

FT 401 top retirement advisers in the US listed by state

Name	Company	City	Plan segments served			
			Mega plans (\$500m+ in assets)	Large plans (\$100m to \$500m in assets)	Mid-size plans (\$10m to \$100m in assets)	Small & micro plans (Under \$10m in assets)
ALABAMA						
Grinkmeyer, Trent A.	Grinkmeyer Leonard Financial	Birmingham			✓	✓
ARIZONA						
Batt, Paul K.	PKB Retirement Services	Mesa			✓	✓
Weber, Joseph A.	Integrated Financial Solutions, PLLC	Scottsdale				✓
ARKANSAS						
Burkett, Toby	Merrill Lynch Wealth Management	Little Rock	✓		✓	✓
Majdan, Kelly S.	Strategic Retirement Partners/Kestra Financial	Bentonville			✓	✓
CALIFORNIA						
Arbabi, Amir	Retirement Benefits Group/LPL Financial	Irvine		✓	✓	✓
Barry, John	JMB Wealth Management, Inc./National Planning Corporation	Torrance			✓	✓
Bergman, Royce	UBS Financial Services Inc.	Los Angeles		✓	✓	✓
Bermudez, Douglas E.	Bermudez/Hall Retirement Group of Wells Fargo Advisors	Rolling Hills Estates		✓	✓	✓
Blach, Brian J.	CBIZ Retirement Plan Services	San Jose			✓	✓
Branconier, Kathleen M.	Penniall Retirement Advisors	Torrance		✓	✓	✓
Bratincevic, Richard	Morgan Stanley Wealth Management	Pasadena			✓	✓
Breaux, Randy	Breaux Benefits Group	Novato			✓	✓
Burford, Lon E.	Genovese Burford & Brothers	Sacramento		✓	✓	✓
Casillas, Karen	CAPTRUST	Westlake Village	✓	✓	✓	✓
Chapman, Mark J.	Graystone Consulting	Sacramento		✓	✓	✓
Clark, John M.	Heffernan Retirement Services/LPL Financial	San Francisco	✓	✓	✓	✓
Cooper, David A.	Ameriprise Financial	San Jose				✓
Diepenbrock, James A.	Graystone Consulting	Sacramento		✓	✓	✓
Emerson, Kyle A.	Renaissance Wealth Management/LPL Financial	Riverside				✓
Farrell, Curtis S.	Financial Management Network	Mission Viejo			✓	✓
Fourcade, Renee	UBS Financial Services Inc.	Los Angeles	✓	✓	✓	✓
Franchimone, Anthony M.	Retirement Benefits Group/LPL Financial	San Diego	✓	✓	✓	✓
Gerken, Jr., John H.	Wealth Management Advisers	Laguna Hills		✓	✓	✓
Gunn, James D.	Morgan Stanley Wealth Management	San Jose		✓	✓	✓
Handler, Gary	Raymond James & Associates	Beverly Hills		✓	✓	✓
Henderson, Brett R.	UBS Financial Services Inc.	Beverly Hills			✓	✓
Hocking, Steven J.	UBS Financial Services Inc.	Irvine			✓	✓
Illán, Ivan M.	Aligne Wealth Preservation LLC	Los Angeles			✓	✓
Johnson, Derek R.	Merrill Lynch Wealth Management	San Jose			✓	✓
Josephs, Gary Scott	Retirement Benefits Group/LPL Financial	Irvine	✓	✓	✓	✓
Justi, Jeffrey M.	Advanced Retirement Solutions	San Jose			✓	✓

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Keefe, Guy W.	Keefe Pension Consulting, Inc.	Marina del Rey			✓	✓
Kincart, Douglas E.	UBS Financial Services Inc.	San Diego			✓	✓
Main, Shannon C.	Penniall Retirement Advisors	Newport Beach		✓	✓	✓
Merzoian, Matt	Thiesen Dueker Consulting Group/LPL Financial	Fresno			✓	✓
Mills, Larry	Graystone Consulting	Westlake Village	✓	✓	✓	✓
Morehead, David T.	Retirement Benefits Group/LPL Financial	San Diego			✓	✓
Mountain, Bryan	Graystone Consulting	Westlake Village	✓	✓	✓	✓
Pham, Tuyen L.	Tutton Financial, a Pensionmark Firm	Santa Ana			✓	✓
Roggenkamp, Marc	Graystone Consulting	Beverly Hills	✓	✓	✓	✓
Shiflet, Walker	Merrill Lynch Wealth Management	Beverly Hills	✓	✓	✓	✓
Spinner, Harlan B.	UBS Financial Services Inc.	Los Angeles	✓	✓		
Stowell, Race K.	Merrill Lynch Wealth Management	Mill Valley		✓	✓	✓
Sutcliff, C. Scott	UBS Financial Services Inc.	Irvine			✓	✓
Tappin, Erik K.	Morgan Stanley Wealth Management	Carlsbad		✓	✓	✓
Thelen, Kevin M.	Genovese Burford & Brothers	Sacramento			✓	✓
Thibault, Blake A.	Heffernan Retirement Services/LPL Financial	San Francisco	✓	✓	✓	✓
Underwood, Archie M.	Morgan Stanley Wealth Management	San Diego			✓	✓
Vaughan, Brannan P.	Morgan Stanley Wealth Management	Menlo Park			✓	✓
Venuti, Christopher	Graystone Consulting	Westlake Village	✓	✓	✓	✓
Werner, Marte R.	NWK Group, Inc.	San Francisco		✓	✓	✓
White, Nate	SLW Retirement Plan Advisors/LPL Financial	Lafayette			✓	✓
Wiese, Brian	Morgan Stanley Wealth Management	Los Angeles			✓	✓
Wolfson, Thomas T.	Wells Fargo Advisors, LLC	Rancho Santa Fe			✓	✓
COLORADO						
Jenkins, Samantha K.	TrueNorth, Inc.	Denver			✓	✓
Lambert, Paul	Cherry Street Partners, Inc.	Denver			✓	✓
Larsen, Chad J.	MRP/LPL Financial	Denver	✓	✓	✓	✓
McKinlay, Patterson J.	Achieve Retirement/LPL Financial	Denver			✓	✓
Nemmers, Dan	Lockton Retirement Services	Denver	✓	✓	✓	✓
Ryan, Mitch	Morgan Stanley Wealth Management	Greenwood Village			✓	✓
Sowitch, Bryce	IFAM Capital	Fort Collins		✓	✓	✓
Tonelli, Mark A.	Compass Benefit Partners, LLC/LPL Financial	Golden		✓	✓	✓
Watson, Tim	Strategic Financial Partners	Colorado Springs		✓	✓	✓
CONNECTICUT						
Andriole, Charles	The Andriole Group - HighTower Advisors	Madison		✓	✓	✓
Brown, Dennis M.	Merrill Lynch Wealth Management	Fairfield		✓	✓	✓
Callahan, Michael E.	Edu4Retirement, Inc.	Southington			✓	✓

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Christensen, Curt R.	Voya Financial Advisors	Avon				✓	Gelb, Jordan M.	Merrill Lynch Wealth Management	Northbrook		✓	✓	✓
Decker, John Henry	RBC Wealth Management	Glastonbury			✓	✓	Gershon, Joel A.	Merrill Lynch Wealth Management	Chicago		✓	✓	✓
Farrar, Jeff H.	UBS Financial Services Inc.	Stamford	✓	✓	✓	✓	Greulich, Robert C.	The Pinnacle Planning Group, LLC	Oak Brook			✓	✓
Gershman, Jay	Retirement Visions, LLC	West Hartford			✓	✓	Hilbrant, Stace A.	401k Advisors Chicago/LPL Financial	Wilmette			✓	✓
Hess, Cy	Aligne Wealth Preservation LLC	West Hartford			✓	✓	Hudepohl, Jeanette R.	Reisner Hudepohl Financial Services, Inc.	Geneva			✓	✓
Horton, Barnaby W.	Merrill Lynch Wealth Management	Hartford			✓	✓	Jenkins, Timothy K.	Merrill Lynch Wealth Management	Chicago		✓	✓	✓
Jacobs, John J.	Jacobs Financial Partners, LLC	Glastonbury			✓	✓	Kret, Tom B.	UBS Financial Services Inc.	Barrington		✓	✓	✓
Kral, Sr., Christopher J.	Merrill Lynch Wealth Management	Fairfield			✓	✓	O'Brien, Robert D.	Merrill Lynch Wealth Management	Chicago		✓	✓	✓
Michaels, Stephen	Smith Brothers Financial, LLC	Glastonbury			✓	✓	O'Shaughnessy, Jim	Sheridan Road Financial, LLC/LPL Financial	Northbrook	✓	✓	✓	✓
Sullivan, James M.	Essex Financial Services, Inc.	Essex			✓	✓	Peluse, Daniel	Wintrust Retirement Plan Services	Chicago		✓	✓	✓
DELAWARE							Radler, James R.	Merrill Lynch Wealth Management	Chicago		✓	✓	✓
Pressler, Eric C.	Newton One Investments	Newark		✓	✓	✓	Ribich, Michael C.	Merrill Lynch Wealth Management	Chicago		✓	✓	✓
Shumotic, Thom	MidAtlantic Retirement Planning Specialists	Wilmington			✓	✓	Schallmoser, Peter A.	Merrill Lynch Wealth Management	Deer Park			✓	✓
Zak, Theodore J.	Chouinard Zak Wealth Mgmt Group of Wells Fargo Advisors	Greenville			✓	✓	Valeo, Sam	Morgan Stanley Wealth Management	Oak Brook		✓	✓	✓
DISTRICT OF COLUMBIA							Warwe, Russell	Benefit Partners Financial Group, LLC/LPL Financial	Libertyville			✓	✓
Cunningham, Sandra M.	UBS Financial Services Inc.	Washington		✓	✓	✓	INDIANA						
Forrester, Mary Anne	Janney Montgomery Scott LLC	Washington		✓	✓	✓	Baker, Kristi K.	Compensation Systems, Inc.	Indianapolis			✓	✓
Siegel, Mark	Merrill Lynch Wealth Management	Washington			✓	✓	Brunton, Eric M.	Merrill Lynch Wealth Management	Indianapolis	✓	✓		
FLORIDA							Cate, John C.	Merrill Lynch Wealth Management	Indianapolis	✓	✓		
Alonso III, Manuel	Benefit Strategies & Advisors	South Miami			✓	✓	Davis, Kelli J.	Compensation Systems, Inc.	Indianapolis			✓	✓
Bastin, Thomas B.	NFP Retirement, Inc.	Weston		✓	✓	✓	Lauck, George A.	Assured Partners/LPL Financial	Indianapolis			✓	✓
Carroll, James G.	Morgan Stanley Wealth Management	Fort Lauderdale		✓	✓	✓	Ludwig, John M.	LHD Retirement/LPL Financial	Indianapolis			✓	✓
Carter, Steven R.	Florida Pension Group, Inc./LPL Financial	St. Augustine			✓	✓	Prince, Doug G.	ProCourse Fiduciary Advisors	Carmel		✓	✓	✓
Casanueva, Dominic J.	Merrill Lynch Wealth Management	Sarasota		✓	✓	✓	VerSchure, Timothy	Lakeside Wealth Management	Chesterton			✓	✓
Chairvolotti, Edward F.	Chairvolotti Financial, Inc./LPL Financial	Winter Park		✓		✓	Winkeljohn, Tony J.	Pensionmark Retirement Group	Fort Wayne			✓	✓
Clark, Michael D.	Keiron Partners/Raymond James	Orlando			✓	✓	IOWA						
Deviney, Sean T.	Provenance Wealth Advisors/Raymond James	Fort Lauderdale		✓	✓	✓	Gredys, Keith J.	Kidder Advisers, LLC/LPL Financial	West Des Moines			✓	✓
Elobt, Keola J.	West Point Business Group	Jacksonville			✓	✓	Kinney, Jr., Henry (Dan)	LPL Financial	West Des Moines			✓	✓
Larsen, Bradley L.	NFP Retirement, Inc.	Stuart		✓	✓	✓	Lohman, Todd M.	Strategic Retirement Partners/Kestra Financial	Urbandale	✓	✓	✓	✓
Machlin, Roger S.	Northwestern Mutual	Tampa			✓	✓	Ormord, Brian	LPL Financial	Dubuque			✓	✓
Magill, Rick	Service Planning Corporation	Fort Lauderdale				✓	Shimp, Andrew J.	CAPTRUST	West Des Moines		✓	✓	✓
Montgomery, W. Michael	Montgomery Retirement Plan Advisors/LPL Financial	Tampa		✓	✓	✓	KANSAS						
Parker-Hopkins, Samantha	UBS Financial Services Inc.	Tampa		✓	✓	✓	Burnich, Benaiah J.	SageView Advisory Group	Overland Park		✓	✓	✓
Perry, Clayton	West Point Business Group	Jacksonville			✓	✓	DiSette, Tim B.	Trinity Planning Group, LLC	Overland Park			✓	✓
Rich, Rodney L.	Rodney Rich & Company	Pensacola			✓	✓	Geringer, Gary	Merrill Lynch Wealth Management	Wichita			✓	✓
Thompson, John W.	J.W. Thompson Investments/LPL Financial	Singer Island	✓	✓	✓	✓	Laub, Cindy	Merrill Lynch Wealth Management	Wichita		✓	✓	✓
Tummond, Troy D.	Florida Pension Group, Inc./LPL Financial	St. Augustine			✓	✓	Stofer, David K.	Mariner Retirement Advisors	Leawood		✓	✓	✓
GEORGIA							KENTUCKY						
Bjerke, Erik M.	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓		Backert, Tony	J.J.B. Hilliard, W.L. Lyons, LLC	Louisville		✓	✓	✓
Dagley, Jason	Alpha Squared/Raymond James	Alpharetta	✓	✓	✓	✓	LOUISIANA						
Gignilliat, Harris M.	UBS Financial Services Inc.	Atlanta		✓	✓	✓	Dupas III, Emmett G.	Northwestern Mutual	Metairie			✓	✓
Griffin, David T.	Atlanta Retirement Partners/LPL Financial	Atlanta			✓	✓	Ellis, John C.	UBS Financial Services Inc.	New Orleans		✓	✓	✓
Harbour, Andrew	Graystone Consulting	Atlanta		✓	✓	✓	Harrison, Shawn P.	CoSource Financial Group, LLC	Lafayette			✓	✓
Hatter, David M.	Arista Financial Group/LPL Financial	Alpharetta			✓	✓	MAINE						
Howard, Deborah A.	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓		Breton, Jennifer L.	Lebel & Harriman, LLP	Falmouth		✓	✓	✓
Kane, Michael M.	Plan Sponsor Consultants/LPL Financial	Alpharetta		✓	✓	✓	Pratico, Michael S.	CAPTRUST	Falmouth	✓	✓	✓	
Laschinger, Jay	Alliant Retirement Consulting/LPL Financial	Alpharetta	✓	✓	✓	✓	MARYLAND						
Lusink, Brian M.	Morgan Stanley Wealth Management	Atlanta		✓	✓	✓	Assaley III, Alexander G.	AFS 401(k) Retirement Services, LLC	Bethesda		✓	✓	✓
Mack, David	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓		Avallone, Mark	Potomac Wealth Advisors, LLC	Rockville			✓	✓
Rainwater, Kevin L.	Atlanta Capital Group	Atlanta			✓	✓	Charkatz, Ross P.	Graystone Consulting	Potomac	✓	✓	✓	
Rudner, Merv	HomeTown 401k	Atlanta				✓	DiFerdinando, Armando J.	Financial Benefit Services, LLC	Silver Spring		✓	✓	
Wallace, James E.	Merrill Lynch Wealth Management	Atlanta	✓	✓	✓		Gimenez, Eduardo	Raffa Retirement Services/LPL Financial	Rockville		✓	✓	✓
HAWAII							Hobson, Gregory A.	RBC Wealth Management	Hunt Valley		✓	✓	✓
Tsukazaki, Peter M.	Tsukazaki & Associates, LLC	Honolulu			✓	✓	Itzoe, Joshua	Greenspring Wealth Management, Inc.	Towson	✓	✓	✓	✓
Yasukawa, Karen	UBS Financial Services Inc.	Honolulu		✓	✓	✓	Lizzi, Brian G.	TriBridge Partners, LLC	Bethesda			✓	✓
ILLINOIS							Markovic, Michael L.	HighTower Fiduciary Plan Advisors	Owings Mills		✓	✓	✓
Banas, Robert	UBS Financial Services Inc.	Chicago		✓	✓	✓	Owen, Edward M.	Raffa Retirement Services/LPL Financial	Rockville			✓	✓
Ciesemier, Michael D.	Morgan Stanley Wealth Management	Chicago			✓	✓	Soltoff, Howard M.	TriBridge Partners, LLC	Bethesda			✓	✓
Cullen, Jeffrey	Strategic Retirement Partners/Kestra Financial	Shorewood		✓	✓	✓	Spray-Fry, Thomas W.	Heritage Financial Consultants, LLC	Hunt Valley				✓
Czerniak, James A.	LPL Financial	Chicago	✓	✓	✓	✓	Strother, James H.	Raffa Retirement Services/LPL Financial	Rockville			✓	✓
Evans, Ryan F.	Blueprint Wealth Advisors	Chicago			✓	✓							
Fiumara, L. Rita	UBS Financial Services Inc.	Chicago		✓	✓	✓							

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MASSACHUSETTS													
Adamic, Jason A.	Merrill Lynch Wealth Management	Boston		✓	✓	✓							
Andonian, Gregg	Baystate Fiduciary Advisors, Inc./LPL Financial	Boston		✓	✓	✓							
Bonheur, Gregg E.	Morgan Stanley Wealth Management	Middleton			✓	✓							
Butler, Kevin A.	Morgan Stanley Wealth Management	Norwell		✓	✓	✓							
Cawthorne, Jr., Richard J.	Alpha Pension Group/LPL Financial	Lexington		✓	✓	✓							
Cleary, Andrew C.	SFP Wealth, LLC	Wellesley			✓	✓							
Connolly, Christopher R.	Capital Analysts of New England, Inc.	Braintree			✓	✓							
Conway, Adam K.	Harbor Retirement Planning/LPL Financial	Wellesley		✓	✓	✓							
Dimitriou, Steven	Mayflower Advisors/Wells Fargo Advisors FiNet	Boston		✓	✓	✓							
Dulac, Noel R.	Boston Partners Financial Group, LLC	Andover		✓	✓	✓							
Karam, Stephen R.	Karam Financial Group/LPL Financial	Fall River		✓	✓	✓							
McAvoy, John F.	Centinel Financial Group	Needham Heights			✓	✓							
McEwan, Scott R.	Morgan Stanley Wealth Management	Boston		✓	✓	✓							
McGarry, Sean C.	Rockland Trust	Somerset			✓	✓							
Murray, Jr., Paul D.	Merrill Lynch Wealth Management	Boston			✓	✓							
Navarro, Jason G.	New England Wealth Management, LLC	Danvers			✓	✓							
Paone, Mark A.	UBS Financial Services Inc.	Boston			✓	✓							
Roach, Thomas J.	Voya Financial Advisors	Waltham			✓	✓							
Rossano, Brian	Merrill Lynch Wealth Management	Beverly	✓	✓	✓	✓							
Scott, Michael G.	Morgan Stanley Wealth Management	Middleton			✓	✓							
Sotell, Richard M.	The Kraematon Group, Inc.	Wellesley		✓	✓	✓							
Steiger, John B.	Wealth Planning Resources, LLC	Waltham			✓	✓							
Vierra, Jr., Roger F.	UBS Financial Services Inc.	Rockland	✓	✓	✓	✓							
Wolford, Kirk J.	Merrill Lynch Wealth Management	Boston		✓	✓	✓							
MICHIGAN													
Agbay, Anthony D.	The Agbay Group	Troy	✓	✓	✓	✓							
Banwell, Linton F.	National Planning Corporation	Rochester Hills			✓	✓							
Case, Steven J.	Financial Independence LLC	Bloomfield Hills				✓							
Ciullo, Scott S.	Plan Sponsor Consultants/LPL Financial	Marquette			✓	✓							
Danek, Scott M.	Equanimity Wealth Management/LPL Financial	East Lansing			✓	✓							
Fitzgerald, Jessica S.	Morgan Stanley Wealth Management	Rochester		✓	✓	✓							
Hammond, Kimberly Lynn	Merrill Lynch Wealth Management	Muskegon		✓	✓	✓							
Howell, Brett	Merrill Lynch Wealth Management	Grand Rapids		✓	✓	✓							
Lepore II, Mario A.	UBS Financial Services Inc.	Birmingham			✓	✓							
Maloney, Shannon T.	Strategic Retirement Partners/Kestra Financial	Northville		✓	✓	✓							
Morabito, Maria	Hantz Financial Services, Inc.	Southfield			✓	✓							
Sharp, Craig	Merrill Lynch Wealth Management	Grand Rapids		✓	✓	✓							
Spickler, Melissa	Merrill Lynch Wealth Management	Bloomfield Hills			✓	✓							
MINNESOTA													
Adams, James K.	Adams Consulting Group, LLC	Bloomington			✓	✓							
Ballin, Jessica	401(k) Plan Professionals/LPL Financial	Edina		✓	✓	✓							
Brummel, Joe	Wealth Enhancement Group/LPL Financial	Burnsville			✓	✓							
Connell, Joe	Sikich Retirement Plan Services	Maple Grove		✓	✓	✓							
Esch, Daniel J.	CAPTRUST	Minneapolis	✓	✓	✓								
Habermann, Michael J.	Associated Financial Group/LPL Financial	Minnetonka		✓	✓	✓							
Jacobs, David M.	Jacobs Financial	St. Cloud			✓	✓							
McDonald, Jim	Channel Financial/LPL Financial	Golden Valley	✓	✓	✓	✓							
McQuillan, James	RJF Financial Services/LPL Financial	Minneapolis		✓	✓	✓							
Miley, Jim	RBC Wealth Management	Minneapolis			✓	✓							
Quandt, Jim	Fortune Financial	Minnetonka		✓	✓	✓							
Stiles, Susan M.	Stiles Financial Services, Inc.	Edina		✓	✓	✓							
MISSISSIPPI													
Pierce, Lee H.	Pierce Financial	Hernando			✓	✓							
MISSOURI													
Moynihan, John J.	Diversified Financial Advisors, LLC/LPL Financial	Chesterfield			✓	✓							
Park, Donald Eric	LPL Financial	Washington			✓	✓							
NEVADA													
Casey, Michele A.	Morgan Stanley Wealth Management	Reno		✓	✓	✓							
Segarra, David J.	Latus Group, Ltd.	Las Vegas		✓	✓	✓							
NEW HAMPSHIRE													
McLaughlin, Ryan	CGI Retirement Services, LLC	Hooksett			✓	✓							
NEW JERSEY													
Blachman, Glenn A.	Gateway Advisory, LLC	Westfield											
Bojovski, Goran	Merrill Lynch Wealth Management	Edison	✓	✓	✓	✓							
Daniel, Gregory L.	Daniel Financial Management Group, LLC	Hackensack											
DiPiero, Domenic	Newport Capital Group	Red Bank	✓	✓	✓								
Fernandes, Joe	The 401k Group LLC	Middletown			✓	✓							
Glading, Brent L.	Glading Group LLC	Montclair	✓	✓	✓								
Goerner, Chad W.	UBS Financial Services Inc.	Princeton	✓	✓	✓	✓							
Greenleaf, Jamie D.	Cafaro Greenleaf	Red Bank		✓	✓	✓							
Grodofsky, Ethan N.	Anthem Financial Services	Boonton			✓	✓							
Gsell, Bruce	Merrill Lynch Wealth Management	Edison	✓	✓	✓	✓							
Kotarski, Michael J.	Bridgehaven Financial Advisors/Wells Fargo Advisors FiNet	Warren		✓	✓	✓							
Lynch, Jerry F.	JFL Total Wealth Management	Boonton			✓	✓							
Marchiano, Michael D.	Morgan Stanley Wealth Management	Morristown			✓	✓							
McLane, Michael A.	Redwood Wealth Advisors, LLC	Edison			✓	✓							
McLaughlin, Michael A.	McLaughlin Asset Management, Inc.	Haddonfield		✓	✓	✓							
Nydick, Harris	CFS Investment Advisory Services, L.L.C.	Totowa			✓	✓							
Oliver, Stephen A.	Manhattan Ridge Advisors	Bedminster			✓	✓							
Paumi, Damien J.	Nisivoccia Wealth Advisors LLC	Mount Arlington			✓	✓							
Rieman, Jr., Davis J.	SagePoint Financial, Inc.	Mahwah			✓	✓							
Scorzafava, Todd	Greenberg & Rapp Financial Group	East Hanover			✓	✓							
Simchowitz, Stuart M.	RMR Wealth Builders, Inc.	Teaneck			✓	✓							
Spierer, Alan	UBS Financial Services Inc.	Westfield			✓	✓							
NEW YORK													
Biondo, John	Wells Fargo Advisors, LLC	Melville		✓	✓	✓							
Bogner, H. Steve	Treasury Partners	New York			✓	✓							
Braccia, Christopher J.	Manhattan Ridge Advisors	New York		✓	✓								
Candella, Ted	Merrill Lynch Wealth Management	New York			✓	✓							
Cunningham, Jr., John A.	Alliant Insurance Services	New York	✓	✓	✓	✓							
Dimino, Steven	The Weigel Dimino Group/RBC Wealth Management	New York			✓	✓							
George, Scott A.	M. Griffith Investment Services, Inc.	New Hartford		✓	✓	✓							
Herendeen, Charles G.	APFS Wealth Management	Rochester			✓	✓							
Karp, Robert L.	Wells Fargo Advisors, LLC	New York		✓	✓	✓							
Kass, Jonathan E.	Merrill Lynch Wealth Management	New York	✓	✓	✓								
Kelly, Austin V.	The BlackOak Group, LLC	Williamsville			✓	✓							
Kido, Akira	Merrill Lynch Wealth Management	Garden City			✓	✓							
Leahy, Dennis M.	Lee, Nolan & Koroghlian LLC	Garden City		✓	✓	✓							
Luongo, Vincent J.	UBS Financial Services Inc.	New York		✓	✓	✓							
Mahoney, Kevin	The Mahoney Group of Raymond James	West Nyack	✓	✓	✓	✓							
Melnick, Eric J.	Merrill Lynch Wealth Management	New York			✓	✓							
Modico, Linda	UBS Financial Services Inc.	New York		✓	✓	✓							
Monroe, Matthew C.	Independent Retirement Partners/LPL Financial	East Syracuse			✓	✓							
Nargentino, Frank	North Shore Wealth Management/National Securities	Plainview			✓	✓							
Parker III, Douglas E.	Sage Rutty & Company	Rochester			✓	✓							
Pastolove, Craig	Morgan Stanley Wealth Management	New York		✓	✓	✓							
Peragine III, William M.	Wells Fargo Advisors, LLC	Melville		✓	✓	✓							
Renzi, Thomas J.	RBC Wealth Management	Williamsville	✓		✓	✓							
Scrivens, Robert J.	Steadfast Risk Advisors	Albany				✓							
Smith, Eric W.	Morgan Stanley Wealth Management	Rochester			✓	✓							
Temple, Mark D.	Retirement & Benefit Partners/LPL Financial	Slingerlands		✓	✓	✓							
Tomasula, Anthony S.	PPS Pension Services	Williamsville		✓	✓	✓							
Weir, Gary J.	Frenkel Benefits LLC/LPL Financial	New York			✓	✓							
Wilshinsky, Andrew R.	Morgan Stanley Wealth Management	New York	✓	✓	✓	✓							
NORTH CAROLINA													
Anderson, Mikael T.	Merrill Lynch Wealth Management	Charlotte		✓	✓	✓							
Floyd, Trea	Baird	Charlotte		✓	✓	✓							
Jones, Todd L.	CAPTRUST	Raleigh	✓	✓	✓	✓							
Kelly, Kathleen A.	Compass Financial Partners/LPL Financial	Greensboro	✓	✓	✓	✓							
Rauwald, Timothy L.	UBS Financial Services Inc.	Chapel Hill	✓	✓	✓	✓							
Schultheiss, Jonathon C.	Gate City Advisors/Kestra Financial	Greensboro			✓	✓							
Simonson, Thomas P.	Lockton Retirement Services	Charlotte		✓	✓	✓							
OHIO													
Diebold, Karl	HORAN	Cincinnati		✓	✓	✓							
Fantozzi, Frank	401(k) Prosperity/LPL Financial	Cleveland			✓	✓							

Name	Company	City	Plan segments served				Name	Company	City	Plan segments served			
			Mega plans (\$500m+ in assets)	Large plans (\$100m to \$500m in assets)	Mid-size plans (\$10m to \$100m in assets)	Small & micro plans (Under \$10m in assets)				Mega plans (\$500m+ in assets)	Large plans (\$100m to \$500m in assets)	Mid-size plans (\$10m to \$100m in assets)	Small & micro plans (Under \$10m in assets)
Fishman, Ozzie I.	UBS Financial Services Inc.	Dublin			✓	✓	Locke, Ramona Z.	Merrill Lynch Wealth Management	Dallas		✓	✓	✓
Funkhouser, Brian J.	UBS Financial Services Inc.	Sylvania			✓	✓	Maresh, Michael	InTrust Fiduciary Group	Austin	✓	✓	✓	✓
Hill, Benjamin J.	Blueprint Financial/LPL Financial	Beachwood			✓	✓	Matustik, Debbie	Pensionmark Retirement Group	Austin	✓	✓	✓	✓
Karban, Russell A.	Savage & Associates, Inc.	Toledo			✓	✓	Moore, Janine J.	Peak Financial Group, LLC/LPL Financial	Houston		✓	✓	✓
Kocsis, David P.	Peak Wealth Solutions/LPL Financial	Pepper Pike			✓	✓	Netoskie, Neil C.	Keystone Retirement & Insurance Advisors/LPL Financial	Houston			✓	✓
Kreinst, Christa	Hauser Retirement Solutions, LLC	Cincinnati			✓	✓	O'Connor, Teresa A.	O'Connor Financial Services, LLC	The Woodlands			✓	✓
Kulchar, David M.	Oswald Financial, Inc./LPL Financial	Cleveland		✓	✓	✓	Peterson, Jr., Pete	VisionPoint Advisory Group/LPL Financial	Dallas		✓	✓	✓
Mabry, Anthony W.	Merrill Lynch Wealth Management	Columbus		✓	✓	✓	Pottichen, Aaron	CLS Partners Retirement Services/Raymond James	Austin		✓	✓	✓
Maloyan, Richard H.	Stratos Wealth Partners/LPL Financial	Beachwood			✓	✓	Quaschnick, Kirk G.	Mogul Wealth Strategies	McKinney				✓
Oberlander, Patrick E.	UBS Financial Services Inc.	Cleveland			✓	✓	Scoggin, Ritchy G.	Cooper Scoggin Financial Strategies of Wells Fargo Advisors	Austin			✓	✓
Reiniger, David J.	Reiniger & Associates/LPL Financial	Westerville			✓	✓	Sinks, Tim	Aspect Wealth Management	San Antonio		✓	✓	✓
Rinehart, Ken J.	UBS Financial Services Inc.	Cincinnati		✓	✓	✓	Smaistrla, Christian D.	The Greensage Group/LPL Financial	Tomball			✓	✓
Snyder, Charles	Graystone Consulting	Hudson	✓	✓	✓	✓	Stack, Joe	Pensionmark Retirement Group	Dallas		✓	✓	✓
							Su, Derek	U.S. Capital Advisors, LLC	Austin			✓	✓
OKLAHOMA							Test, David B.	Northwestern Mutual	Dallas			✓	✓
Stiith, Daniel C.	Wealth Management Group, LLC	Oklahoma City		✓	✓	✓	Thornton, Kenneth A.	Thornton Capital Strategies	Austin			✓	✓
							Triolo, James	TRITIS Wealth Management/LPL Financial	Houston			✓	✓
OREGON							Weaver, Neal	LeafHouse Financial Advisors	Austin			✓	✓
Daley, Erik	Multnomah Group, Inc.	Portland	✓	✓	✓	✓	Wenzel, Patricia S.	Merrill Lynch Wealth Management	Houston	✓	✓	✓	✓
Marshall, David P.	Baird	Portland		✓	✓	✓	Willhite, Jon P.	UBS Financial Services Inc.	The Woodlands	✓	✓	✓	✓
Smith, James T.	Phillips and Company Advisors, LLC	Portland			✓	✓							
Ulmer, Josh	Morgan Stanley Wealth Management	Portland		✓	✓	✓							
							UTAH						
							Anderson, Kim D.	Soltis Investment Advisors, LLC	St. George		✓	✓	✓
PENNSYLVANIA							Dall, Corby	401k Advisors Intermountain/LPL Financial	Sandy		✓	✓	✓
Adolph III, William F.	Merrill Lynch Wealth Management	Bala Cynwyd		✓	✓	✓	Moyes, James D.	RedStone Advisors, LLC	Lehi			✓	✓
Aguirre, Christian A.	Merrill Lynch Wealth Management	Doylestown			✓	✓	Welch, Kirk W.	MRP/LPL Financial	Sandy	✓	✓	✓	✓
Beale, William B.	HB Retirement/LPL Financial	Pittsburgh		✓	✓	✓							
Casciola, Gary M.	TJS Financial Services, LLC/LPL Financial	Pittsburgh			✓	✓	VERMONT						
Catarella, Kenneth G.	UBS Financial Services Inc.	Philadelphia		✓	✓		Boardman, Daniel M.	Hickok & Boardman Retirement Solutions/LPL Financial	Burlington	✓		✓	✓
DeGroat, Andrew J.	WhartonHill Advisors/LPL Financial	Fort Washington	✓	✓	✓	✓	Dubie, Christopher	Morgan Stanley Wealth Management	Colchester		✓	✓	✓
Diehm, Jr., Glen L.	LPL Financial	Lebanon			✓	✓							
Dougherty, Timothy J.	Financial Guide, LLC	Horsham		✓	✓	✓	VIRGINIA						
Dupee, Sr., Gregory J.	Janney Montgomery Scott LLC	Philadelphia	✓	✓	✓	✓	Andraos, Khalil S.	Merrill Lynch Wealth Management	Reston		✓	✓	✓
Fogli, Philip J.	FRS Capital/LPL Financial	King of Prussia			✓	✓	Aylward, Michael G.	RBC Wealth Management	McLean			✓	✓
Foran, Jr., Gerald F.	GFP Investment Services, Inc./LPL Financial	Bethlehem			✓	✓	DeNoyior, Joseph	Washington Financial Group/LPL Financial	McLean		✓	✓	✓
Hoffman, Seth R.	A.P. Lubrano & Company, Inc.	Paoli		✓	✓	✓	Hoffer, J. Cory	Hermitage Wealth Management, Inc.	Richmond		✓	✓	✓
Kohute, Brian	HJ Wealth Management LLC	Plymouth Meeting			✓	✓	Hoffman, Lee	Merrill Lynch Wealth Management	Vienna		✓	✓	✓
Levy, Victor S.	Levy Wealth Management Group, LLC/LPL Financial	Philadelphia			✓	✓	Keenan, John P.	Signature Estate & Investment Advisors	Tysons Corner			✓	✓
Lubrano, Anthony P.	A.P. Lubrano & Company, Inc.	Paoli		✓	✓	✓	Leonard, Tripp	Virginia Asset Management, LLC	Midlothian			✓	✓
Reimold, William E.	Mid-Atlantic Planning Services/LPL Financial	Allentown			✓	✓	Maulfair, Jim	AHT Retirement Services/Kestra Financial	Leesburg		✓	✓	✓
Ressler, Jr., Peter J.	Wells Fargo Advisors, LLC	Radnor			✓	✓	McDade, Ian	Merrill Lynch Wealth Management	Roanoke		✓	✓	✓
Seyle, Rusty	Merrill Lynch Wealth Management	Bethlehem			✓	✓	Rogers, Kenneth J.	Rogers Financial Pensionmark	Harrisonburg		✓	✓	✓
Sides, Scott	RBC Wealth Management	York			✓	✓	Shiple, Courtenay	Retirement Planology, Inc.	Alexandria			✓	✓
Wenz, John F.	WhartonHill Advisors/LPL Financial	Fort Washington			✓	✓	Stone, Michael	Business Benefits Group	Fairfax			✓	✓
Wertheim, Scott A.	CAPTRUST	Doylestown	✓	✓	✓	✓	Strange, Allan	Janney Montgomery Scott LLC	Richmond		✓	✓	✓
Wolfe, Noel J.	Morgan Stanley Wealth Management	Jenkintown	✓	✓	✓	✓	Thomas, Jr., Harry L.	Northwestern Mutual	McLean			✓	✓
RHODE ISLAND							WASHINGTON						
Sampson, Jim	Cornerstone Retirement Advisors/LPL Financial	Warwick			✓	✓	Brown, Michael	ClearPoint Financial/LPL Financial	Bellevue		✓	✓	✓
							Cashman, Jeffrey N.	Cashman Consulting/Kestra Financial	Redmond			✓	✓
SOUTH CAROLINA							Hartley, Ian W.	Westgate Capital Consultants/LPL Financial	Tacoma			✓	✓
Saad, Scott F.	Merrill Lynch Wealth Management	Charleston		✓	✓	✓	McKay, James R.	McKay Wealth Management	Tukwila			✓	✓
							Raphael, Robert B.	TRUretirement/LPL Financial	Bellevue			✓	✓
TENNESSEE							Reinhart, Edward C.	Capital Advisors Ret Plan Svcs/Wells Fargo Advisors FiNet	Yakima			✓	✓
Colburn, Todd M.	Northwestern Mutual	Nashville			✓	✓	Roland, Chad A.	RDH Investment Group/Raymond James	Spokane Valley		✓	✓	✓
Glasgow, Steven W.	Avondale Partners	Nashville	✓	✓	✓	✓	Sanden, Trent V.	UBS Financial Services Inc.	Seattle	✓	✓	✓	✓
Hall, Jeremy D.	Baird	Nashville	✓	✓	✓	✓	Weisman, Shane B.	Ameriprise Financial	Vancouver			✓	✓
Lyday, James A.	Pensionmark Retirement Group	Brentwood	✓	✓	✓	✓							
							WISCONSIN						
TEXAS							Ferrito, Salvatore J.	Ferrito & O'Gorman Financial Group	Waukesha			✓	✓
Coelho, Michael A.	SageView Advisory Group	Austin		✓	✓	✓	Ganong, Janet L.	The Kieckhefer Group/LPL Financial	Brookfield		✓	✓	✓
Echols, Van A.	PFG Advisors	Lubbock			✓	✓	Kieckhefer, Robert A.	The Kieckhefer Group/LPL Financial	Brookfield	✓	✓	✓	✓
Ellisor, Darrell W.	Peak Financial Group, LLC/LPL Financial	Houston		✓	✓	✓	Lanser, Bruce G.	UBS Financial Services Inc.	Milwaukee		✓	✓	✓
Ellsworth, Stephen H.	Baird	Houston		✓	✓	✓	Martzahl, Barry J.	Graystone Consulting	Green Bay		✓	✓	✓
Hacker, Christopher	Titan Retirement Advisors LLC	Houston			✓	✓	O'Gorman, Casey P.	Ferrito & O'Gorman Financial Group	Waukesha			✓	✓
Jerding, Mick	Merrill Lynch Wealth Management	Houston		✓	✓	✓	Smith, Christopher	Baird	Milwaukee		✓	✓	✓
Kading, Todd	LeafHouse Financial Advisors	Austin	✓	✓	✓	✓	Wartman, Dick	Morgan Stanley Wealth Management	Waukesha			✓	✓