

WASHINGTON BUSINESS JOURNAL

washingtonbusinessjournal.com

September 28-October 4, 2012

Advertorial

Washington's Premier Wealth Advisors



The practices below were evaluated and selected by the National Association of Board Certified Advisory Practices (NABCAP) after surveying advisors throughout the region. See below for methodology.

| Advisory Practice | Firm Name | Assets Under Management Per Client (average) | Clients per advisor (average) | Advisors to Support Staff | Credentials | Top Five Specialties |
|---|----------------------------------|--|-------------------------------|---------------------------|--|--|
| Sean A. Joyce Washington, D.C. 202-862-9149 | Morgan Stanley Smith Barney | \$1,715,000 | 26 | 3 : 1 | None Applicable | Wealth Preservation/Insurance, Investment Management, Risk Management, Portfolio Management, Capital Preservation |
| Sentinel Wealth Management, Inc. Reston, Va. 703-787-5770 | Sentinel Wealth Management, Inc. | \$1,500,000 | 26 | 3 : 1 | Chartered Life Underwriter, Chartered Financial Consultant, Certified Financial Planner, Certified Public Accountant | Retirement Planning, Financial Planning, Investment Management, Philanthropic Planning, Comprehensive Wealth Management |
| Slater King Fitzenreiter and Murphy Washington, D.C. 202-659-7387 | Merrill Lynch | \$2,775,000 | 95 | 4 : 5 | Certified Financial Planner | Financial Planning, Investment Management, Risk Management, Estate Planning, Portfolio Management |
| Speck-Caudron Investment Group Alexandria, Va. 703-739-4548 | Wells Fargo Advisors LLC | \$810,000 | 300 | 4 : 5 | Chartered Retirement Plans Specialist, Certified Financial Planner | Retirement Planning, Financial Planning, Portfolio Management, Capital Preservation, Comprehensive Wealth Management |
| Sprohls, Dicken & Key Wealth Management Group Alexandria, Va. 703-739-1439 | Wells Fargo Advisors | \$1,065,000 | 266 | 3 : 2 | Certified Financial Planner | Financial Planning, Wealth Preservation/Insurance, Estate Planning, Portfolio Management, Comprehensive Wealth Management |
| Susan Crown Washington, D.C. 202-585-5415 | UBS Financial Services | \$1,020,000 | 87 | 2 : 1 | Certified Investment Management Analyst, Certified Financial Planner | Retirement Planning, Financial Planning, Investment Management, Portfolio Management, Asset Allocation Management |
| The Bogart Group McLean, Va. 703-356-0079 | RBC Wealth Management | \$985,000 | 417 | 1 : 5 | Chartered Financial Consultant, Certified Financial Planner | Retirement Planning, Financial Planning, Investment Management, Risk Management, Portfolio Management |
| The Corey Group Washington, Va. 202-659-6081 | Merrill Lynch | \$2,150,000 | 148 | 1 : 3 | Certified Financial Planner, Chartered Financial Consultant | Financial Planning, Corporate Services, Family Office Services, Risk Management, Comprehensive Wealth Management |
| The Monitor Group McLean, Va. 703-288-0500 | The Monitor Group | \$1,870,000 | 87 | 3 : 1 | Certified Financial Planner | Retirement Planning, Financial Planning, Investment Management, Estate Planning, Comprehensive Wealth Management |
| The Monument Group Washington, D.C. 202-861-4417 | Wells Fargo Advisors | \$2,220,000 | 73 | 5 : 2 | Certified Investment Management Analyst | Corporate Services, Investment Management, Family Office Services, Risk Management, Comprehensive Wealth Management |
| The Washington Wealth Group Chevy Chase, Md. 301-907-2717 | RBC Wealth Management | \$3,270,000 | 75 | 1 : 3 | Chartered Financial Consultant, Chartered Life Underwriter, Certified Financial Planner | Retirement Planning, Financial Planning, Wealth Preservation/Insurance, Investment Management, Comprehensive Wealth Management |

List continues



The Monument Group of Wells Fargo Advisors
1133 Conn. Ave., NW 9th Floor
Washington, DC 20036
202-861-4417

Tripp Shreves, Managing Director - Investment Officer

Gregory Keil, Managing Director - Investment Officer

Matthew Carroccio, Associate VP - Investments

Lisa Elbert, First VP - Investments

Julie McIntire, Senior Registered Client Associate

Christopher Malay, Registered Client Associate

The National Association of Board Certified Advisory Practices (NABCAP) is an unaffiliated, nonprofit organization based in Colorado that was created to tackle the daunting challenge of identifying top practitioners, and through the process help reform the public's perception of the industry and its professional membership. NABCAP currently has a presence in thirty-five plus U.S. markets.

The nonprofit along with its board of directors developed a formula designed to identify the best practices as determined by NABCAP. Separating and distinguishing the strongest practitioners from the industry's pool of advisors is a solution with merit. The difficulty lies in the clear need for transparency. "I'm very interested and concerned about the integrity of the industry," says Dr. Chuck King, NABCAP board vice president. "Our goal is to make sure that the people who make our list meet our guidelines. It's not about just hanging out a shingle. One of the reasons I got involved was the need for more scrutiny." The public requires a reliable, independent resource to provide clarity for their financial decisions. NABCAP was formed to help clarify the picture. And while NABCAP knows there is no perfect solution, it is committed to promoting higher standards and transparency, which are vital to the long-term success of the investing public. "We're not just counting assets under management," says King. "We're interested in the processes used. And we don't just take anybody. This is not a pay-to-play Organization. I'm a big believer in free markets. And what makes free markets work is information, not a lot of regulations. The more perfect the information, the more perfect the regulation."

Methodology

The primary focus of NABCAP is to serve the needs of the investing public by helping identify top wealth managers. NABCAP and its board of directors created an unaffiliated evaluation process in which 20 categories of practice management are assessed. Advisors are invited and/or nominated to participate by submitting an online questionnaire. The multi-step verification process utilizes independent resources to assess the accuracy and truthfulness of the information submitted by participating advisory practices. NABCAP's methodology is unique in deciphering advisors because it is primarily objective, not subjective, and helps add transparency for the investor's benefit. NABCAP takes pride that its list of Premier Advisors is not merely defined by Assets Under Management (A.U.M.), revenues produced or even worse, popularity. Alternatively, NABCAP attempts to identify top advisors regardless of size, firm or affiliation.

Consumer Use

Even though NABCAP's vetting process is comprehensive in evaluating advisors, every single practice on the list most likely will not fit you the investor. The list of advisory practices is in alphabetical order; NABCAP believes there is not one perfect practice for every investor out there. The first step recommended by NABCAP is to narrow down the list of practices by average client size. It is recommended you select practices that have an average client size of ½ - ¼ the size client you would estimate yourself, family or business to be. For example, if you have approximately \$2 million of investable assets then identify practices with an average client size of \$500K- 1million. This way, you fall within the top 20% of a practice's entire clientele. This increases the probability you receive the practice's top shelf service, care and attention. In addition to narrowing down the field of practices by average size client, it is recommended you also reference the practice's top 5 specialties and designations to assure they are equipped and focused on handling your individual needs. Try to select at least 3 practices to interview for different personalities, service models and practice methodologies.

Disclaimer

NABCAP's focus is to provide objective differentiation between financial advisory practices and through their evaluation process to help add transparency to the Financial Services Industry. Even though the NABCAP Premier Advisors' list is comprehensive it should not be considered exhaustive and the following disclaimers should be considered:

[a] To ensure the best interests of the investing public, NABCAP does not accept financial support from advisory practices, financial institutions or the media in exchange for beneficial reviews, rankings or industry insight. NABCAP is not affiliated with any advisor or financial institution participating in the survey.

[b] Selecting a NABCAP Premier Advisor is no guarantee as to future investment success nor is there any guarantee that the selected financial advisory practice will be designated as a Premier Advisor by NABCAP in the future.

[c] The inclusion of a financial advisory practice on the NABCAP Premier Advisor's list should not be construed as an endorsement of the financial advisory practice by NABCAP or *The Washington Business Journal*.

[d] Although NABCAP invites all advisors in a market to participate, the final decision lies with the advisor and as such there may be advisors who would qualify but do not appear on the list as they chose not to participate and if they were included some advisors on this list would not have been included.

[e] NABCAP screens candidates for regulatory compliance issues: checks and balances are imposed to limit the inclusion of an advisor with a negative regulatory history or multiple client complaints. These checks and balances include:

(i) NABCAP requires financial advisors to be registered/licensed financial advisors in good standing with state and federal regulatory bodies. In addition NABCAP requires financial advisors to be in compliance with their respective broker/dealer or affiliated representation

(ii) NABCAP reviews each financial advisor and support staff's U-4 or ADV to verify their employment and compliance record.

(iii) If an advisory practice makes the list with a settlement on their record we recommend that investors inquire with the advisory practice as well with their supervisor for the nature of the settlement.

[f] The supervisor survey is structured to make it equally easy for a respondent to give negative or positive responses and the method of calculating results incorporates both negative and positive survey responses

[g] NABCAP does not perform subjective analysis of the survey results but assigns numerical ratings based on questionnaire and survey responses, as well as third party verification.

[h] ___+ direct contacts were made via email and mail in the Washington area and 13,500+ indirect to subscribers for participation/nomination of participants. Premier Advisors list will not exceed 3.5% of each market's financial advisory practices

[i] NABCAP created the methodology and process. Rank Premier Advisors is contracted to administer the evaluation process.

[j] All advertisements in the special advertising section were sold exclusively by the *Washington Business Journal* and not endorsed in any way by NABCAP.