WHO

The most successful retirement plan advisers

There is nothing like tumultuous times to highlight the value of, and reinforce the need for, expert help for plan fiduciaries and, yes, it surely plays to the advantage of a profession dedicated to helping plan sponsors construct the right programs, and participants make the best of them.

That is why, in 2005, we launched our Retirement Plan Adviser of the Year award (and, last year, our Retirement Plan Adviser Team of the Year award): to acknowledge "the contributions of the nation's best financial advisers in helping make retirement security a reality for workers across the nation." In the pages that follow, it is our privilege to highlight the standouts from this year's nominations in terms of "success," as measured by number of plans and dollar value of assets under advisement[1].

This year, we received 332 nominations representing more than 200 advisers. We collected information from 216 advisers and, of those, 127 advisers (78 teams and 49 individuals) completed the entry form in its entirety, making them eligible for the award.

The criteria that underlie the award are simple but crucial: We want to recognize advisers who make a difference through increasing participation, boosting deferral rates, enhancing asset allocation, and/or providing better programs through expanded service or expense management. It is no accident that those criteria also underlie the Pension Protection Act's designs for defined contribution plans, for only by getting more workers saving in these programs at effective rates, and invested in prudent ways, can they have any real prospects for retirement security.

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[1] PLANSPONSOR*'s Retirement Plan Adviser of the Year and Retirement Plan Adviser Team of the Year are based on qualitative as well as quantitative criteria and, as a result, may not appear in our "most successful" lists.*

Illustration by Erik Sandberg

That the advisers nominated have enjoyed success is undeniable. Collectively, they represent $159.7 billion in assets under advisement and serve more than 3.5 million participants. Between September 2006 and September 2007, this group of advisers has added 1,274 plans, while only losing 102.

More than half have clients using automatic enrollment and automatic deferral increases, while enrollment meetings and ongoing participant education are offered by about 95% of the nominees. About three-quarters of advisers and adviser teams offer individual investment advice to participants, while 72.3% offer personal planning as well.

More than half (59.7%) of nominated advisers conduct quarterly meetings with their plan sponsor clients to discuss investments (investment monitoring is offered by 94.9% of advisers), and nearly all (97.8%) say they help create an investment policy statement for the plan. A striking 56.2% create a communication policy statement to better focus education efforts.

The Not So-Average Adviser	AVERAGE	MEDIAN
Assets under Advisement:	$941.0 million	$261.5 million
Number of Plans:	47.1	35
Number of Participants Serviced:	19,335	6,100
The Not So-Average Adviser Team	AVERAGE	MEDIAN
Assets under Advisement:	$1.456 billion	$595 million
Number of Plans:	88.2	57
Number of Participants Serviced:	33,207	13,750

THE PROCESS

Nominations for the Retirement Plan Adviser and Adviser Team of the Year awards were solicited online from retirement plan advisers, their employers and/or broker/dealers, and plan sponsors, as well as from working partners of these advisers, including investment vendors, accountants and attorneys, and pension administrators (advisers who have attained the PLANSPONSOR Retirement Professional designation receive an automatic nomination). Nominees must complete a form providing various details of their practice. Winners will be announced at the annual PLANSPONSOR/PLANADVISER Awards Dinner on April 3, 2008, in New York.

Individual Advisers with $500MM or More in AUA

>$3B

Jayson Davidson
Arnerich Massena & Associates
Portland, OR

Randall C. Long ▬
SageView Advisory Group
Irvine, CA

Danford Meischen
Merrill Lynch, Houston, TX

Thomas W. Parks
Citi Consulting, Milwaukee, WI

Christopher J. Rowlins
USI Advisors, Inc.
Glastonbury, CT

>$1B - $3B

Gary Handler ▬
UBS Financial Services Inc.
Encino, CA

Tom Noble
Noble Retirement Group
Sugar Land, TX

Andrew Prevost
Meltzer Group, Bethesda, MD

Kenneth J. Rogers
Rogers Financial
Harrisonburg, VA

Nathan E. Skow
Merrill Lynch, Seattle, WA

Roger W. Stephens
Morgan Stanley
Los Angeles, CA

$500MM - $1B

Jason K. Chepenik
Chepenik Financial, Orlando, FL

John B. Leeson
Investment Research & Advisory Group, Inc., Atlanta, GA

Anthony Mabry
Merrill Lynch, Columbus, OH

William M. Peragine III
Morgan Stanley, Jericho, NY

Adviser Teams with $500MM or More in AUA

>$5B

401(k) Advisors
Vince Giovinazzo, Nick Della Vedova, Veronica Paredes, Jeff Elvander, Jami Chapman, Michael Viljak, Julie Ward, Todd Hoppock, Austin G. William, Joel Shapiro, Debbie Vince, Susann Haas
Aliso Viejo, CA

The Dobbs Group
Wm. Craig Dobbs
Citi Institutional Consulting
Indianapolis, IN

Fiduciary Investment Advisors, LLC
Mark Wetzel, Michael Goss ▬, Christopher Kachmar, Karen Paulson, Anthony Tranghese, Ryan Gardner, *Windsor, CT*

Institutional Consulting Group
John A. Pickett ▬,
Ross H. Clary ▬
RBC Dain Rauscher, Dallas, TX

USI Consulting Group
Bill Tremko, Chris Martin, Chris Rowlins, Ken Hyne,
Glastonbury, CT

$2.5B - $5B

Alliance Benefit Group Financial Services Corp.
Brad Arends, Grant Arends, Kevin Dulitz, Larry Arends, Brian Westemeyer, Steve Brownlow, Lynn Kermes, Jeff Englin
Albert Lea, MN

CAPTRUST Financial Advisors
Mark Medlin, Mike Hudson,
Raleigh, NC

The Founders Group
Anthony M. Franchimone, Larry Deatherage
National Retirement Partners, La Jolla, CA

Francis Investment Counsel LLC
Mike Francis, Kelli Send, Stephanie Truog, Joe Topp, Ed Mcilveen, Tim Shirk, Art Harris, *Pewaukee, WI*

Gsell Group
Bruce Gsell, Goran Bojovski
Merrill Lynch, Edison, NJ

Innovest Portfolio Solutions
Richard M. Todd, Wendy J. Dominguez, Brad Brewer, William E. Fender, Donna Patch, *Denver, CO*

Plan Sponsor Advisors, Inc.
Donald Stone, Jennifer Flodin, Mark Whitehead, Rhonda Berg, Marina Menard, *Chicago, IL*

Ward Financial Advisory Group
Brian A Ward, Steven W. Glasgow, *Brentwood, TN*

$1.5B – <$2.5B

The Beirne Group
John A. Beirne Jr., James A. Betzig, Erik C. Scaranuzzo
Merrill Lynch, New Haven, CT

Capital Strategies Group
William Woodall, Barbara Best, Nancy Rizzuto
Wachovia Securities, Naperville, IL

Castner Josephs Retirement Group, *NRP Member Firm*
Gary S. Josephs, Michael Castner, Jill Shea
Costa Mesa, CA

The Centurion Group
Kevin Broderick, James Hageney, Joseph Bartnicki, Patrick Reisinger, Gene Weber
Plymouth Meeting, PA

Institutional Investment Consulting, *NRP Member Firm*
Michael Kozemchak, Tony Ciocca, Greg Cimmino
Bloomfield Hills, MI

The Napolitano Group
David Napolitano, Keith Dressel
Morgan Stanley, Paramus, NJ

PearlStreet Investment Management
Joseph Horlings, Susan Rose, Kevin Cusack, Shawn Kersjes, Collin Dawes
Oppenheimer & Co. Inc., Grand Rapids, MI

$750MM – <$1.5B

Alford-Jungers Financial & Insurance Services, Inc.
Lisa Jungers, Darrell Alford
San Diego, CA

Cate & Burton Group
John Cate, Matt Burton
Morgan Stanley, Indianapolis, IN

CBIZ Financial Solutions, Inc.
Brian Dean, Mike Swallow, Michael Ziccardi, Joe Granzier, Eric Endress, Kevin Kocsis
Cleveland, OH

ClearPoint Financial
Paul Grutzner, *Seattle, WA*

FFoA, *NRP Member Firm*
Barbara Delaney
Pearl River, NY

Kelliher Group
Stephen Kelliher, Joseph McLaughlin, Bennett White
Morgan Stanley, Norwell, MA

The Kieckhefer Group
Robert Kieckhefer, Janet Ganong
RBC Dain Rauscher, Milwaukee, WI

Oswald Financial, Inc.
David Kulchar, *Cleveland, OH*

Precept RPS
Linda K. Bright, Doug Igel
Precept, Irvine, CA

The Prince Group
Douglas Prince
Stifel Nicolaus & Company Inc., Indianapolis, IN

Soltis Investment Advisors
Lon Henderson, Hal Anderson, Kim Anderson, Tyler Wilkinson, Clark Taylor, Nate McNamee, James Shumway
St. George, UT

$500MM – <$750MM

Advanced Financial Strategists, Inc. (AFS)
Eric Loyd, Keith Sproles
Lawrenceville, GA

Barney & Barney LLC Retirement Services
William Peartree, Rick Skelly, Gary Gunning, *San Diego, CA*

Bukaty Companies Retirement Plan Services
Vince Morris, Jason Hoffman, Tristan Talley, John Franklin, Tom Wright
Leawood, KS

Christiansen Investments, Inc.
James Marshall, Manuel Rosado, Cheryl Luedtke-Stoehr, Jonathan Marshall
Mequon, WI

FDG&S
Phil Fiore, Stephen DesRochers, Dean Gaughler, Gary Serio
Merrill Lynch, Fairfield, CT

Heffernan Financial Services, *NRP Member Firm*
John Prichard, Sr., Blake Thibault, *San Francisco, CA*

Robert Hendrian
Merrill Lynch, Farmington Hills, MI

Longfellow Benefits
Kendall Storch, David Boucher, Andrew Hershenow, Phil LeBlanc
Boston, MA

The Mahoney Group
Kevin Mahoney, Christopher Mahoney, Mark Marotta, Kristen Koluch, Phil Murphy,
Merrill Lynch, West Nyack, NY

The O'Brien Anderson Group
Robert O'Brien, Mikael Anderson, Rondell Richardson, Seamus Carney
Merrill Lynch, Chicago, Illinois

Retirement Services Department
Brenda H. Brammer, Laura S. Timberlake. Nikki Warford
Community Trust and Investment Company, Ashland, KY

Walker/Bafs Retirement Group
Wade A. Walker, Jeff Bafs, Jordan Brown, Matt Fleck, Matt Byers, Lynda Schmutte, Dan Holton, Mike Adams, Ted Spurgeon, Scott Saad, Brad Baird, Joe Matis
Merrill Lynch, Indianapolis, IN

Most Plans: Individual Adviser

100+ plans

Randall C Long
SageView Advisory Group Irvine, CA

Andrew Prevost
Meltzer Group, Bethesda, MD

Christopher J. Rowlins
USI Advisors, Inc. Glastonbury, CT

75 – 100 plans

Sean Deviney
Provenance Wealth Advisors Fort Lauderdale, FL

Jordan Gelb
Merrill Lynch, Northbrook, IL

Tom Noble
Noble Retirement Group, Sugar Land, TX

William M. Peragine III
Morgan Stanley, Jericho, NY

Thom Shumosic
Rockwood Financial Group & Retirement Planning Specialists, Wilmington, DE

James F. Sampson
Telamon Insurance & Financial Network, Newton, MA

50 – 74 plans

John Barry
JMB Wealth Management/ National Planning Corporation, Torrance, CA

Gary Handler
UBS Financial Services Inc., Encino, CA

Barnaby W. Horton
Merrill Lynch, Hartford, CT

Danford Meischen
Merrill Lynch, Houston, TX

Charles Snyder
Robert W. Baird & Co., Cleveland, OH

35 – 49 plans

Jason Chepenik
Chepenik Financial, Orlando, FL

Jeffrey Justi
Leavitt Pacific, San Jose, CA

Timothy Kasper
Merrill Lynch, Fort Lauderdale, FL

Claiborne B. "Chip" Morton
National Retirement Partners, Destin, FL

Parks Consulting Group
Thomas W. Parks
Citi Consulting, Milwaukee, WI

Rick Wedge
Northgate Benefits, Novato, CA

James L. Worrell
GPS Investment Advisors, LLC, Providence, RI

Most Plans: Adviser Teams

200+

401(k) Advisors
Vince Giovinazzo, Nick Della Vedova, Veronica Paredes, Jeff Elvander, Jami Chapman, Michael Viljak, Julie Ward, Todd Hoppock, Austin G. William, Joel Shapiro, Debbie Vince, Susann Haas
Aliso Viejo, CA

Alliance Benefit Group Financial Services Corp.
Brad Arends, Grant Arends, Kevin Dulitz, Larry Arends, Brian Westemeyer, Steve Brownlow, Lynn Kermes, Jeff Englin
Albert Lea, MN

Oswald Financial, Inc.
David Kulchar, *Cleveland, OH*

USI Consulting Group
Bill Tremko, Chris Martin, Chris Rowlins, Ken Hyne,
Glastonbury, CT

Walker/Bafs Retirement Group
Wade A. Walker, Jeff Bafs, Jordan Brown, Matt Fleck, Matt Byers, Lynda Schmutte, Dan Holton, Mike Adams, Ted Spurgeon, Scott Saad, Brad Baird, Joe Matis
Merrill Lynch, Indianapolis, IN

120 – 199 plans

Barney & Barney LLC Retirement Services
William Peartree, Rick Skelly, Gary Gunning, *San Diego, CA*

Chappelle Consulting Group, *NRP Member Firm*
Allan Chappelle, Hunter Flack, Brian MacKenzie, Allan J. Chappelle
Birmingham, AL

ClearPoint Financial
Paul Grutzner, *Seattle WA*

Henderson Brothers Retirement Plan Services
William Beale
Pittsburgh, PA

100 – 119 plans

Bukaty Companies Retirement Plan Services
Vince Morris, Jason Hoffman, Tristan Talley, John Franklin & Tom Wright, *Leawood, KS*

CBIZ Financial Solutions, Inc
Brian Dean, Mike Swallow, Michael Ziccardi, Joe Granzier, Eric Endress, Kevin Kocsis
Cleveland, OH

The Duvall Jackel Group
Howard M. Duvall, IV, Andrew Jackel
New York, NY

Longfellow Benefits/NRP
Kendall Storch, David Boucher, Andrew Hershenow, Phil LeBlanc
Boston, MA

The O'Brien Anderson Group
Robert O'Brien, Mikael Anderson, Rondell Richardson, Seamus Carney
Chicago, Illinois

RDM Financial Group
Ronald Weiner, David Snetro,
Westport, CT

Ward Financial Advisory Group
Brian A Ward, Steven W. Glasgow
Wachovia Securities
Brentwood, TN

75 – 99 plans

Kelliher Group
Stephen Kelliher, Joseph McLaughlin, Bennett White
Morgan Stanley, Norwell, MA

Fiduciary Investment Advisors, LLC
Mark Wetzel, Michael Goss, Christopher Kachmar, Karen Paulson, Anthony Tranghese, Ryan Gardner
Windsor, CT

The Founders Group, *NRP Member Firm*
Anthony M. Franchimone, Larry Deatherage
La Jolla, CA

The Hagwood Tomoda Group
Aaron Hagwood, Scott Tomoda, Andres Castano, *Wellesley, MA*

Heffernan Financial Services, *NRP Member Firm*
John Prichard, Sr., Blake Thibault
San Francisco, CA

The Myers Wolfe Myers Group
Marshall Myers, Noel J. Wolfe, Scott E. Myers
Morgan Stanley, Jenkintown, PA