Registered Rep.

# AMERICA'S TOP 100 INDEPENDENT B/D ADVISORS

## AUGUST 2010

| | Name | Firm | City | Assets under management ($ in millions) | Yrs in the business | Business Description/Specialty |
|---|---|---|---|---|---|---|
| 1. | Ron Carson | Carson Wealth Management Group (LPL Financial) | Omaha, NE | 2,456.50 | 27 | Advancing and protecting capital in sideways to negative markets. |
| 2. | Charles C. Zhang | Zhang Financial (LPL Financial) | Portage, MI | 1,100.00 | 19 | Providing each of our clients with sound unbiased advice and solutions. |
| 3. | Susan C. Kaplan | Kaplan Financial Services (LPL Financial) | Boston, MA | 950.00 | 25 | Family practice. Investments, retirement, estate planning, tax, cash flow, and gifting. |
| 5. | Earl Winthrop and Mark Winthrop | Winthrop Wealth Mgmt. (LPL Financial) | Avon CT | 801.00 | 27 | Independent comprehensive wealth management services. |
| 6. | James E. Bashaw | James E. Bashaw & Co (LPL Financial) | Houston, TX | 800.00 | 26 | Holistic private wealth advisory for families, small businesses and non-profit organizations. |
| 7. | Todd A. Feltz | Feltz WealthPLAN (LPL Financial) | Omaha, NE | 800.00 | 28 | Accumulation and preservation of assets to provide retirement income. |
| 11. | Robert Fragasso | Fragasso Financial Advisors (LPL Financial) | Pittsburgh, PA | 640.00 | 38 | Investment management and financial planning. |
| 12. | Kay R. Shirley | Financial Development Corporation (LPL Financial) | Atlanta, GA | 605.61 | 30 | Provide financial resources that deliver success with care and measurable results. |
| 15. | David A. Peterson | Peak Capital (LPL Financial) | Highlands Ranch, CO | 550.00 | 16 | Comprehensive financial planning; primary focus on retirement planning. |
| 17. | Roy Williams | Prestige Wealth Management Group (LPL Financial) | Flemington, NJ | 539.00 | 29 | Comprehensive wealth management, providing customized planning solutions to high-net-worth individuals. |
| 20. | G. Andrew Ahrens | Ahrens Investment Partners (LPL Financial) | Lafayette, LA | 500.00 | 20 | Preserve, grow, and protect our clients' assets with great service. |
| 21. | Laila Marshall-Pence | Pence Wealth Management (LPL Financial) | Newport Beach, CA | 500.00 | 30 | Identify big knowable themes, capture cash flow and manage risk. |
| 27. | Michael Gilbert | Gilbert Advanced Asset Management (LPL Financial) | Johnson City, TN | 420.00 | 30 | Retirement income management and wealth preservation. |
| 28. | Deborah Danielson | Danielson Financial Group (LPL Financial) | Las Vegas, NV | 402.00 | 29 | We provide excellence in comprehensive financial planning and asset management. |
| 32. | James A Cox, III | Harris Financial Group (LPL Financial) | Colonial Heights, VA | 398.00 | 14 | Retirement income planning. |
| 39. | Kerrick W. Bubb | KWB & Associates (LPL Financial) | Redlands, CA | 360.00 | 23 | Creating unique retirement solutions for retired or near retired individuals. |
| 43. | Carlo A. Panaccione | Navigation Group (LPL Financial) | Redwood City, CA | 350.00 | 25 | Provide wealth solutions as the direct result of comprehensive planning. |
| 44. | Robert Kantor | XML Financial group (LPL Financial) | Rockville, MD | 350.00 | 21 | Comprehensive financial planning, asset management and insurance. |
| 45. | V.L. Bud Sanftner | Aspen Financial Services (LPL Financial) | West DesMonies, IA | 345.00 | 10 | Sales team with a balanced approach; 30% stocks & bonds, 35% managed acct., 35% insurance annuities. |
| 47. | Michael Babyak Jr. II | LPL Financial | Mine Hill, NJ | 341.00 | 17 | Holistic planning with concierge level service. |
| 52. | John Keeney | Keeney Financial Group (LPL Financial) | Columbia, MD | 327.45 | 12 | Financial planning, wealth planning and risk management. |
| 53. | Robert J. Floe | Floe Financial Partners (LPL Financial) | Pasadena, CA | 325.00 | 16 | We successfully employ both tactical and strategic asset allocation. |
| 54. | Claudia Jacques-Soto & Bichop Nawrot | Capital Strategies (LPL Financial) | Bloomfield, CT | 323.43 | 23 | Always put the clients' interests first and provide extraordinary service. |
| 55. | David M. Nelson | NelsonCorp Wealth Management (LPL Financial) | Davenport, IA | 320.00 | 30 | We're humbled to be recognizing 30 years of rock solid financial advice. |
| 58. | Bennett Marks | Marks Group Wealth Management (LPL Financial) | Minnetonka, MN | 305.00 | 2 | Comprehensive wealth management and planning. |
| 60. | Timothy W. Leveroni | Leveroni Financial Management (LPL Financial) | Braintree, MA | 300.00 | 25 | Providing financial planning for three generations with a full service team. |

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| 63. **Lawrence R. Lindsley** | Summit Planning Group (LPL Financial) | Green Bay, WI | 295.16 | 11 | Comprehensive wealth management services. |
| 68. **George R. Pierce** | George R. Pierce & Assoc. (LPL Financial) | Seattle, WA | 270.00 | 27 | A team-oriented, personal approach to wealth management for life. |
| 69. **Daniel Pinkerton** | Pinkerton Retirement Specialists (LPL Financial) | Coeur D'Alene, ID | 270.00 | 23 | Comprehensive wealth management for retirees and those seriously planning retirement. |
| 70. **Mark R. Brown** | Brown & Tedstrom (LPL Financial) | Denver, CO | 267.74 | 27 | Wealth management driven by proprietary financial planning philosophy. |
| 72. **Debra Hilton** | D. Hilton Financial Services (LPL Financial) | The Woodlands, TX | 260.00 | 27 | Unparalleled service and knowledge in the design, implementation, and ongoing management of executive compensation plans for not-for-profit organizations. |
| 73. **Arthur P. Colamarino/ Adam Yofan** | Alpern Rosenthal Financial Services (LPL Financial) | Pittsburgh, PA | 255.00 | 24 | Full service wealth management and estate tax minimization planning. |
| 77. **Douglas J. Lockwood** | Harbor Lights Financial Group (LPL Financial) | Manasquan, NJ | 249.00 | 15 | Full service financial planning and wealth management. |
| 78. **Carole R. Ford** | Ford Financial Group (LPL Financial) | Fresno, CA | 245.00 | 31 | Holistic financial planning for families, women and the catastrophically injured. |
| 82. **David Armstrong** | Monument Wealth Management (LPL Financial) | Alexandria, VA | 235.00 | 11 | Fee-based private wealth planning and asset management. |
| 86. **Carol L. Rogers** | Rogers & Company Wealth Management (LPL Financial) | Saint Louis, MO | 230.00 | 34 | Certified private wealth manager providing comprehensive planning and wealth management solutions to high-net-worth families and individuals. |
| 87. **Thomas H. Ruggie** | Ruggie Wealth Management (LPL Financial) | Tavares, FL | 230.00 | 19 | A financial plan equals financial peace. |
| 88. **Melissa Anderson Duffy** | Duffy Anderson Investment Management (LPL Financial) | Cumberland Foreside, ME | 230.00 | 15 | Wealth management and retirement planning for high-net-worth clients. |
| 89. **Brad Griswold** | The CWM Group (LPL Financial) | Bethlehem, PA | 230.00 | 21 | Dedicated to assisting our clients in achieving their financial goals by developing and implementing a personalized strategy for each individual client. |
| 94. **Larry Waller** | Waller Financial Planning Group (LPL Financial) | Columbus, OH | 220.00 | 41 | Lifestyle and legacy choices by design. |
| 96. **Gary W. Pelletier** | LPL Financial / Northeast Planning Associates | Nashua, NH | 214.00 | 25 | Retirement accumulation and distribution strategies for businesses and/or individuals. |
| 100. **Graham C. Parsons, II** | LPL Financial | Erie, PA | $211.37 | 24 | Help clients achieve life goals. Matching asset allocation to risk tolerance. |

**Excerpted wih permission from the August 2010 issue of *Registered Rep*. magazine**
**Ranking based on AUM of advisors who personally manage at least $150 million**
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