# 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 | | | ✓ | ✓ |
| Keefer, Guy W. | Keefer 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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| | | | 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) |
| Christensen, Curt R. | Voya Financial Advisors | Avon | | | | ✓ |
| Decker, John Henry | RBC Wealth Management | Glastonbury | | | ✓ | ✓ |
| Farrar, Jeff H. | UBS Financial Services Inc. | Stamford | ✓ | ✓ | ✓ | ✓ |
| Gershman, Jay | Retirement Visions, LLC | West Hartford | | | ✓ | ✓ |
| Hess, Cy | Aligne Wealth Preservation LLC | West Hartford | | | ✓ | ✓ |
| Horton, Barnaby W. | Merrill Lynch Wealth Management | Hartford | | | ✓ | ✓ |
| Jacobs, John J. | Jacobs Financial Partners, LLC | Glastonbury | | | ✓ | ✓ |
| Kral, Sr., Christopher J. | Merrill Lynch Wealth Management | Fairfield | | | ✓ | ✓ |
| Michaels, Stephen | Smith Brothers Financial, LLC | Glastonbury | | | ✓ | ✓ |
| Sullivan, James M. | Essex Financial Services, Inc. | Essex | | | ✓ | ✓ |
| | | | | | | |
| **DELAWARE** | | | | | | |
| Pressler, Eric C. | Newton One Investments | Newark | | ✓ | ✓ | ✓ |
| Shumosic, Thom | MidAtlantic Retirement Planning Specialists | Wilmington | | | ✓ | ✓ |
| Zak, Theodore J. | Chouinard Zak Wealth Mgmt Group of Wells Fargo Advisors | Greenville | | | ✓ | ✓ |
| | | | | | | |
| **DISTRICT OF COLUMBIA** | | | | | | |
| Cunningham, Sandra M. | UBS Financial Services Inc. | Washington | | ✓ | ✓ | ✓ |
| Forrester, Mary Anne | Janney Montgomery Scott LLC | Washington | | ✓ | ✓ | ✓ |
| Siegel, Mark | Merrill Lynch Wealth Management | Washington | | | ✓ | ✓ |
| | | | | | | |
| **FLORIDA** | | | | | | |
| Alonso III, Manuel | Benefit Strategies & Advisors | South Miami | | | ✓ | ✓ |
| Bastin, Thomas B. | NFP Retirement, Inc. | Weston | | ✓ | ✓ | ✓ |
| Carroll, James G. | Morgan Stanley Wealth Management | Fort Lauderdale | | ✓ | ✓ | ✓ |
| Carter, Steven R. | Florida Pension Group, Inc./LPL Financial | St. Augustine | | | ✓ | ✓ |
| Casanueva, Dominic J. | Merrill Lynch Wealth Management | Sarasota | | ✓ | ✓ | ✓ |
| Chairvolotti, Edward F. | Chairvolotti Financial, Inc./LPL Financial | Winter Park | | ✓ | | ✓ |
| Clark, Michael D. | Keiron Partners/Raymond James | Orlando | | | ✓ | ✓ |
| Deviney, Sean T. | Provenance Wealth Advisors/Raymond James | Fort Lauderdale | | ✓ | ✓ | ✓ |
| Elobt, Keola J. | West Point Business Group | Jacksonville | | | ✓ | ✓ |
| Larsen, Bradley L. | NFP Retirement, Inc. | Stuart | | ✓ | ✓ | ✓ |
| Machlin, Roger S. | Northwestern Mutual | Tampa | | | ✓ | ✓ |
| Magill, Rick | Service Planning Corporation | Fort Lauderdale | | | ✓ | ✓ |
| Montgomery, W. Michael | Montgomery Retirement Plan Advisors/LPL Financial | Tampa | | ✓ | ✓ | ✓ |
| Parker-Hopkins, Samantha | UBS Financial Services Inc. | Tampa | | ✓ | ✓ | ✓ |
| Perry, Clayton | West Point Business Group | Jacksonvile | | | ✓ | ✓ |
| Rich, Rodney L. | Rodney Rich & Company | Pensacola | | | ✓ | ✓ |
| Thompson, John W. | J.W. Thompson Investments/LPL Financial | Singer Island | ✓ | ✓ | ✓ | ✓ |
| Tummond, Troy D. | Florida Pension Group, Inc./LPL Financial | St. Augustine | | | ✓ | ✓ |
| | | | | | | |
| **GEORGIA** | | | | | | |
| Bjerke, Erik M. | Merrill Lynch Wealth Management | Atlanta | ✓ | ✓ | ✓ | |
| Dagley, Jason | Alpha Squared/Raymond James | Alpharetta | ✓ | ✓ | ✓ | ✓ |
| Gignilliat, Harris M. | UBS Financial Services Inc. | Atlanta | | ✓ | ✓ | ✓ |
| Griffin, David T. | Atlanta Retirement Partners/LPL Financial | Atlanta | | | ✓ | ✓ |
| Harbour, Andrew | Graystone Consulting | Atlanta | | ✓ | ✓ | ✓ |
| Hatter, David M. | Arista Financial Group/LPL Financial | Alpharetta | | | ✓ | ✓ |
| Howard, Deborah A. | Merrill Lynch Wealth Management | Atlanta | ✓ | ✓ | ✓ | |
| Kane, Michael M. | Plan Sponsor Consultants/LPL Financial | Alpharetta | | ✓ | ✓ | ✓ |
| Laschinger, Jay | Alliant Retirement Consulting/LPL Financial | Alpharetta | ✓ | ✓ | ✓ | ✓ |
| Lusink, Brian M. | Morgan Stanley Wealth Management | Atlanta | | ✓ | ✓ | ✓ |
| Mack, David | Merrill Lynch Wealth Management | Atlanta | ✓ | ✓ | ✓ | |
| Rainwater, Kevin L. | Atlanta Capital Group | Atlanta | | | ✓ | ✓ |
| Rudner, Merv | HomeTown 401k | Atlanta | | | | ✓ |
| Wallace, James E. | Merrill Lynch Wealth Management | Atlanta | ✓ | ✓ | ✓ | |
| | | | | | | |
| **HAWAII** | | | | | | |
| Tsukazaki, Peter M. | Tsukazaki & Associates, LLC | Honolulu | | | ✓ | ✓ |
| Yasukawa, Karen | UBS Financial Services Inc. | Honolulu | | ✓ | ✓ | ✓ |
| | | | | | | |
| **ILLINOIS** | | | | | | |
| Banas, Robert | UBS Financial Services Inc. | Chicago | | ✓ | ✓ | ✓ |
| Ciesemier, Michael D. | Morgan Stanley Wealth Management | Chicago | | | ✓ | ✓ |
| Cullen, Jeffrey | Strategic Retirement Partners/Kestra Financial | Shorewood | | ✓ | ✓ | ✓ |
| Czerniak, James A. | LPL Financial | Chicago | ✓ | ✓ | ✓ | ✓ |
| Evans, Ryan F. | Blueprint Wealth Advisors | Chicago | | | ✓ | ✓ |
| Fiumara, L. Rita | UBS Financial Services Inc. | Chicago | | ✓ | ✓ | ✓ |

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| Gelb, Jordan M. | Merrill Lynch Wealth Management | Northbrook | | ✓ | ✓ | ✓ |
| Gershon, Joel A. | Merrill Lynch Wealth Management | Chicago | | ✓ | ✓ | ✓ |
| Greulich, Robert C. | The Pinnacle Planning Group, LLC | Oak Brook | | | ✓ | ✓ |
| Hilbrant, Stace A. | 401k Advisors Chicago/LPL Financial | Wilmette | | ✓ | ✓ | ✓ |
| Hudepohl, Jeanette R. | Reisner Hudepohl Financial Services, Inc. | Geneva | | | ✓ | ✓ |
| Jenkins, Timothy K. | Merrill Lynch Wealth Management | Chicago | | ✓ | ✓ | ✓ |
| Kret, Tom B. | UBS Financial Services Inc. | Barrington | | ✓ | ✓ | ✓ |
| O'Brien, Robert D. | Merrill Lynch Wealth Management | Chicago | | ✓ | ✓ | ✓ |
| O'Shaughnessy, Jim | Sheridan Road Financial, LLC/LPL Financial | Northbrook | ✓ | ✓ | ✓ | ✓ |
| Peluse, Daniel | Wintrust Retirement Plan Services | Chicago | | ✓ | ✓ | ✓ |
| Radler, James R. | Merrill Lynch Wealth Management | Chicago | | ✓ | ✓ | ✓ |
| Ribich, Michael C. | Merrill Lynch Wealth Management | Chicago | | ✓ | ✓ | ✓ |
| Schallmoser, Peter A. | Merrill Lynch Wealth Management | Deer Park | | | ✓ | ✓ |
| Valeo, Sam | Morgan Stanley Wealth Management | Oak Brook | | ✓ | ✓ | ✓ |
| Warye, Russell | Benefit Partners Financial Group, LLC/LPL Financial | Libertyville | | | ✓ | ✓ |
| | | | | | | |
| **INDIANA** | | | | | | |
| Baker, Kristi K. | Compensation Systems, Inc. | Indianapolis | | | ✓ | ✓ |
| Brunton, Eric M. | Merrill Lynch Wealth Management | Indianapolis | ✓ | ✓ | | |
| Cate, John C. | Merrill Lynch Wealth Management | Indianapolis | ✓ | ✓ | | |
| Davis, Kelli J. | Compensation Systems, Inc. | Indianapolis | | | ✓ | ✓ |
| Lauck, George A. | Assured Partners/LPL Financial | Indianapolis | | | ✓ | ✓ |
| Ludwig, John M. | LHD Retirement/LPL Financial | Indianapolis | | | ✓ | ✓ |
| Prince, Doug G. | ProCourse Fiduciary Advisors | Carmel | | ✓ | ✓ | ✓ |
| VerSchure, Timothy | Lakeside Wealth Management | Chesterton | | | ✓ | ✓ |
| Winkeljohn, Tony J. | Pensionmark Retirement Group | Fort Wayne | | | ✓ | ✓ |
| | | | | | | |
| **IOWA** | | | | | | |
| Gredys, Keith J. | Kidder Advisers, LLC/LPL Financial | West Des Moines | | | ✓ | ✓ |
| Kinney, Jr., Henry (Dan) | LPL Financial | West Des Moines | | | ✓ | ✓ |
| Lohman, Todd M. | Strategic Retirement Partners/Kestra Financial | Urbandale | ✓ | ✓ | ✓ | ✓ |
| Ormord, Brian | LPL Financial | Dubuque | | | ✓ | ✓ |
| Shimp, Andrew J. | CAPTRUST | West Des Moines | | ✓ | ✓ | ✓ |
| | | | | | | |
| **KANSAS** | | | | | | |
| Burnich, Benaiah J. | SageView Advisory Group | Overland Park | | ✓ | ✓ | ✓ |
| DiSette, Tim B. | Trinity Planning Group, LLC | Overland Park | | | ✓ | ✓ |
| Geringer, Gary | Merrill Lynch Wealth Management | Wichita | | | ✓ | ✓ |
| Laub, Cindy | Merrill Lynch Wealth Management | Wichita | | ✓ | ✓ | ✓ |
| Stofer, David K. | Mariner Retirement Advisors | Leawood | | ✓ | ✓ | ✓ |
| | | | | | | |
| **KENTUCKY** | | | | | | |
| Backert, Tony | J.J.B. Hilliard, W.L. Lyons, LLC | Louisville | | ✓ | ✓ | ✓ |
| | | | | | | |
| **LOUISIANA** | | | | | | |
| Dupas III, Emmett G. | Northwestern Mutual | Metairie | | | ✓ | ✓ |
| Ellis, John C. | UBS Financial Services Inc. | New Orleans | | ✓ | ✓ | ✓ |
| Harrison, Shawn P. | CoSource Financial Group, LLC | Lafayette | | | ✓ | ✓ |
| | | | | | | |
| **MAINE** | | | | | | |
| Breton, Jennifer L. | Lebel & Harriman, LLP | Falmouth | | ✓ | ✓ | ✓ |
| Pratico, Michael S. | CAPTRUST | Falmouth | ✓ | ✓ | ✓ | |
| | | | | | | |
| **MARYLAND** | | | | | | |
| Assaley III, Alexander G. | AFS 401(k) Retirement Services, LLC | Bethesda | | ✓ | ✓ | ✓ |
| Avallone, Mark | Potomac Wealth Advisors, LLC | Rockville | | | ✓ | ✓ |
| Charkatz, Ross P. | Graystone Consulting | Potomac | ✓ | ✓ | ✓ | |
| DiFerdinando, Armando J. | Financial Benefit Services, LLC | Silver Spring | | ✓ | ✓ | |
| Gimenez, Eduardo | Raffa Retirement Services/LPL Financial | Rockville | | ✓ | ✓ | ✓ |
| Hobson, Gregory A. | RBC Wealth Management | Hunt Valley | | ✓ | ✓ | ✓ |
| Itzoe, Joshua | Greenspring Wealth Management, Inc. | Towson | ✓ | ✓ | ✓ | ✓ |
| Lizzi, Brian G. | TriBridge Partners, LLC | Bethesda | | | ✓ | ✓ |
| Markovic, Michael L. | HighTower Fiduciary Plan Advisors | Owings Mills | | ✓ | ✓ | ✓ |
| Owen, Edward M. | Raffa Retirement Services/LPL Financial | Rockville | | | ✓ | ✓ |
| Soltoff, Howard M. | TriBridge Partners, LLC | Bethesda | | | ✓ | ✓ |
| Spray-Fry, Thomas W. | Heritage Financial Consultants, LLC | Hunt Valley | | | | ✓ |
| Strother, James H. | Raffa Retirement Services/LPL Financial | Rockville | | | ✓ | ✓ |

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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 | | | ✓ | ✓ |

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| **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 | | | ✓ | ✓ |

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