

ATLANTA'S TOP 25 FINANCIAL PLANNING & ADVISORY FIRMS

Ranked by assets under management in Atlanta

Rank		Company	Total assets under management for Atlanta office* / Companywide**	Of total assets for Atlanta, amount discretionary* / nondiscretionary*	Professionals in Atlanta~ / Total Atlanta staff	Number of fee-paying clients in metro Atlanta / Companywide	Number of offices in Atlanta / Companywide / Headquarters	Brief description of compensation	Agencies that regulate the firm†	Chief Atlanta officer(s)	Year est. in Atlanta
This year	Last year										
1.	(1)	Merrill Lynch 3455 Peachtree Road N.E., Suite 1000 Atlanta, Ga. 30326 (404) 231-2400 www.ml.com	\$101,600,000,000 \$1,500,000,000,000	NA NA	394 NA	NA NA	9 more than 800 Charlotte, N.C.	commissions, flat fees	FINRA, SEC, NASD	Don Plaus	1921
2.	(2)	SunTrust Banks Inc. 303 Peachtree St. N.E. Atlanta, Ga. 30308 (404) 588-7711 www.suntrust.com	\$78,841,776,106 \$78,841,776,106	\$43,097,000,000 \$35,744,776,106	68 143	NA NA	6 more than 30 Atlanta	flat fees, fee as a percent of assets	SEC, FINRA	Willem Hattink	1891
3.	(3)	Morgan Stanley Smith Barney LLC 3280 Peachtree Road, Suite 1700 Atlanta, Ga. 30305 (404) 266-6800 www.morganstanleysmithbarney.com	\$41,000,000,000 NA	\$8,000,000,000 \$33,000,000,000	318 NA	NA NA	6 1,200 New York	commissions, flat fees, fee as a percent of assets	SEC, NASD, FINRA	Walter W. Jameson	NA
4.	(4)	Reliance Trust Co. 1100 Abernathy Road, Suite 400 Atlanta, Ga. 30328 (800) 749-0752 www.reliance-trust.com	\$5,421,499,000 \$5,421,499,000	\$1,384,143,000 \$4,037,356,000	6 291	NA NA	1 5 Atlanta	flat fees, fee as a percent of assets	Georgia DBF	Anthony A. Guthrie	1975
5.	(NR)	CAPTRUST Financial Advisors 3348 Peachtree Road N.E., Suite 1420 Atlanta, Ga. 30326 (800) 216-0645 www.captrustadvisors.com	\$5,309,919,616 \$62,000,000,000	\$26,582,198 \$5,283,337,418	2 3	7 40	1 11 Raleigh, N.C.	commissions, flat fees, fee as a percent of assets	SEC, FINRA state regulatory authorities	Victor Bell, Richard Bernhardt	2005
6.	(6)	Investment Research & Advisory Group Inc. 1180 West Peachtree St. N.W., Suite 2475 Atlanta, Ga. 30309 (404) 760-3730 www.iragroup.com	\$5,200,000,000 \$5,200,000,000	\$0 \$5,200,000,000	5 7	157 191	1 1 Atlanta	flat fees, fee as a percent of assets	SEC, FINRA	Doug Leeson	1992
7.	(5)	GenSpring Family Offices 4401 Northside Parkway, Suite 120 Atlanta, Ga. 30327 (404) 419-3260 www.genspring.com	\$3,161,321,813 \$16,850,214,462	\$2,695,026,676 \$1,736,693,342	15 30	163 696	1 14 Palm Beach Gardens, Fla.	flat fees, fee as a percent of assets	SEC	Susan Parsons	2001
8.	(7)	BNY Mellon Wealth Management 3290 Northside Parkway N.W., Suite 950 Atlanta, Ga. 30327 (678) 538-2000 www.bnymellonwealthmanagement.com	\$2,700,000,000 \$171,000,000,000	\$2,700,000,000 \$0	17 35	300 500	1 46 New York	fee as a percent of assets	OCC	Dana Halberg, Sandra Majors, Garrett Alton	1989
9.	(8)	Raymond James 3348 Peachtree Road N.E., Suite 1250 Atlanta, Ga. 30326 (404) 365-9712 www.raymondjames.com	\$2,576,668,940 \$271,000,000,000	NA	75 140	NA NA	23 2,400 St. Petersburg, Fla.	flat fees, fee as a percent of assets	SEC, FINRA	Gordon Morse	1983
10.	(9)	Peachtree Planning Corp. 5040 Roswell Road (404) 260-1600 Atlanta, Ga. 30342 www.peachtreepanning.com	\$2,488,965,612 \$2,488,965,612	NA \$130,752,387	96 146	NA 1,229	1 40 Atlanta	commissions, flat fees, fee as a percent of assets	FINRA, SEC	Robert Mathis	1989
11.	(10)	Iron Capital Advisors Inc. 3355 Lenox Road, Suite 925 (800) 417-3804 Atlanta, Ga. 30326 www.ironcapitaladvisors.com	\$2,314,638,369 \$2,314,638,369	\$29,298,248 \$2,285,340,121	5 8	121 121	1 1 Atlanta	fee as a percent of assets	SEC	Charles E. "Chuck" Osborne	2003
12.	(11)	Homrich Berg 3060 Peachtree Road N.W., Suite 830 Atlanta, Ga. 30305 (404) 264-1400 www.homrichberg.com	\$2,247,088,993 \$2,247,088,993	\$1,822,433,022 \$424,655,971	35 53	450 750	2 2 Atlanta	flat fees, fee as a percent of assets	SEC	Andrew "Andy" J. Berg	1989
13.	(13)	Atlantic Trust 1555 Peachtree St. N.E., Suite 1100 Atlanta, Ga. 30309 (404) 881-3400 www.atlantictrust.com	\$1,602,794,793 \$17,647,745,202	\$1,525,749,850 \$77,044,943	3 16	108 2,243	1 11 Atlanta	flat fees, fee as a percent of assets	OCC, SEC	Barry N. Berlin, Charles R. Hoke, Scott Thompson	2000
14.	(12)	National Financial Services Group 1050 Crown Pointe Parkway, Suite 1000 Atlanta, Ga. 30338 (770) 512-5100 www.nationalfinancialservicesgroup.com	\$1,554,000,000 \$2,109,000,000	\$0 \$1,554,000,000	85 98	9,600 12,900	19 39 Atlanta	commissions, flat fees, fee as a percent of assets, referral fees	FINRA	James L. Cook	1896
15.	(14)	Lincoln Financial Advisors Corp. 3625 Cumberland Blvd., Suite 900 Atlanta, Ga. 30339 (770) 799-7000 www.lfg.com	\$1,410,056,646 NA	NA	27 61	550 NA	5 NA Philadelphia	commissions, flat fees, fee as a percent of assets	SEC, FINRA	Lyra G. Howalt	1910
16.	(16)	SignatureFD LLC 600 Peachtree St., Suite 2700 (404) 253-7600 Atlanta, Ga. 30308 www.signaturefd.com	\$1,368,174,198 \$1,368,174,198	\$1,121,902,842 \$246,271,356	14 27	377 397	1 2 Atlanta	commissions, flat fees, fee as a percent of assets	SEC	Jeff Peller	1997
17.	(NR)	Ronald Blue & Co. 300 Colonial Center Parkway, Suite 300 Atlanta, Ga. 30076 (770) 280-6000 www.ronblue.com	\$1,362,360,000 \$6,281,500,000	\$1,346,318,000 \$16,042,000	91 115	1,100 5,300	2 15 Atlanta	fee as a percent of assets, other	SEC	Russ Crosson	1979
18.	(15)	The Henssler Financial Group 3735 Cherokee St. (770) 429-9166 Kennesaw, Ga. 30144 www.henssler.com	\$1,310,000,000 \$1,310,000,000	\$927,359,081 \$386,990,807	22 57	710 871	2 2 Kennesaw, Ga.	flat fees, fee as a percent of assets	SEC	Gene W. Henssler	1987
19.	(25)	Shepherd Kaplan LLC 400 Galleria Parkway, Suite 1500 Atlanta, Ga. 30339 (888) 382-8010 www.sk-llc.com	\$1,267,000,000 \$6,903,000,000	\$0 \$1,267,000,000	1 2	7 151	1 4 Boston	flat fees, fee as a percent of assets	SEC	Al Otto	2010
20.	(17)	Capstone Financial Partners LLC 3333 Peachtree Road N.E., Suite 400 Atlanta, Ga. 30326 (404) 261-8900 www.capstonefinancialpartners.com	\$1,150,000,000 \$1,150,000,000	NA	15 110	NA 162	8 18 Atlanta	commissions, flat fees, fee as a percent of assets	SEC, FINRA	Chuck McCray, Greg Straka	1894
21.	(NR)	Berman Capital Advisors 3475 Lenox Road, Suite 970 (404) 554-4999 Atlanta, Ga. 30326 www.bermancapitaladv.com	\$1,100,000,000 \$1,100,000,000	\$0 \$1,100,000,000	1 5	22 33	1 1 Atlanta	flat fees, fee as a percent of assets	SEC	Justin F. Berman	2010
22.	(NR)	Pathstone Family Office 191 Peachtree St., Suite 3980 (404) 592-0180 Atlanta, Ga. 30303 www.pathstone.com	\$1,043,588,798 \$1,043,588,798	\$647,834,808 \$395,753,990	9 26	7 27	1 3 Atlanta	flat fees, fee as a percent of assets	SEC	Allan Zachariah	2010
23.	(19)	Integrated Financial Group Inc. 200 Ashford Center N., Suite 400 Atlanta, Ga. 30338 (770) 353-6400 www.integrated-financial-group.com	\$952,700,000 \$1,476,068,000	\$693,400,000 \$259,300,000	30 41	NA NA	8 21 Atlanta	commissions, flat fees, fee as a percent of assets	SEC, FINRA	Donald Patrick	1976
24.	(23)	Capital Directions LLC 400 Northridge Road, Suite 220 (404) 237-8881 Atlanta, Ga. 30350 www.capdir.com	\$915,477,526 \$915,477,526	\$762,412,254 \$153,065,272	4 10	90 90	1 1 Atlanta	flat fees, fee as a percent of assets	SEC	Jack Calhoun, Dennis Covington	1985
25.	(21)	A. Montag & Associates Inc. 133 Peachtree St., Suite 2500 (404) 522-5774 Atlanta, Ga. 30303 www.amontag.com	\$908,498,628 \$908,498,628	\$905,401,298 \$3,097,330	7 20	119 235	1 1 Atlanta	fee as a percent of assets, other	SEC	Edward A. Montag	1982

* Firms reported assets under management, discretionary and nondiscretionary, in line with SEC Form ADV Part I, Item 5F (2) (a), (b) and (c). All information is current as of June 30, 2011.

** Figures only include investment assets actually managed, not any life insurance policies, and only assets on which the firm is collecting advisory fees.

~ A professional is defined here as a person with a professional designation, such as a CPA or CFP, who is qualified to provide comprehensive financial planning services.

† NASD - National Association of Securities Dealers

SEC - Securities and Exchange Commission

FINRA - Financial Industry Regulatory Authority

OCC - Office of the Comptroller of the Currency

NA - Not available or not applicable

J.P. Morgan Private Bank; Wells Fargo, The Private Bank; and U.S. Trust, Bank of America Private Wealth Management either did not reply to survey requests or declined to disclose assets under management for their Atlanta office.

SOURCES: Atlanta Business Chronicle research and the firms

It is not the intent of this list to endorse the participants or to imply that the size of a firm indicates its quality. Although every attempt is made to ensure the accuracy and thoroughness of Atlanta Business Chronicle charts, omissions sometimes occur. All information listed is based on responses from the firms to Atlanta Business Chronicle surveys. Please send corrections or additions on company letterhead to Patsy Conn, Research Director, Atlanta Business Chronicle, 3423 Piedmont Road, Suite 400, Atlanta, Ga. 30305, or e-mail pconn@bizjournals.com.