



2012 Richmond Five Star Wealth Managers

In a consumer study about dynamics between wealth managers and their clients, Five Star Professional polled wealth managers and consumers about communications. Both groups said that connecting three to four times a year is the right communications strategy, but expectations are not aligned in all areas:

- 29 percent of consumers want to be contacted by their wealth manager whenever events require an update; only 7 percent of wealth managers say they contact clients based on the impact of events.
- 63 percent of consumers say they receive the right amount of communication from their wealth manager.

From research conducted by Five Star Professional, April 2011.

Wealth managers, broadly defined, are those individuals who help you manage your financial world and/or implement aspects of your financial strategies. Common examples of wealth managers

are financial advisors, financial planners, investment advisors, tax advisors and estate planning attorneys.

How do you find a wealth manager with experience, who has a good base of clients with high retention rates, and who has undergone a regulatory and complaint review? And when you find them, are they accepting new clients?

Richmond magazine and Five Star Professional partnered to find wealth managers who satisfy 10 objective eligibility and evaluation criteria that are associated with wealth managers who provide quality services to their clients. Among many distinguishing attributes, the average one-year client retention rate for this year's award winners is more than 96 percent.

“Don't listen to other people. Investigate for yourself. Be wary of advisers who say they never had a down year.”

— *Five Star Wealth Manager*

A Select AWARD

The 2012 Five Star Wealth Managers are a select group, representing less than 4 percent of the wealth managers in the Richmond area.⁽¹⁾

Although this list is a useful tool for anyone looking for help in managing their financial world or implementing aspects of their financial strategies, it should not be considered exhaustive. Undoubtedly, there are many excellent wealth managers who, for one reason or another, are not on this year's list.

Award CANDIDATES

In order to consider a broad population of high-quality wealth managers, award candidates are identified by one of three sources: firm nomination, peer nomination or pre-qualification based on industry standing. Self-nominations are not accepted. Richmond award candidates were identified using internal and external research data, including a survey to more than 1,822 registered financial services professionals and all identified financial service companies in the area that are registered with FINRA or the SEC.

Determination OF AWARD WINNERS

Award candidates who satisfied 10 objective eligibility and evaluation criteria that are associated with wealth managers who provide quality services were named 2012 Five Star Wealth Managers.⁽²⁾

Eligibility Criteria - Required⁽³⁾

1. Credentialed as an investment advisory representative (IAR), a FINRA-registered representative, a CPA or a licensed attorney.
2. Actively employed as a credentialed professional in the financial services industry for a minimum of five years.
3. Favorable regulatory and complaint history review.⁽⁴⁾
4. Fulfilled their firm review based on internal firm standards.
5. Accepting new clients.

Evaluation Criteria - Considered⁽³⁾

6. One-year client retention rate (the average one-year client retention rate of this year's award winners is more than 96 percent).
7. Five-year client retention rate.
8. Non-institutional discretionary and/or non-discretionary client assets administered (this year's award winners administer an average of \$96 million in client assets).
9. Number of client households served (on average, this year's award winners serve 264 households).
10. Education and professional designations.

Research DISCLOSURES

- Wealth managers do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers.
- The Five Star award is not indicative of the wealth manager's future performance.
- Wealth managers may or may not use discretion in their practice and therefore may not manage their clients' assets.
- The inclusion of a wealth manager on the Five Star Wealth Manager list should not be construed as an endorsement of the wealth manager by Five Star Professional or *Richmond* magazine.
- Working with a Five Star Wealth Manager or any wealth manager is no guarantee as to future investment success, nor is there any guarantee that the selected wealth managers will be awarded this accomplishment by Five Star Professional in the future.
- Five Star Professional is not an advisory firm, and the content of this article should not be considered financial advice. For more information on the Five Star award and the research/selection methodology, go to www.fivestarprofessional.com.
- ⁽¹⁾ 663 award candidates in the Richmond area were considered for the Five Star Wealth Manager award. 163 (approximately 25 percent of the award candidates) were named 2012 Five Star Wealth Managers.

⁽²⁾ Wealth managers were required to certify that any information they provided was accurate.

⁽³⁾ Criteria 4, 8 and 9 do not apply to attorneys or CPAs.

⁽⁴⁾ As defined by Five Star Professional, the wealth manager has not:

- Been subject to a regulatory action that resulted in a license being suspended or revoked, or payment of a fine.
- Had more than a total of three customer complaints filed against them (settled or pending) with any regulatory authority or Five Star Professional's consumer complaint process.
- Individually contributed to a financial settlement of a customer complaint filed with a regulatory authority.
- Filed for personal bankruptcy.
- Been convicted of a felony.

Five Star Professional conducts a regulatory review of each nominated wealth manager using the Investment Adviser Public Disclosure (IAPD) website. Five Star Professional also uses multiple supporting processes to help ensure that a favorable regulatory and complaint history exists. Data submitted through these processes was applied per the above criteria:

- Each wealth manager who passes the Five Star Professional regulatory review must attest that they meet the definition of favorable regulatory history, based upon the criteria listed above.
- Five Star Professional promotes via local advertising the opportunity for consumers to confidentially submit complaints regarding a wealth manager.
- Five Star Professional contacted approximately 1 in 12 households identified as having a high propensity to use the services of wealth managers in order to provide consumers the opportunity to submit complaints regarding a wealth manager. More than 3,747 households in the Richmond area were contacted.

The Five Star Wealth Manager selection criteria was updated for the 2012 award year. 2005 - 2011 Five Star Wealth Managers scored highest in overall satisfaction based on feedback from clients, peers and industry experts. No more than 7 percent of wealth managers receive the award each year. The selection process for the 2005 - 2011 award winners can be found at www.fivestarprofessional.com/2011/wealth_managers_research_overview.php.



The Five Star award goes to less than 7 percent of wealth managers.

Insights from Five Star Wealth Managers

“Wishful thinking is not planning. If you plan for the worst, you will never be unpleasantly surprised.”

“Clients don't care how much you know until they know how much you care.”

“Only invest in something that you understand.”

“What matters most is how you recover from setbacks.”



Award winners listed by primary services and listed alphabetically by last name.

Estate Planning

Bruce Mertens · Sands Anderson

Paula Peaden · Parker Pollard Wilton & Peaden Page 10

Kimberly Pinchbeck · Kimberly A. Pinchbeck

Jane Schwarzschild · Armstrong Bristow Farley & Schwarzschild

Robert Tuck · RTJ Law Group

Financial Planning

Howard Adams · Cambridge Investment Research

Mark Barnett · Ameriprise Financial Services, Inc.

William Bays · Virginia Asset Management

Nancy Bovenizer · Bovenizer & Associates/Ameriprise Financial Services, Inc.

John Bowen · Bowen Financial Services

Tripp Bowles · Scott & Stringfellow

Janis Brelsford · Scott & Stringfellow

Shane Cason · Merrill Lynch

Dale Chambers · Ameriprise Financial Services, Inc. Page 6

John Clair · Leahy & Clair Financial Management

Jamie Cox · Harris Financial Group

Marc Cram · Morgan Stanley

Cecelia Crouch · Morgan Stanley

Mark A. H. Davis · ISIS Financial Page 10

Scott Dingman · LPL Financial

Alan Dole · Equity Concepts

G. Allen Foglesong · Pinnacle First Financial Group

Robert Freeman · Morse Capital Partners

Glenn Greenwood · Greenwood Financial Group

Kappy Gross · 1752 Financial

Douglas Hartz · C&F Investment Services

J. Cory Hoffer · Hermitage Wealth Management

Holly Huebsch · Moore Huebsch & Associates/Ameriprise Financial Services, Inc.

William Jeter · Janney Montgomery Scott

Michael Joyce · JoycePayne Partners

Roger Kasch · Kasch, Levitch, McAlee & Associates/Ameriprise Financial Services, Inc. Page 6

Wesley Kaufman · Merrill Lynch

Jason King · Ameriprise Financial Services, Inc.

Thomas Kirby · Ziegler Wealth Management Page 9

David Koren · Capstone Financial Partners

Leonard Levitch · Kasch, Levitch, McAleer & Associates/Ameriprise Financial Services, Inc. Page 6

Ethan Lindbloom · RBC Wealth Management

G. Carl Mahler, Jr. · The Pinnacle Group

Patrick McAleer · Kasch, Levitch, McAlee & Associates/Ameriprise Financial Services, Inc. Page 6

Breck Montague · Merrill Lynch

Gregory Moore · Synergy Wealth Group

Jeff Moore · Moore Huebsch & Associates/Ameriprise Financial Services, Inc.

Thomas Morin · First Investors Corporation

W. Scott Mowry · Legacy Financial Group/Raymond James Financial Services

Deborah Nuttycombe · Merrill Lynch

Kristopher Olexy · Capitol Financial Solutions

Richard Overy · Compass Wealth Strategies

Benjamin Page · Ameriprise Financial Services, Inc.

Douglas Pulsifer · MassMutual Financial Group

Thomas Pusser · Capital Cities Investments

John Robinson · Equity Concepts

Alyson Ross · Ameriprise Financial Services, Inc.

Nancy Russell · Morgan Stanley

Ernesto Sampson · Ameriprise Financial Services, Inc.

Lyle K. Schiavone · Williamsburg Financial Group

Robert Schinsky · Williamson Rohr Swartzwelder & Associates/Ameriprise Financial Services, Inc.

Kenneth Sizemore · Morgan Stanley

Paul Spencer · Spencer Page & Associates/Ameriprise Financial Services, Inc.

Matthew Spradlin · Merrill Lynch

Brandon Taylor · Morgan Stanley

Michael Thaler · Equity Concepts

Jaymie Upton · Merrill Lynch

Kevin Williamson · Williamson Rohr Swartzwelder & Associates/Ameriprise Financial Services, Inc.

Steven Williamson · Williamson Rohr Swartzwelder & Associates/Ameriprise Financial Services, Inc.

Dale Wright · Equity Concepts

Isaac Wright · Financial Dynamics & Associates

Edward Yesbeck · Virginia Asset Management

Investments

James Baber · Janney Montgomery Scott

William Barnes · Wells Fargo Advisors, LLC

David Barrett · Barrett Capital Management

Ron Bell · Edward Jones

Susan Bennett · Morgan Stanley

Charles Bradshaw · Wells Fargo Advisors, LLC

Harry Byrd IV · Scott & Stringfellow

Kenneth Cadden · Morgan Stanley

Matthew Casella · SunTrust Investment Services

Regina Clayton · American Portfolios Financial Services

Brad Dalton · Edward Jones

William Davis, Jr. · Thompson Davis Asset Management Page 8



Award winners listed by primary services and listed alphabetically by last name.

Michael Denton · RBC Wealth Management
 Craig Dods · Wells Fargo Advisors, LLC
 Thomas Dorsey · Dorsey Wright & Associates
 John Dragonas · Mid-Atlantic Financial Group/MetLife
 Jack Enoch · RBC Wealth Management
 Evan Fabricant · Legacy Partners
 C. Michael Finfgeld · Stuller Connelly & Finfgeld
Troy Flinn · Alpha Wealth Advisors
Page 10
 Andrew Foldenauer · RBC Wealth Management
 Darel Gallagher · RBC Wealth Management
 Toby Gee · Wells Fargo Advisors, LLC
 Gregory Gerczak · Merrill Lynch
 Neil Gilliss · Canal Capital Management
 Larry Golub · Legacy Financial Group
 Ward Good · Oppenheimer & Company
 George Gordon · Wells Fargo Advisors, LLC
 Peter Gore · Gore Capital Management
 Steve Griggs · Morgan Stanley
 Edward Grosso · Wells Fargo Advisors, LLC
Bryan Halstead · Wells Fargo Advisors, LLC
Page 8
 Thomas Heaton · Merrill Lynch
 Daniel Heller · Oppenheimer & Company
 Alan Hess · Wells Fargo Advisors, LLC
 Jack Heyl · Janney Montgomery Scott
Curtis Hornstra · Wells Fargo Advisors, LLC
Page 8
 Thomas Paul Hughes · Franklin Federal Financial Center
 Harvey Hutchinson · Brunson Hutchinson Advisors
 David Jennings · Merrill Lynch
 Mark Jones · SIMA Wealth Partners

Seth Kaplan · Morgan Stanley
 Brock Klich · Ameriprise Financial Services, Inc.
 David Kraft · Wells Fargo Advisors, LLC
 Robert Lang · RBC Wealth Management
 Mark Lange · Morgan Stanley
 Todd Larkin · Wells Fargo Advisors, LLC
 Mike Lavery · Wells Fargo Advisors, LLC
 Michael Lewandowski · Riverton Financial Services
 John Maloney · Janney Montgomery Scott
 Steven Martin · Wells Fargo Advisors, LLC
Larry McClanahan · Thompson Davis Asset Management
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 Mark Mellon · Edward Jones
 Bruce Miller · Merrill Lynch
 Henry Miller · RBC Wealth Management
 Martin Miller · Scott & Stringfellow
 Timothy Mullins · Wells Fargo Advisors, LLC
 Daniel Murphy · Wells Fargo Advisors, LLC
 Keith Muth · Virginia Asset Management
 Michael Neal · Wells Fargo Advisors, LLC
John Packard · Wells Fargo Advisors, LLC
Page 7
Dennis Perkins · Price Perkins
Page 7
 John Phipps · Janney Montgomery Scott
Kenneth Price · Price Perkins
Page 7
 Kamran Raika · Wells Fargo Advisors, LLC
 Scott Redmond · Redmond Asset Management
 Trevor Roberts · AXA Advisors
 Rebecca Robertson · Wells Fargo Advisors, LLC
 Paul Rogers · Edward Jones
 Dalal Salomon · Salomon & Ludwin
 Robin Schilling · Wells Fargo Advisors, LLC

Betty Schutte-Box · Edward Jones
 Henry “Hoppy” Shores, Jr. · Wells Fargo Advisors, LLC
 Scott Silvester · Edward Jones
 Geoffrey Sisk · Wells Fargo Advisors, LLC
 Mark Smith · Wells Fargo Advisors, LLC
 Robert Smith · Covenant Wealth Advisors
Harper Stephens · Thompson Davis Asset Management
Page 8
 Douglas Stopkey · Merrill Lynch
 Allan Strange · Janney Montgomery Scott
 Robert Sullivan · Morgan Stanley
 Loretta Tabb · Wells Fargo Advisors, LLC
Carol Thomas · Wells Fargo Advisors, LLC
Page 9
Hunter Thompson · Thompson Davis Asset Management
Page 8
Timothy Thompson · Old Dominion Asset Management
Page 9
 L. Scott Thornhill · Wells Fargo Advisors, LLC
 Robert Topping · Covenant Wealth Advisors
 Joseph Torrice · Merrill Lynch
 James Van Den Berg · Janney Montgomery Scott
 Ronald Webster · Wells Fargo Advisors, LLC
 Christopher Williams · Virginia Asset Management
 Jason Williams · Wells Fargo Advisors, LLC
Gary Wood · BDC Capital Management
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Taxation

Timothy Benusa · Timothy G. Benusa & Associates, CPA
 Sandra Claytor · Sandra R. Claytor, CPA

Trust Services

Derek Smith · Virginia Fiduciary & Virginia Estate Plans

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Near retirement? Here are three conversations that could change your future. We spend a lot of time talking with family members about politics, the news and our personal lives. But you may be overlooking the most valuable conversations — those about the future. Here are three conversations to have — soon — with your family:

Your spouse's or partner's retirement dreams.

Your parents' estate plans.

Your kids' college and career goals.

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Left to right: Two-year winners Roger Kasch and Leonard Levitch, 2012 winner Patrick McAleer

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Left to right: Lori Maass, Jennifer Terry, Alex E. Hendrickson and two-year winner John W. Packard

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Left to right: Two-year winners Ken Price and Dennis Perkins

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Left to right: Two-year winner Harper M. Stephens, 2012 winners Larry G. McClanahan and E. Hunter Thompson, Jr., two-year winner William D. Davis, Jr.

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- Repeatable investment process and consistent portfolio monitoring
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2011 – 2012 Five Star award winners



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www.thompsondavis.com

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1021 E Cary St., 9th Fl.
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Curtis L. Hornstra



1021 E Cary St., 9th Fl.
Richmond, VA 23219
Phone: (804) 697-6745
Toll-free: (800) 888-5265
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Thomas R. Kirby



4801 Cox Rd., Ste. 102
Glen Allen, VA 20360
Phone: (804) 290-4334
Toll-free: (877) 245-5199
tkirby@ziegler.com
www.ziegler.com/thomas-kirby

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Senior Vice President, Branch Manager, MBA

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Carol Thomas
Wells Fargo Advisors,
LLC

1021 E Cary St., 22nd Fl.
Richmond, VA 23219
Phone: (804) 782-3220
carol.l.thomas@wfadvisors.com
home.wellsfargoadvisors.com/
carol.l.thomas

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Associate Vice President, Investments Officer

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Timothy J. Thompson



201 Wylderose Commons, Ste. 104
Midlothian, VA 23113
Phone: (804) 858-0045
tim@olddominionasset.biz
www.olddominionasset.biz

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Top five questions that wealth managers want clients to answer:

1. What are your goals and objectives with your finances?
2. What is your most pressing need right now?
3. Where do you see yourself in 5, 10, 15 years?
4. Where are all of your assets invested now?
5. What is important about money to you?



From research conducted by
Five Star Professional, April 2011



Mark A. H. Davis


ISIS FINANCIAL
 2704 Enterprise Pkwy.
 Henrico, VA 23294
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Paula L. Peaden

**Parker, Pollard
 Wilton & Peaden**
Attorneys at Law
 6802 Paragon Pl., Ste. 300
 Richmond, VA 23230
 Phone: (804) 262-3600
 ppeaden@parkerpollard.com
 www.parkerpollard.com

Paula L. Peaden counsels clients in estate planning/administration, wills and trusts, guardianships, elder law, Medicaid and special needs planning. She is AV rated by Martindale Hubbell, named a Virginia SuperLawyer®, is in "Best Lawyers of America" and is recognized by Martindale Hubbell in the Bar Register of Preeminent Women Lawyers.

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