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 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 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 served			
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	✓	✓	✓	✓
ARIZONA					
Galvin, Gaustad & Stein, LLC	Scottsdale	✓	✓	✓	
MRA Associates	Phoenix	✓	✓	✓	✓
TCI Wealth Advisors, Inc.	Tucson	✓	✓	✓	✓
United Planners Financial Services	Scottsdale	✓	✓	✓	✓
ARKANSAS					
Sowell Management Services	North Little Rock	✓	✓		✓
CALIFORNIA					
AMI Asset Management	Los Angeles	✓	✓	✓	✓
Aspiriant	Los Angeles		✓	✓	✓
Atlas Capital Advisors	San Francisco		✓	✓	✓
B|O|S (Bingham, Osborn & Scarborough)	San Francisco		✓	✓	✓
Baker Street Advisors, LLC	San Francisco		✓	✓	
Beacon Pointe Advisors	Newport Beach	✓	✓	✓	✓
California Financial Advisors	San Ramon	✓	✓	✓	
Callan Capital	La Jolla		✓	✓	✓
Camden Capital, LLC	El Segundo	✓	✓	✓	
Cardiff Park Advisors	Carlsbad	✓	✓	✓	
Checchi Capital Advisers, LLC	Beverly Hills	✓	✓	✓	✓

Name	City	Client segments served: 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
Churchill Management Group	Los Angeles	✓	✓	✓	✓
Clifford Swan Investment Counselors	Pasadena	✓	✓	✓	✓
Covington Capital Management	Los Angeles		✓	✓	✓
Dan Goldie Financial Services LLC	Palo Alto	✓	✓	✓	
Destination Wealth Management	Walnut Creek	✓	✓		
Dixon Financial Services, Inc.	Lafayette	✓	✓	✓	✓
Dowling & Yahnke, LLC	San Diego		✓	✓	✓
Efficient Market Advisors, LLC	San Diego	✓	✓		
Ensemble Capital Management	Burlingame	✓	✓	✓	✓
Evanson Asset Management	Carmel	✓	✓	✓	
First Republic Investment Management, Inc.	San Francisco	✓	✓	✓	✓
Genovese Burford & Brothers	Sacramento	✓	✓	✓	✓
Golub Group	San Mateo	✓	✓	✓	✓
Hanson McClain Advisors	Sacramento	✓	✓	✓	✓
HighTower San Diego	San Diego		✓	✓	
HoyleCohen, LLC	San Diego	✓	✓	✓	✓
Index Fund Advisors, Inc.	Irvine	✓	✓	✓	✓
Jackson Financial Management	Costa Mesa	✓	✓	✓	✓
Kestra Private Wealth Services, LLC	San Diego	✓	✓	✓	✓
L&S Advisors, Inc.	Los Angeles	✓	✓	✓	
Lido Advisors, LLC	Beverly Hills		✓	✓	✓
Lodestar Private Asset Management	Alamo	✓	✓	✓	✓
Mission Wealth Management, LLC	Santa Barbara	✓	✓	✓	✓
Morton Capital Management	Calabasas	✓	✓	✓	✓
Parallel Advisors, LLC	San Francisco	✓	✓	✓	✓
Personal Capital	San Carlos	✓	✓	✓	
Pillar Pacific Capital Management	Pacifica	✓	✓	✓	✓
PlanMember Financial Co.	Carpinteria	✓	✓		✓
Polaris Greystone Financial Group	San Rafael	✓	✓	✓	✓
Private Ocean Wealth Management, LLC	San Rafael		✓	✓	✓
Pure Financial Advisors, Inc.	San Diego	✓	✓	✓	
Rand & Associates	San Francisco	✓	✓	✓	✓
Raub Brock Capital Management, LP	Larkspur	✓	✓	✓	✓
RS Crum, Inc.	Newport Beach	✓	✓	✓	
Sand Hill Global Advisors	Palo Alto		✓	✓	✓
Scharf Investments, LLC	Scotts Valley		✓		✓
Signature Estate & Investment Advisors, LLC	Los Angeles	✓	✓	✓	✓
United Capital Financial Advisers, LLC	Newport Beach	✓	✓	✓	✓
Westmount Asset Management, LLC	Los Angeles	✓	✓	✓	✓
Willow Creek Wealth Management, Inc.	Sebastopol	✓	✓	✓	✓
COLORADO					
BSW Wealth Partners	Boulder	✓	✓	✓	✓
Colorado Financial Management	Boulder	✓	✓	✓	✓
Crestone Capital Advisors	Boulder			✓	
Innovest Portfolio Solutions	Denver	✓	✓	✓	✓
Intervest International, Inc.	Colorado Springs	✓	✓	✓	✓
Wakefield Asset Management	Englewood	✓	✓		✓

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

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Cumberland Advisors	Sarasota	✓	✓	✓	✓
Dimension Capital Management	Miami		✓	✓	✓
Finser International Corporation	Miami	✓	✓	✓	✓
GenTrust	Miami			✓	✓
Global Financial Private Capital, LLC	Sarasota	✓	✓	✓	✓
Moisand Fitzgerald Tamayo, LLC	Orlando	✓	✓		✓
Premia Global Advisors	Coral Gables		✓	✓	✓
ProVise Management Group, LLC	Clearwater	✓	✓	✓	✓
Resource Consulting Group	Orlando	✓	✓	✓	✓
Ruggie Wealth Management	Tavares	✓	✓	✓	✓
Singer Xenos Wealth Management	Coral Gables	✓	✓	✓	
Water Oak Advisors	Winter Park	✓	✓	✓	✓
WE Family Offices	Miami			✓	
GEORGIA					
A. Montag and Associates	Atlanta		✓	✓	✓
Atlantic Trust	Atlanta		✓	✓	✓
Balentine	Atlanta		✓	✓	✓
Berman Capital Advisors, LLC	Atlanta		✓	✓	✓
Brightworth	Atlanta	✓	✓	✓	✓
Buckhead Investment Partners	Atlanta	✓	✓		✓
GV Financial Advisors	Atlanta		✓	✓	
Homrich Berg	Atlanta	✓	✓	✓	✓
SignatureFD, LLC	Atlanta		✓	✓	
Stewardship Financial Advisors, LLC	Stockbridge	✓	✓	✓	
Willis Investment Counsel	Gainesville		✓	✓	✓
ILLINOIS					
Archford Capital Strategies	Swansea	✓	✓	✓	✓
Balasa Dinverno Foltz LLC	Itasca		✓	✓	✓
Brookstone Capital Management	Wheaton	✓	✓		✓
Brownson, Rehmus & Foxworth	Chicago		✓	✓	✓
Chicago Partners Wealth Advisors	Chicago	✓	✓	✓	✓
Cozad Asset Management, Inc.	Champaign	✓	✓	✓	✓
Dearborn Partners, LLC	Chicago	✓	✓	✓	✓
EMBREE FINANCIAL Group	Chicago	✓	✓	✓	✓
Geneva Advisors, LLC	Chicago	✓	✓	✓	✓
HighPoint Advisor Group, LLC	Downers Grove	✓	✓	✓	✓
JMG Financial Group, Ltd.	Oak Brook		✓	✓	
Leonetti & Associates, LLC	Buffalo Grove	✓	✓	✓	✓
Rappaport Reiches Capital Management	Skokie	✓	✓	✓	
Rothschild Investment Corporation	Chicago	✓	✓		✓
Savant Capital, LLC	Rockford	✓	✓	✓	✓
Segall Bryant & Hamill	Chicago	✓	✓	✓	✓
Strategic Wealth Partners	Deerfield	✓	✓	✓	✓
The Mather Group	Chicago		✓	✓	
Whitnell & Co.	Oak Brook	✓	✓	✓	
INDIANA					

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

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KENTUCKY					
ARGI Investment Services	Louisville	✓	✓	✓	✓
MCF Advisors, LLC	Covington	✓	✓	✓	✓
LOUISIANA					
Resource Management, LLC	Metairie	✓	✓	✓	
Summit Financial Wealth Advisors	Lafayette	✓	✓	✓	✓
MARYLAND					
Baltimore-Washington Financial Advisors	Columbia	✓	✓	✓	✓
Bridgewater Wealth & Financial Management, LLC	Bethesda	✓	✓	✓	✓
FBB Capital Partners	Bethesda	✓	✓	✓	✓
Heritage Investors Management Corporation	Bethesda	✓	✓	✓	✓
HighTower Bethesda	Bethesda	✓	✓	✓	✓
Maryland Capital Management	Baltimore	✓	✓	✓	✓
Wagner Bowman Management Corp	Baltimore	✓	✓	✓	✓
MASSACHUSETTS					
Adviser Investments	Newton	✓	✓	✓	✓
Athena Capital Advisors LLC	Lincoln		✓	✓	✓
Aureus Asset Management, LLC	Boston	✓	✓	✓	✓
Ballentine Partners, LLC	Waltham		✓	✓	✓
Boston Private Wealth LLC	Boston	✓	✓	✓	✓
Congress Wealth Management	Boston		✓	✓	✓
F.L.Putnam Investment Management Company	Wellesley	✓	✓	✓	✓
Grimes & Company, Inc.	Westborough	✓	✓	✓	
GW & Wade, LLC	Wellesley	✓	✓	✓	
New England Private Wealth Advisors, LLC	Wellesley		✓	✓	✓
O'Brien Management, LLC	Boston	✓	✓	✓	✓
SCS Financial	Boston			✓	✓
St. Germain Investment Management	Springfield	✓	✓	✓	✓
The Colony Group	Boston	✓	✓	✓	✓
Wilkins Investment Counsel, Inc.	Boston		✓	✓	✓
Zevin Asset Management, LLC	Boston	✓	✓	✓	✓
MICHIGAN					
Center for Financial Planning, Inc.	Southfield	✓	✓	✓	✓
Diversified Portfolios, Inc.	Bloomfield Hills	✓	✓	✓	✓
Financial Advisory Corporation	Grand Rapids	✓	✓	✓	✓
FormulaFolio Investments LLC	Grand Rapids	✓	✓	✓	✓
Integrated Investment Consultants, LLC	Birmingham		✓	✓	✓
Plante Moran Financial Advisors	Southfield	✓	✓	✓	✓
Retirement Income Solutions, Inc.	Ann Arbor	✓	✓	✓	
Schechter Investment Advisors, LLC	Birmingham		✓	✓	
Zhang Financial	Portage	✓	✓	✓	✓
MINNESOTA					
JNBA Financial Advisors	Minneapolis	✓	✓	✓	✓
SilverOak Wealth Management LLC	Edina	✓	✓	✓	

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

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NEBRASKA					
Bridges Investment Management	Omaha	✓	✓	✓	✓
Carson Wealth Management Group	Omaha	✓	✓	✓	
WealthPLAN Partners	Omaha		✓	✓	✓
NEVADA					
Arista Wealth Management	Las Vegas	✓	✓	✓	✓
HighTower Las Vegas	Henderson	✓	✓	✓	✓
NEW JERSEY					
Advisors Capital Management, LLC	Ridgewood	✓	✓	✓	✓
CFS Investment Advisory Services, LLC	Totowa	✓	✓	✓	✓
CRA Financial LLC	Northfield	✓	✓	✓	✓
Delta Financial Group, Inc.	Basking Ridge	✓	✓	✓	✓
Modera Wealth Management, LLC	Westwood	✓	✓	✓	✓
Pathstone Federal Street	Fort Lee		✓	✓	✓
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					
Ascent Wealth Partners, LLC	Utica	✓	✓	✓	✓
Beekman Wealth Advisory, LLC	New York			✓	
Betterment	New York	✓	✓	✓	✓
Catalyst Capital Advisors LLC	Huntington	✓	✓		
Douglass Winthrop Advisors LLC	New York		✓	✓	✓
Evercore Wealth Management, LLC	New York		✓	✓	✓
Financial Partners Capital Management, LLC	New York		✓	✓	✓
Forbes Family Trust	New York		✓	✓	
GM Advisory Group, Inc.	Melville	✓	✓	✓	✓
HPM Partners LLC	New York		✓	✓	✓
HSW Advisors, HighTower	New York		✓	✓	
Joel Isaacson & Co., LLC	New York	✓	✓	✓	
Kings Point Capital Management, LLC	Great Neck	✓	✓	✓	✓
Klingman & Associates, LLC	New York		✓	✓	✓
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	✓	✓	✓	
RCL Advisors, LLC	New York	✓	✓	✓	✓
Silvercrest Asset Management Group	New York		✓	✓	✓
Snowden Lane Partners	New York		✓	✓	✓
The Bapis Group, HighTower	New York	✓	✓	✓	✓

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

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

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TEXAS					
Ackerman Capital Management, LP	Dallas		✓	✓	✓
Beaird Harris	Dallas	✓	✓	✓	✓
Briaud Financial Advisors	College Station		✓	✓	
Covenant	San Antonio	✓	✓	✓	✓
Durbin Bennett Private Wealth Management, LLC	Austin	✓	✓	✓	✓
Insight Wealth Partners, LLC	Plano	✓	✓	✓	
Oxbow Advisors, LLC	Austin		✓	✓	✓
RGT Wealth Advisors	Dallas		✓	✓	
Sather Financial Group, Inc.	Victoria	✓	✓	✓	✓
SFMG Wealth Advisors	Plano	✓	✓	✓	
South Texas Money Management, Ltd.	San Antonio	✓	✓	✓	✓
Tolleson Wealth Management	Dallas			✓	
VERMONT					
Manchester Capital Management, LLC	Manchester		✓	✓	✓
VIRGINIA					
Azzad Asset Management	Falls Church		✓		✓
Edelman Financial Services, LLC	Fairfax	✓	✓	✓	✓
Glassman Wealth Services	Vienna	✓	✓	✓	✓
Mason Investment Advisory Services, Inc.	Reston	✓	✓	✓	✓
McLean Asset Management Corporation	McLean	✓	✓	✓	✓
PagnatoKarp	Reston		✓	✓	
Partners in Financial Planning, LLC	Salem	✓	✓	✓	✓
Sullivan, Bruyette, Speros & Blayney, LLC	McLean		✓	✓	✓
The Burney Company	Falls Church	✓	✓	✓	✓
Verus Financial Partners	Richmond	✓	✓		
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					
Annex Wealth Management, LLC	Elm Grove	✓	✓	✓	✓
Sadoff Investment Management	Milwaukee	✓	✓	✓	✓