

The List

Top Wealth Management Firms and Practices (Investment minimums of less than \$1 million) Ranked by Assets Per Local Client

Locally Researched by: Laura Furr, Houston Business Journal

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Staff *Houston Business Journal*

Information for The List was obtained from questionnaires completed by firm/practice representatives, SEC filings and HBJ research. Not all information could be independently verified by the Houston Business Journal.

Rank	Practice Name	Assets Per Local Client	Associated Company	AUM for Houston Clients	Local Clients	Investment Minimum	Top Local Executive(s)
1	The Lorch Group 909 Fannin #1200 Houston, TX 77010 713-853-2222 www.TheLorchGroup.com	17368421	Wells Fargo Advisors	16500000000	95	500000	Howard Lorch, managing director, investments, howard.lorch@wfidvisors.com; Trish Bonnot, first VP, investments, trish.bonnot@wellsfargoadvisors.com
3	Holstead Gordon Leonard & Associates 1221 McKinney St. #3900 Houston, TX 77010 713-658-1324 wealthmanagement.ml.com	15254237	Merrill Lynch	18000000000	118	0.0	T. Scott Holstead, SVP/wealth management, scott_holstead@ml.com; William Rovere, SVP/wealth management , b_rovere@ml.com
5	Core Capital Management & Research Inc. 4801 Woodway #145W Houston, TX 77056 713.864.4300 ccmrusa.com	4305556	Independent firm	1550000000	36	0.0	Louis Pelz, owner/founder, l.pelz@comcast.net
6	PartnersInWealth 3400 Bissonnet #145 Houston, TX 77005 713-964-4028 partnersinwealth.com	3904825	Independent firm	370958395	95	0.0	James Waters, president, jrw@partnersinwealth.com
8	Salient Partners LP 4265 San Felipe St. 8th Fl. Houston, TX 77027 713-993-4675 salientpartners.com	16000000	Salient Partners LP	40000000000	250	0.0	Andrew Linbeck, managing director/co-founder, alinbeck@salientpartners.com
8	The Reichel Gladstein Group 1221 McKinney St. #3900 Houston, TX 77010 713-658-1649 fa.ml.com/reichel_gladstein_group	2500000	Merrill Lynch	15000000000	600	500000	Mark Gladstein, wealth management managing director, mark_gladstein@ml.com; Mark Reichel, wealth management managing director, mark_reichel@ml.com
10	FCA Corp 791 Town and Country Blvd. #250 Houston, TX 77024 713-787-2856 fcacorp.com	2080532	Independent firm	97785000	47	100000	Wesley Yuhnke, CIO; Robert Scharar, president

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11	Willis Johnson & Associates 5847 San Felipe #1500 Houston, TX 77057 713-439-1200 wjohansonassociates.com	2073410	Independent firm	358700000	173	750000	Willis Johnson, president/CEO
12	The Fox Group 1221 McKinney #3900 Houston, TX 77010 713-658-1275 fa.ml.com/fox_group	2019231	Merrill Lynch	525000000	260	500000	J. Michael Fox, SVP, wealth management, jmichael_fox@ml.com
13	Tiras Wealth Management 11 Greenway Plz. #3000 Houston, TX 77046 713-332-4400 tiraswealth.com	3178278	Ameriprise Financial Services Inc.	1748052795	550	500000	Scott Tiras, president, scott.b.tiras@ampf.com; Crystal Garrett, SVP, crystal.l.garrett@ampf.com
13	Stavis & Cohen Financial LLC 1330 Post Oak Blvd. #2190 Houston, TX 77056 713-275-7750 stavisandcohen.com	2000000	Independent firm	450000000	225	0.0	Deborah Stavis, founder/CEO, dstavis@stavisandcohen.com; Eddie Cohen, founder/chief investment officer, ecohen@stavisandcohen.com
14	Ruszkowski-Fisher Group 17225 El Camino Real #200 Houston, TX 77058 281-212-9132 fa.ml.com/the_rf_group	1944000	Merrill Lynch	350000000	180	500000	Kevin Ruszkowski, SVP wealth management, kevin_ruszkowski@ml.com
15	Westwood Trust 10000 Memorial Dr. #650 Houston, TX 77024 713-683-7070 westwoodgroup.com	2461538	Westwood Trust	1600000000	650	500000	Maureen Phillips, president
15	Carlton Hofferkamp & Jenks Wealth Management 10200 Grogan's Mill Rd. #340 The Woodlands, TX 77380 281-298-2700 chjwealthmanagement.com	1562394	Independent firm	289043000	185	500000	Jim Carlton, managing director, jim@chjwealthmanagement.com
16	Chilton Capital Management LLC 1177 W. Loop S. #1310 Houston, TX 77027 713-650-1995 chiltoncapital.com	1483612	Independent firm	492559152	332	250000	David Underwood, president/chief compliance officer, dunderwood@chiltoncapital.com; Mike Rome, CEO, mrome@chiltoncapital.com; Chris St.Paul, CCO, cstpaul@chiltoncapital.com
17	FOCUS Wealth Advisors LLC 4900 Woodway Dr. #675 Houston, TX 77056 713-800-7170 focus-wa.com	1350000	Independent firm	135000000	100	0.0	Charles Hubert; Mark Frugoni, co- founder/principals, info@focus- wa.com
19	Pennington Wealth Management 11 Greenway Plaza #3000 Houston, TX 77046 713-332-4422 penningtonwealth.com	613000	Ameriprise Financial Services Inc.	879799000	1435	500000	Darrell Pennington, managing partner, darrell.r.pennington@ampf.com

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20	Legacy Asset Management Inc. 3411 Richmond Ave. #750 Houston, TX 77046 713-355-7171 legacyasset.com	1025000	Independent firm	410000000	400	250000	Richard Kaplan, CIO, principal; Joseph Birkofer, principal, jbirkofer@legacyasset.com
21	Sequent Asset Management LLC 952 Echo Lane Suite #115 Houston, TX 77024 713-467-0008 sequentasset.com	14638944	Independent firm	263501000	18	0.0	David Doll, founder/CEO, ddoll@sequentasset.com; Tim Hartzell, founder/chief investment officer, thartzell@sequentasset.com
21	The Shakiba Group 711 W. Bay Area Blvd. Webster, TX 77598 281-724-9917 www.theshakibagroup.com	873016	Ameriprise Financial Services Inc.	275000000	315	0.0	Trevor Shakiba, private wealth advisor, trevor.m.shakiba@ampf.com
22	Michael R. Misner 24 Waterway Ave. #1400 The Woodlands, TX 77380 281-719-3219 ameripriseadvisors.com/michael.r.misner	625000	Ameriprise Financial Services Inc.	55000000	88	0.0	Michael Misner, financial advisor, michael.r.misner@ampf.com
23	The Financial Advisory Group Inc. 5599 San Felipe St. #900 Houston, TX 77056 713-627-7660 finadvisors.com	1250000	Independent Firm	500000000	400	0.0	Steve Estrin, chairman, sestrin@finadvisors.com; Rick Alphonso, CEO
24	Branson, Fowlkes & Company Inc. 3300 Chimney Rock Rd. #100-B Houston, TX 77056 713-780-0606 bransonfowlkes.com	1333333	Independent firm	200000000	150	250000	Jay Branson, co-founder/CEO, jbranson@bransonfowlkes.com; Maco Fowlkes, co-founder, mfowlkes@bransonfowlkes.com
24	Texas Ventures 5090 Richmond Ave. #319 Houston, TX 77056 713-599-1300 texasventures.com	600000	Texas Ventures	90000000	150	100000	Scott Crist, managing partner
25	OakStreet Capital Management Advisors 1428 W. Alabama St. Houston, TX 77006 713-521-0300 www.oakstreetcapital.com	518474	Ameriprise Financial Services Inc.	259237000	500	250000	George "Joe" Kurka, partner , george.j.kurka@ampf.com; Jeffrey Vanover, managing director, jeffrey.n.vanover@ampf.com