spectrum Management Group	Indianapolis	✓	✓	✓	✓
The Windsor Group, Ltd.	Indianapolis		✓	✓	✓
Valeo Financial Advisors, LLC	Indianapolis	✓	✓	✓	✓
KANSAS					
Creative Planning, Inc.	Leawood	✓	✓	✓	✓
Financial Advisory Service, Inc.	Leawood	✓	✓	✓	

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Sunrise Advisors	Leewood	✓	✓	✓	✓
KENTUCKY					
MCF Advisors, LLC	Covington	✓	✓	✓	✓
Parthenon LLC	Louisville		✓	✓	✓
LOUISIANA					
GWM Advisors, LLC	Baton Rouge	✓	✓	✓	
Resource Management, LLC	Metairie	✓	✓	✓	✓
Summit Financial Wealth Advisors	Lafayette	✓	✓	✓	✓
MARYLAND					
Baltimore-Washington Financial Advisors	Columbia	✓	✓	✓	✓
Bronfman E.L. Rothschild	Rockville	✓	✓	✓	✓
Cornerstone Advisory	Hunt Valley	✓	✓	✓	✓
FBB Capital Partners	Bethesda	✓	✓	✓	✓
Greenspring Wealth Management, Inc.	Towson	✓	✓		✓
Heritage Investors Management Corp.	Bethesda	✓	✓	✓	✓
Maryland Capital Management	Baltimore	✓	✓	✓	✓
Pinnacle Advisory Group, Inc.	Columbia	✓	✓	✓	
Planning Solutions Group, LLC	Fulton	✓	✓	✓	✓
Wagner Bowman Management Corp	Baltimore	✓	✓	✓	✓
WMS Partners, LLC	Towson		✓	✓	
MASSACHUSETTS					
Bainco International Investors, LLC	Boston		✓	✓	
Ballentine Partners, LLC	Waltham		✓	✓	
Beaumont Financial Partners, LLC	Needham	✓	✓	✓	✓
Birch Hill Investment Advisors LLC	Boston	✓	✓	✓	✓
Choate Investment Advisors LLC	Boston	✓	✓	✓	✓
Grimes & Company, Inc.	Westborough	✓	✓	✓	✓
Heritage Financial Services, LLC	Westwood	✓	✓	✓	
Lexington Wealth Management	Lexington	✓	✓	✓	
New England Private Wealth Advisors, LLC	Wellesley		✓	✓	✓
O'Brien Wealth Partners LLC	Boston	✓	✓	✓	✓

Schwerin Boyle Capital Management, Inc.	Springfield	✓	✓	✓	✓
Sensible Financial Planning and Mgmt	Waltham	✓	✓	✓	✓
St. Germain Investment Management	Springfield	✓	✓	✓	✓
TFC Financial Management	Boston		✓	✓	
The Colony Group	Boston	✓	✓	✓	✓
TwinFocus Capital Partners	Boston			✓	✓
West Branch Capital LLC	Amherst	✓	✓	✓	✓
Wilkins Investment Counsel, Inc.	Boston		✓	✓	✓
MICHIGAN					
Advance Capital Management	Southfield	✓	✓	✓	✓
Blue Chip Partners, Inc.	Farmington Hills	✓	✓	✓	✓

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Center for Financial Planning, Inc.	Southfield	✓	✓	✓	✓
Financial Advisory Corporation	Grand Rapids	✓	✓	✓	✓
Mainstay Capital Management, LLC	Grand Blanc	✓	✓	✓	✓
Plante Moran Financial Advisors	Southfield	✓	✓	✓	✓
Provident Investment Management, Inc.	Novi	✓	✓	✓	✓
Retirement Income Solutions, Inc.	Ann Arbor	✓	✓	✓	
Vintage Financial Services	Ann Arbor	✓	✓		
MINNESOTA					
Accredited Investors Wealth Management	Edina	✓	✓	✓	
Birchwood Financial Partners	Edina	✓	✓		
Carlson Capital Management	Northfield	✓	✓	✓	✓
SilverOak Wealth Management LLC	Edina	✓	✓	✓	
MISSISSIPPI					
Medley & Brown, LLC	Ridgeland	✓	✓	✓	✓
MISSOURI					
BKD Wealth Advisors, LLC	Springfield	✓	✓	✓	✓
Buckingham Strategic Wealth	St. Louis	✓	✓	✓	✓
Frontier Wealth Management, LLC	Kansas City	✓	✓	✓	✓
Moneta Group	Clayton	✓	✓	✓	✓
Paradigm Financial Advisors, LLC	Des Peres	✓	✓	✓	✓
Plancorp, LLC	St. Louis	✓	✓	✓	✓
Visionary Wealth Advisors, LLC	St. Louis	✓	✓	✓	✓
MONTANA					
Bitterroot Capital Advisors, LLC	Bozeman			✓	
NEBRASKA					
Bridges Investment Management	Omaha	✓	✓	✓	✓
JRM Investment Counsel	Omaha	✓	✓	✓	✓
NEW HAMPSHIRE					
Vigilant Capital Management	Portsmouth	✓	✓	✓	✓

NEW JERSEY					
Delta Financial Group, Inc.	Basking Ridge	✓	✓	✓	✓
Gateway Advisory, LLC	Westfield	✓	✓	✓	✓
Modera Wealth Management, LLC	Westwood		✓	✓	✓
Pathstone Federal Street	Englewood		✓	✓	✓
Personal CFO Solutions, LLC	Chester	✓	✓	✓	
Private Advisor Group, LLC	Morristown	✓	✓	✓	✓
RegentAtlantic	Morristown	✓	✓	✓	✓
NEW MEXICO					
REDW Stanley Financial Advisors, LLC	Albuquerque	✓	✓	✓	✓