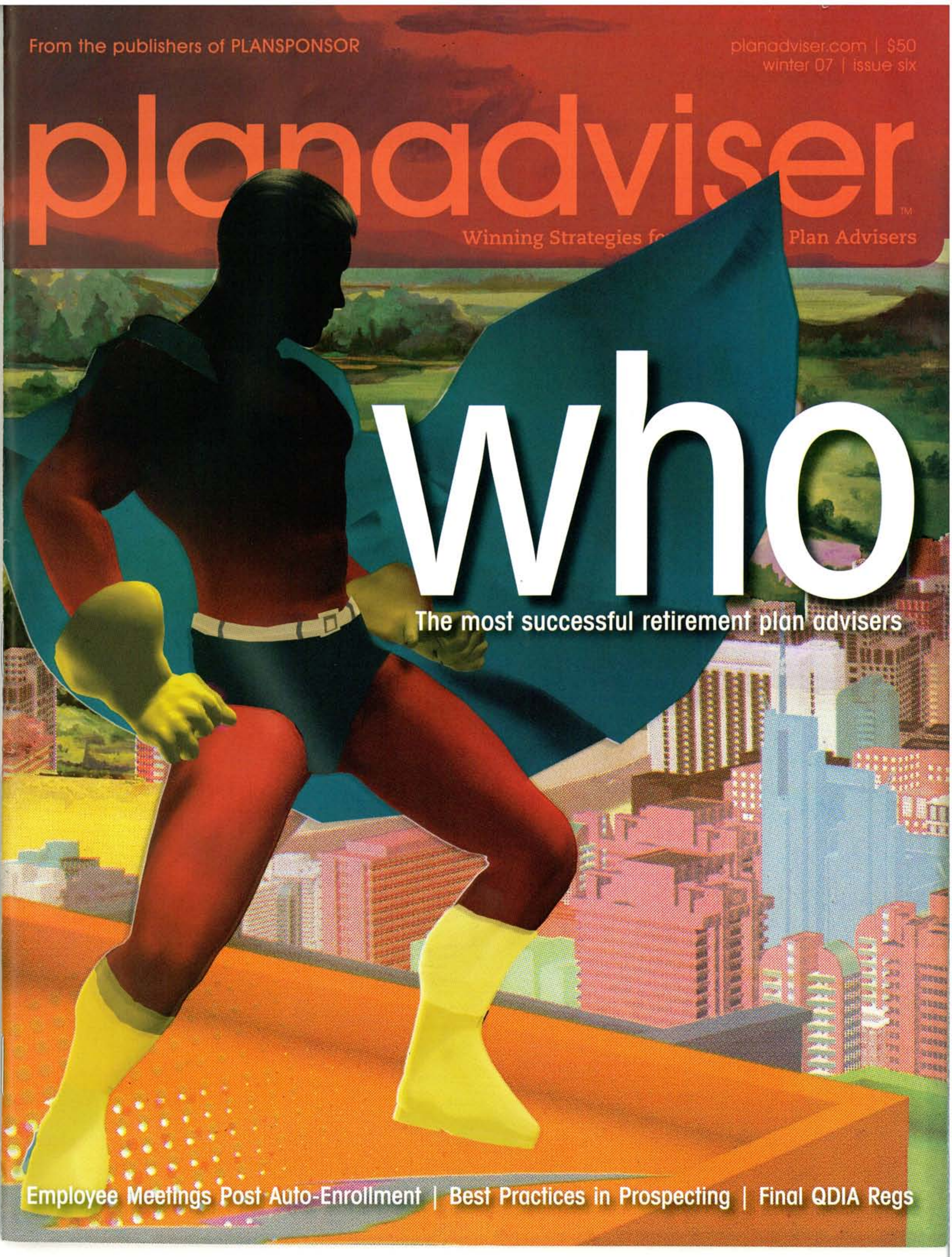
From the publishers of PLANSPONSOR

planadviser.com | $50
winter 07 | issue six

planadviser

Winning Strategies fo Plan Advisers



who

The most successful retirement plan advisers

Employee Meetings Post Auto-Enrollment | Best Practices in Prospecting | Final QDIA Regs

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. It is also the kind of challenging environment that tends to separate the chaff from the wheat—that sorts out the committed from the merely intrigued—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.

Illustration by Erik Sandberg

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

Randall C. Long
SageView Advisory Group, Irvine, CA

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

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

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

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

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

Schooley/Houck Group
Richard L. Schooley, Craig A. Houck
Morgan Stanley, Savannah, GA

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

Roger W. Stephens
Morgan Stanley, Los Angeles, CA

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

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

Rick Wedge
Northgate Benefits, Novato, CA

Individual Advisers with an Average Plan Participation Rate of 80% or More *(listed alphabetically)*

Joseph Baker
Alcus Financial Group, LLC, Mount Pleasant, SC

Richard L Behr
401K Squared, Littleton, CO

Scott Ciullo
Raymond James, Marquette, MI

Jordan Gelb
Merrill Lynch, Northbrook, IL

Timothy J. Halls
Moneta Group Investment Advisors, LLC, Clayton, MO

Barnaby W. Horton
Merrill Lynch, Hartford, CT

Jeffrey Justi
Leavitt Pacific, San Jose, CA

Timothy A. Kasper
Merrill Lynch, Fort Lauderdale, FL

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

Rex W. Linkenbach
Princor Financial Services Corporation, Mansfield, OH

Randall C. Long
SageView Advisory Group, Irvine, CA

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

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

Roger W. Stephens
Morgan Stanley, Los Angeles, CA

Robert N. Truitt
Merrill Lynch, Peachtree City, GA

Chris Vordemesche
UBS Financial Services, Cincinnati, OH

Rick Wedge
Northgate Benefits, Novato, CA

Eric Zakarin
Morgan Stanley, Short Hills, NJ

Adviser Teams with an Average Plan Participation Rate of 80% or More
(listed alphabetically)

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

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

The Brown Group
Stephen Brown, *Merrill Lynch, Pittsford, NY*

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

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

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

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

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

Advisers with 10% or More of Their Business in Defined Benefit Plans
(listed alphabetically)

Gregg Andonian
Baystate 401k Advisors, Milford, MA

Richard L Behr
401K Squared, Littleton, CO

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

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

CAPTRUST Financial Advisors
Mark Medlin, Mike Hudson
Raleigh, NC

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

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

Cleveland Hauswirth Investment Management, Inc.
Nan Cleveland, Roy Hauswirth, Michael Sellinger, *Brookfield, WI*

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

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

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

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

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

The Heestand Company, *NRP Member Firm*
Bill Heestand, Mary Martinis
Portland, OR

Howell & Sharp Group
Brett Howell, Craig Sharp
Merrill Lynch, Grand Rapids MI