

Ahead of the Pack

The state's top 50 financial advisers.

By Ray Bendici

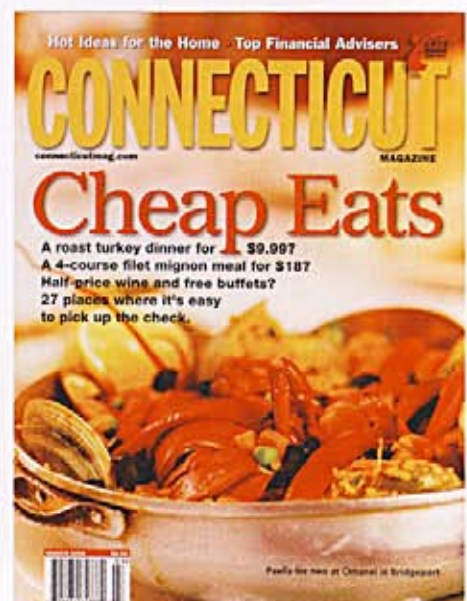
Under the best of circumstances, making financial decisions can be stressful. With the turbulence the U.S. economy has experienced over the past few months, it makes sense to get professional guidance to help make informed decisions about taking care of your money and navigating your financial future. Fortunately, there's no shortage of experts available to aid in that process—there are over 1,000 financial professionals in Connecticut alone, from brokers to investment advisers to financial planners. The real trick is finding a good one who is right for you.

Enter The Winner's Circle, a research organization created by former financial adviser R.J. Shook, who has been researching the top financial advisers in the nation for more than a decade. His group annually ranks the best advisers in the nation, including the top 50 here in Connecticut which it compiled exclusively for this magazine.

The Winner's Circle (which does not receive compensation from advisers, firms or Connecticut Magazine to compile these rankings) gets over 7,000 nominations each year from securities firms, banks and other financial organizations that employ Series 7 registered financial advisers. Initial rankings are based on both quantitative data (assets and revenue) and qualitative data (compliance records, client retention, customer satisfaction); The Winner's Circle team then requires each adviser to complete an extensive survey, followed by interviews with senior management and peers about the nominated individuals before finally sitting down with each one in person. "We've gone to Connecticut two or three times to meet with these advisers," says Shook. "It's important to sit down with them as an investor would before we put them on any list, which is, in our opinion, like recommending these advisers to the public. We take it very seriously."

The Winner's Circle has gone to exhaustive lengths to find great advisers, making this list a good starting point for anyone interested in hiring a financial professional. "These are 50 outstanding advisers, but they're not the only outstanding ones in Connecticut," says Shook. "There are a lot of other wonderful advisers out there."

But before you start looking at the names, you may want to look at yourself first.



**RANKING THE TOP
PERSONAL FINANCIAL
ADVISERS**

Name	Firm	City	Retail (<\$1m) ¹	HNW (\$1m-\$10m) ¹	UHNW (>\$10m) ¹	Foundations	Endowments	Small Business	Account Size	Net Worth	Assets ²
1	John (Jeff) Erdmann	Merrill Lynch & Co.	Greenwich	• • •					\$10mm-100mm	\$50mm	\$4,300,000,000
2	John W. Rafal	Essex Financial Services	Essex	• • • • •					\$3mm	\$3mm-15mm	\$2,100,000,000
3	William J. Greco	UBS Financial Services	Hartford	• • •					\$5mm-25mm	\$5mm-100mm	\$2,136,000,000
4	Ronald Weiner	RDM Financial Group	Westport	• • •					\$1mm-5mm	\$2mm-10mm	\$542,420,033
5	Thomas Lips *	UBS Financial Services	Hartford	• • • • •					\$5mm	\$10mm	\$1,050,000,000
6	Brian Hetherington	Merrill Lynch & Co.	New Canaan	• •					\$15mm	\$20mm	\$5,200,000,000
7	Thomas Vacheron	Merrill Lynch & Co.	Fairfield	• •					\$4mm	\$5mm-25mm	\$1,000,000,000
8	Caroline Brecker	JPMorgan Private Bank	Greenwich	• • •					\$35mm	\$25mm	\$2,500,000,000
9	John Slattery	UBS Financial Services	Stamford	• • •					\$15mm	\$25mm+	\$450,000,000
10	Justin Nelson	JPMorgan Private Bank	Greenwich	•					\$25mm	\$100mm	\$5,006,000,000
11	Robert Reby	Robert J. Reby & Co. Inc.	Danbury	• •					\$750k-2mm	\$1.5mm-3mm	\$375,000,000
12	Andrew Kampf	Merrill Lynch & Co.	New Haven	• • •					\$1mm-3mm	\$5mm+	\$1,750,000,000
13	Robert Outtrim	Merrill Lynch & Co.	New Haven	• • •					\$1mm-10mm	\$3mm-10mm	\$760,000,000
14	Mark Rousseau *	UBS Financial Services	Hartford	• • • • •					\$5mm	\$10mm	\$1,050,000,000
15	Harold Trischman	Smith Barney	Greenwich	• • • • •					\$1.5mm	\$4mm	\$1,150,000,000
16	Gregory Castanza	UBS Financial Services	Hartford	• •					\$500k-1.5mm	\$1mm-2mm	\$245,000,000
17	Dodd Koeckert	Merrill Lynch & Co.	Stamford	• • • • •					\$2mm-4mm+	\$5mm-10mm+	\$850,000,000
18	Matthew Tashjian	Smith Barney	Hartford	• • •					\$3mm-5mm	\$5mm-15mm	\$819,000,000
19	Charles Andriole	Merrill Lynch & Co.	Madison	• • •					\$2mm-10mm	\$5mm-100mm	\$625,000,000
20	Teresa Jacobsen	UBS Financial Services	Stamford	• • • •					\$2mm-4mm	\$4mm-10mm	\$625,081,000
21	Allan Jay	Smith Barney	Stamford	• • • • •					\$2mm-25mm	\$5mm-15mm	\$730,000,000
22	Jeffrey Castle	Morgan Stanley	Greenwich	• • • • •					\$1mm	\$2mm-5mm	\$1,025,000,000
23	Lori Price	Price Financial Group LLC	Wilton	• • • •					\$1mm-3mm	\$3mm-10mm	\$205,000,000
24	Donn Dolce	UBS Financial Services	Stamford	• • • • •					\$3mm	\$7mm	\$400,000,000
25	Carl Zuckerberg >	Relyea Zuckerberg Hanson, LLC	Stamford	• •					\$7mm-12mm	\$10mm-20mm	\$800,395,000
26	Peter Chieco	Smith Barney	Greenwich	• • •					\$5mm-10mm	\$20mm-25mm	\$670,000,000
27	William Webster	UBS Financial Services	Westport	• • • • •					\$1.5mm	\$2mm	\$550,000,000
28	Dana Hanson >	Relyea Zuckerberg Hanson, LLC	Stamford	• •					\$7mm-12mm	\$10mm-20mm	\$800,395,000
29	Robert Casey	RBC Dain Rauscher	Southport	• • •					\$3mm-5mm	\$20mm-50mm	\$208,000,000
30	Earl Winthrop	LPL Financial Services	Avon	• • • • •					\$2mm-5mm+	\$3mm-10mm+	\$630,000,000
31	Robert Kreitler	Kreitler Associates	New Haven	• • •					\$1mm-3mm	\$1mm-5mm	\$192,930,000
32	Roberta Hatch	JPMorgan Private Bank	Shelton	• •					\$5mm-15mm	\$15mm-30mm	\$1,400,000,000
33	Lawrence Scharf	UBS Financial Services	Westport	• •					\$250k-1mm	\$1mm-10mm	\$130,000,000
34	Samuel Acquaviva	UBS Financial Services	Hartford	• • •					\$1mm-2.5mm	\$3mm	\$652,000,000
35	Paul Brewer	Merrill Lynch & Co.	Hartford	• • •					\$3mm-5mm	\$5mm-10mm	\$1,138,000,000
36	Vincent Fiorentino	Smith Barney	Greenwich	• • •					\$500k-1mm	\$3mm-10mm+	\$170,000,000
37	Scott Mather	Ameriprise Financial	East Hartford	• •					\$500k	\$750k	\$177,000,000
38	Gerald Dubey ^	Smith Barney	Hartford	• • •					\$2mm-3mm	\$5mm	\$950,000,000
39	Steven Haas	Ameriprise Financial	Southbury	• • •					\$750k-1.5mm	\$1mm-5mm	\$250,000,000
40	Claudia Jacques-Soto	Capital Strategies	Bloomfield	• • • •					\$1mm-3mm+	\$5mm-10mm	\$341,972,187
41	Howard Perkins	UBS Financial Services	Greenwich	• • •					\$2.9mm	\$5mm	\$500,000,000
42	Thomas Forma	Merrill Lynch & Co.	Farmington	• • • •					\$2.7mm	\$3mm-5mm	\$375,869,341
43	Dennis Stanek Jr.	RBC Dain Rauscher	Hartford	• • •					\$1mm-2mm	\$2.5mm-5mm	\$334,000,000
44	Thomas Hofstetter	UBS Financial Services	Westport	• • •					\$700k	\$5mm	\$289,500,000
45	John Barnes	RBC Dain Rauscher	Stamford	• • •					\$2mm-5mm	\$5mm-10mm	\$710,000,000
46	Richard Cyphers ^	Smith Barney	Hartford	• • •					\$2mm-3mm	\$5mm	\$950,000,000
47	William Payne	UBS Financial Services	Hartford	• • •					\$1mm-2mm	\$1mm-4mm	\$299,000,000
48	Elise Shartsis	Smith Barney	Greenwich	• • •					\$5mm-12mm	\$10mm-21mm	\$250,000,000
49	Robert G. Brochu	LPL Financial Services	Farmington	• • •					\$600k	\$1mm-3mm	\$175,000,000
50	Mary-Ann Bunting	Bunting & Somma	Westport	• •					\$1mm-3mm	\$1.5mm-4mm	\$210,000,000

1. Investable assets, excluding primary residence; "*" indicates 5 percent or more of adviser's business.
2. Total team assets include custodied and non-custodied assets that adviser and team advise. Adviser is ranked on individual assets, or percentage of contribution to team; some individuals on list are not part of teams and assets reflect only their share. Different weightings are assigned to different types of assets.

Ranking algorithm includes revenues produced, but is not published.
Account size and net worth refer to individual business, not institutional; net worth includes primary residence.
HNW is High Net Worth; UHNW is Ultra High Net Worth.
*, >, ^ represents partners

The Winner's Circle® is an organization independent of the firms involved and does not receive compensation from the over 100 participating firms or its affiliates, financial advisers or the media in exchange for ranking purposes. Each adviser on this year's Connecticut Winner's Circle® list was filtered down from a national list from securities firms, banks, independent firms and more. The Winner's Circle team vetted each Series-7 registered advisor through a host of quantitative and qualitative criteria, including assets managed, revenues, experience levels, acceptable compliance records and U4 forms, discussions with management and more. Because client portfolios vary and are typically unaudited, portfolio performance is not a criteria; instead, The Winner's Circle focuses on customer satisfaction and client retention. The Winner's Circle is a registered trademark of The Winner's Circle, LLC. For more information about The Winner's Circle or to nominate an adviser, visit www.WCorg.com.