Dec. 28, 2015–
Jan. 10, 2016

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By Andrew Rice

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FIVE STAR PROFESSIONAL 2016 New York City Five Star Wealth Managers

A Select Award

Finding a wealth manager who suits your needs can be a daunting task. In fact, many consumers have a hard time figuring out where to even begin.

Sometimes, a few simple questions can set one off on the right path. Asking a wealth manager what makes working with him or her a unique experience can help you understand how they work and if their style meshes with your own. Further, asking a financial advisor to talk about any specialties they might have can help uncover skills you might find useful.

Ultimately, how do you find an experienced wealth manager who you feel comfortable working with? One who has high retention rates? One who has undergone a thorough complaint and regulatory review? One who has tenure in the industry?

New York magazine and Five Star Professional partnered to find wealth managers who satisfy 10 objective eligibility and evaluation criteria. Among many distinguishing attributes, the average one-year client retention rate for this year's award winners is more than 96 percent. 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.

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. New York City award candidates were identified using internal and external research data.

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 *New York* 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.
- 2,169 award candidates in the New York City area were considered for the Five Star Wealth Manager award. 154 (approximately 8 percent of the award candidates) were named 2016 Five Star Wealth Managers.

Determination of Award Winners

Award candidates who satisfied 10 objective eligibility and evaluation criteria were named 2016 Five Star Wealth Managers.

Eligibility Criteria – Required

1. Credentialed as an investment advisory representative or a registered investment advisor.
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. Fulfilled their firm review based on internal firm standards.
5. Accepting new clients.

Evaluation Criteria – Considered

6. One-year client retention rate.
7. Five-year client retention rate.
8. Non-institutional discretionary and/or non-discretionary client assets administered.
9. Number of client households served.
10. Education and professional designations.

Regulatory Review

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.

For more information on the program, go to www.fivestarprofessional.com/wm_program.

Adler, Levy, Jee & Lubin Wealth Management Group


THREE-YEAR WINNER

Left to right: **2016 winner Stephen J. Adler**, Managing Director – Investments, CIMA®; **three-year winner Mark L. Levy**, Managing Director – Investments, CIMA®; **2016 winner Roger Jee**, Senior Vice President – Investments; **Michael S. Lubin**, Senior Vice President – Investments, CFP®

ADLER, LEVY, JEE & LUBIN
WEALTH MANAGEMENT GROUP
of Wells Fargo Advisors

535 Madison Avenue
New York, NY 10022
Phone: 212-750-8770

Our eight-member team has over 100 years of cumulative investment experience and includes a CFP® professional (Michael S. Lubin) and two CIMA® designees (Stephen J. Adler and Mark L. Levy). With a personal philosophy of working with the highest standards of honesty and integrity, all our team members strive to offer the highest level of client service. Our mission is to assist our clients in achieving their lifetime financial goals through the creation and implementation of personalized investment and retirement planning. Our goal is to keep our clients focused and on track toward accomplishing their financial vision and freedom.

We incorporate a disciplined and rigorous investment process with each client, treating them individually with objectivity, care and respect. We believe that a solid investment plan forms the foundation for successful education, retirement and estate planning strategies. We work closely with our clients' legal and tax experts to ensure cohesion of goals and a comprehensive advisory experience.

Wells Fargo Advisors, LLC is not a legal or tax advisor.
Wells Fargo Advisors, LLC, Member SIPC. [CAR 1115-02464].

Integrity, Intelligence and Energy

Carol Richards

Senior Vice President – Wealth Management, Financial Advisor, CFP®


THREE-YEAR WINNER

Morgan Stanley

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- Five Star Wealth Manager award winner, 2014 – 2016

As part of my overall financial planning practice, I obtained the ADPA® designation (joining a select group of less than 40 wealth managers in New York state as of September 30, 2015). This allows me to incorporate financial planning for domestic partners into my practice in areas such as wealth transfers, taxation, retirement planning and estate planning.

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Planning in a New World

Richard Habib

CFP®, CLU®, ChFC®, CMFC®, AAMS®, CASL®


THREE-YEAR WINNER

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- More than 25 years of comprehensive wealth management
- Relationship- and service-driven
- Personalized investment strategies

In a world of uncertainty and complexity, the one constant must be the advisor's unwavering commitment and service to the client. For more than 25 years, I have personalized wealth strategies by listening first and planning based on each individual's unique situation with a focused eye on the wealth distribution cycle.

Registered Representative and Financial Advisor of Park Avenue Securities LLC (PAS). Securities products and advisory services offered through PAS, member FINRA, SIPC. Financial Representative of The Guardian Life Insurance Company of America (Guardian), New York, NY. PAS is an indirect, wholly-owned subsidiary of Guardian. 2015-14191 (exp. 11/17).

The Client Relationship Is the Best Product

The Five Star Wealth Manager award, administered by Crescendo Business Services, LLC (dba Five Star Professional), is based on 10 objective criteria. Eligibility criteria – required: 1. Credentialed as a registered investment adviser or a registered investment adviser representative; 2. Active as a credentialed professional in the financial services industry for a minimum of 5 years; 3. Favorable regulatory and complaint history review (As defined by Five Star Professional, the wealth manager has not: A. Been subject to a regulatory action that resulted in a license being suspended or revoked, or payment of a fine; B. 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. Unfavorable feedback may have been discovered through a check of complaints registered with a regulatory authority or complaints registered through Five Star Professional's consumer complaint process; feedback may not be representative of any one client's experience; C. Individually contributed to a financial settlement of a customer complaint filed with a regulatory authority; D. Filed for personal bankruptcy; E. Been convicted of a felony); 4. Fulfilled their firm review based on internal standards; 5. Accepting new clients. Evaluation criteria – considered: 6. One-year client retention rate; 7. Five-year client retention rate; 8. Non-institutional discretionary and/or non-discretionary client assets administered; 9. Number of client households served; 10. Education and professional designations. Wealth managers do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers. Award does not evaluate quality of services provided to clients. Once awarded, wealth managers may purchase additional profile ad space or promotional products. 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 client's 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 this publication. 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. For more information on the Five Star award and the research/selection methodology, go to fivestarprofessional.com. 2,169 New York City wealth managers were considered for the award; 154 (8 percent of candidates) were named 2016 Five Star Wealth Managers.

Noah Sanders

Financial Advisor/Wealth Planner

THREE-YEAR WINNER

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Noah has been helping his clients achieve their financial goals since 1993 and is honored to receive his third Five Star Wealth Manager award. Conservative by nature, Noah uses a combination of investments to preserve capital during these uncertain times. He enjoys watching his clients grow their wealth and, most importantly, maintain that wealth, so they can pass it on to future generations.

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First Vice President, Wealth Advisor

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- Ongoing financial goal assessments
- Strategic income planning; helping you retire confidently
- Estate and legacy planning strategies
- 25 years with Morgan Stanley

My philosophy for successful wealth management is anchored in relationships, planning and loyalty. As your advisor, I will assist you in identifying your goals and develop a customized investment strategy designed to achieve them. Invest with someone who understands that how you live today is just as important as how you live tomorrow.

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Your Financial Journey Is My Priority

Susan P. Wiener

CFP®, Vice President – Investment Officer

TWO-YEAR WINNER

WELLS FARGO ADVISORS

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- Retirement planning professional
- Customized wealth management
- Asset preservation strategies
- Income distribution planning
- Navigating life's transitions

As a Certified Financial Planner™ professional and wealth advisor, Susan helps high-net-worth individuals and institutions navigate today's challenging investment landscape. She provides guidance in customized investment management, asset allocation, income distribution and multigenerational transfer.

Wells Fargo Advisors, LLC, Member SIPC. [CAR 1115-01614].

James Warfield

Vice President, Financial Advisor, Portfolio Manager, CFP®

THREE-YEAR WINNER

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I offer comprehensive, objective financial advice to clients who desire a high level of personal service. As a portfolio manager, I utilize customized core/satellite portfolio methodology designed for the growth and preservation of client assets. Five Star Wealth Manager, 2014 – 2016.

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> "Financial planning is a holistic approach to financial well-being."
>
> — *Five Star award winner*

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CFP®, Private Client Advisor

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Financial planning is not just about the numbers. It is also about your dreams and goals. 2014 – 2016 Five Star Wealth Manager award winner.

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I have over 27 years of experience in the financial services industry. I have the expertise to guide you through the ever-changing financial world. I work with my clients to develop individualized financial plans that help them achieve their financial goals.

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- Rutgers Graduate School of Management, MBA in finance, 1988
- Series 7, 63 and 65

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Elias Rauch
Co-Founder and Chief Investment Officer

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Elias Rauch is the co-founding partner and chief investment officer of Gitterman Wealth Management, LLC, an independent SEC-registered investment advisory firm.

Investment Advisory Services offered through Gitterman Wealth Management, LLC, an independent SEC-registered investment advisory firm with its principal place of business in the state of New Jersey. Securities Offered through Triad Advisors Inc. Member FINRA/SIPC. Gitterman Wealth Management, LLC is not affiliated with Triad Advisors Inc.

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Roxann specializes in wealth management, custom portfolio design and retirement planning. She has helped her clients achieve their financial goals by developing a holistic, comprehensive understanding of who they are and the financial forces at work in their lives.

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

Business Planning
Jeffrey Kerman · Wealth Partners Advisors

Estate Planning
Caren Sgarlato · Metlife Premier Client Group of NY

Financial Planning
Karen Caplan Altfest · Altfest Personal Wealth Management

Petar Arizanov · Oppenheimer & Company

Gerald Barbalatt · Parker Allen & Company

Ira Bauman · Morgan Stanley

Jesse Clinton · Snowden Capital Advisors

Anthony Colella · Signature Securities Group

Seth Coren · Morgan Stanley

Karen Craddock · Morgan Stanley

Mark Dorfman · Ameriprise Financial Services, Inc.

Lance Drucker · Hornor, Townsend & Kent

Robert Eigen · Morgan Stanley

Josh Fatoullah · J.R. Wealth Advisors

Susan Feitelberg · Morgan Stanley

James Finley · Morgan Stanley

Carrie Gallaway · Lebenthal & Company

Raymond George III · Morgan Stanley

Michael Gold · Gerstein Fisher *Page 4*

Alexander Gorman · Morgan Stanley

Richard Habib · Park Avenue Securities *Page 2*

Sharon Hayut · Morgan Stanley

Kenneth Hoffman · HSW Advisors/HighTower

Todd Hubley · Ameriprise Financial Services, Inc.

Daniel Joyce · LPL Financial

Paul Kandel · Morgan Stanley

Adam Katzman · Park Avenue Securities

Kerri Kimball · Apogee Wealth Advisors

Gerard Klingman · Klingman & Associates

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

Daniel Kramer · Kramer Financial Group

Adam Lang · Morgan Stanley

Benjamin Leess · Morgan Stanley

Michael Lysenko · Morgan Stanley

Scott Matalon · Ameriprise Financial Services, Inc.

Deborah Montaperto · Morgan Stanley

Richard Nicholas · AXA Advisors

Syed Nishat · Wall Street Alliance Group

Jonathan O'Reilly · Morgan Stanley

Paul Palazzo · Altfest Personal Wealth Management

Helen Paradise · Ameriprise Financial Services, Inc.

Michael Paris · Paris International

Jerome Pasichow · Park Avenue Securities

Ekta Patel · Altfest Personal Wealth Management

Jeremy Paul · RLP Wealth Advisors

Jose Perez Sabate · Morgan Stanley

James L. Polyak · Morgan Stanley

William Michael Prendergast · Altfest Personal Wealth Management

Edward Reilly · Ameriprise Financial Services, Inc. *Page 4*

Carol Richards · Morgan Stanley *Page 2*

Anthony Rinella · Morgan Stanley

Roxann Romano · Morgan Stanley *Page 4*

Karen Roth · Apogee Wealth Advisors

Noah Sanders · American Portfolios Financial Services *Page 3*

Daniel Sherman · Morgan Stanley

Eric Showers · Morgan Stanley

Bruce Silver · Ladenburg Thalmann & Company *Page 4*

Elliot Silverstein · AXA Advisors

Eduard Simkhayev · Morgan Stanley

Harvey Spira · Hyperion Wealth Advisors

Sara Stanich · Raymond James Financial Services

Mitchell Stein · Morgan Stanley

Richard Philip Steinberg · HSW Advisors/HighTower

Tallie Taylor · Morgan Stanley

Christopher Toregas · Morgan Stanley

Austin Warrin · Morgan Stanley

Jordan Waxman · HSW Advisors/ HighTower

Michael Weston · Ameriprise Financial Services, Inc.

Chenwei Yang · Ameriprise Financial Services, Inc.

Aadil Zaman · Wall Street Alliance Group

Investments

Stephen Adler · Wells Fargo Advisors, LLC *Page 2*

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Victoria Balsamo · Wells Fargo Advisors, LLC

Paul Benziger · 1919 Investment Counsel

David Beyer · Morgan Stanley

David Bieber · Morgan Stanley

Scott Blair · Morgan Stanley

Mark Blinderman · Walnut Investment Services

Michael Brown · Dynasty Private Wealth Management

Jeremy Burch · Morgan Stanley

Jay Canell · Morgan Stanley

Neil Canell · Morgan Stanley

Roy Ceder-Franco · Morgan Stanley

Solomon Chemo · Wells Fargo Financial Network, LLC

Edward Condura · Condura Capital Advisors

Christopher Daifotis · Morgan Stanley

Michael David · Deutsche Bank

Claudio Duboy · Morgan Stanley

Jesse Eaton · Wells Fargo Advisors, LLC

Eve Ellis · Morgan Stanley

Stacy Francis · Francis Financial

Richard Frangipane · Morgan Stanley

Alexandra Fuhrmann · Atlantic Trust Group

Corie Gabriel · Unified Financial Securities

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Shane Hall · Wells Fargo Advisors, LLC

Georgia Hanford · Wells Fargo Advisors, LLC

Raymond Hayes · Wells Fargo Advisors, LLC

Eric Hernandez · Morgan Stanley

Stanley Hochhauser · Janney Montgomery Scott

Roger Jee · Wells Fargo Advisors, LLC *Page 2*

Matthew Karpas · Karpas Strategies

Michael Kowal · Morgan Stanley

Morris Krimolovsky · Wells Fargo Advisors, LLC

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Mark Levy · Wells Fargo Advisors, LLC *Page 2*

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Terence Markey · Morgan Stanley

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Christopher McKeefrey · Morgan Stanley

Alina Montes · Morgan Stanley

Eugene Pak · Richmond Asset Management

Mihir Patel · Morgan Stanley

Robert Paventi · Santander Securities

Sam Polk · Morgan Stanley

George Prezioso · Janney Montgomery Scott

Barbara Raasch · RCL Advisors

Elias Rauch · Gitterman Wealth Management *Page 4*

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Ricardo Rivers · Wells Fargo Advisors, LLC

Katie Rouff-Ward · Wells Fargo Advisors, LLC

Bradley Rubin · Morgan Stanley

Robert Schnell · Morgan Stanley

David Schulman · Wells Fargo Advisors, LLC

Gregory Serbe · Lebenthal Asset Management

Stephen Seremetis · Oppenheimer & Company

Christopher Seshadri · Morgan Stanley

David Sherman · Morgan Stanley

Florina Shutin · Wells Fargo Advisors, LLC

Michael Siden · Morgan Stanley

Daniel Stahlie · Oppenheimer & Company

Macie Stratton · Morgan Stanley *Page 3*

Kristopher Tedeschi · Wells Fargo Advisors, LLC

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Christy Turner · Wells Fargo Advisors, LLC

Robert Vessecchia · Signature Securities

James Warfield · Morgan Stanley *Page 3*

Michael Wein · Morgan Stanley

Cory Weiser · MetLife

Ed Wentzheimer · Morgan Stanley

Stephen Wieland · Janney Montgomery Scott

Susan Wiener · Wells Fargo Advisors, LLC *Page 3*

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Steven Wood · GreenWood Investors

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