

THE DIRECTORY

RIAs

Company •Address	Company logo	-Assets under management as of December 2017 -Assets under management as of December 2014 •3-year average annual growth	OC registered representatives •yearly % change	OC employees •yearly % change	-OC offices -Companywide offices	Services offered in OC						Parent company •Headquarters	Top local official(s) •Title •Phone/fax
						Stock brokering	Annuities	Money management	Insurance	Investment banking	Underwriting		
Apriem Advisors 19200 Von Karman Ave., Ste. 1050 Irvine 92612-8553 Website: apriem.com Email: rhonda@apriem.com		\$499.7 million \$424.3 million 5.9%	7 0%	13 0%	1 3	N	N	Y	N	N	N	Apriem Inc. Irvine	Harmon Kong chief wealth manager/founding principal (949) 253-8888
Aspiriant LLC 114 Pacifica, Ste. 340 Irvine 92618-3329 Website: aspiriant.com Email: cdoder@aspiriant.com		\$12.2 billion \$8.1 billion 16.9%	6 50%	7 40%	1 10	N	N	Y	N	N	N	Aspiriant LLC Los Angeles	Clay Stevens/Kelly Cruz/Ryan P. Benson/Dawn Baca director of strategic planning, principal/director in strategic planning, principal/manager in wealth management/associate attorney in strategic planning (949) 627-4566
Beacon Pointe Advisors 24 Corporate Plaza Drive, Ste. 150 Newport Beach 92660-7965 Website: beaconpointe.com Email: info@beaconpointe.com		\$5.6 billion \$7.4 billion -8.1%	34 ⁽¹⁾ -3%	62 9%	2 12	N	N	Y	Y	N	N	Beacon Pointe Advisors Newport Beach	Shannon Eusey/Matthew Cooper founder, CEO/partner, president, Beacon Pointe Wealth Advisors (949) 718-1600/(949) 718-0601
Buckingham Strategic Wealth 3 Park Plaza, Ste. 420 Irvine 92614-8535 Website: buckinghamadvisor.com Email: info@bamadvisor.com		\$12.3 billion \$6.6 billion 28.4%	0	4 33%	1 23	N	N	Y	N	N	N	Focus Financial Partners LLC St. Louis	Thomas Bodin practice integration advisor/ advisory team leader (800) 711-2027
Canterbury Consulting Inc. 610 Newport Center Drive, Ste. 500 Newport Beach 92660-6441 Website: canterburyconsulting.com Email: info@canterburyconsulting.com		\$18.6 billion \$13.1 billion 13.9%	20 11%	56 4%	1 2	N	N	N	N	N	N	Canterbury Consulting Inc. Newport Beach	D. Robinson Cluck/Michael S. Laven/Debashis Chowdhury/Mike Ethridge chairman/CEO/president/COO (949) 721-9580/(949) 721-9973
Charles Fish Investments Inc. 2010 Main St., Ste. 320 Irvine 92614-7207 Website: charlesfishinvestments.com Email: info@charlesfishinvestments.com		\$358.6 million \$547.8 million -11.5%	NA	NA	1 1	-	-	Y	-	-	-	Charles Fish Investments Inc. Irvine	Charles W. Fish/Betsy C. Shelton/ Annie Tran/Sharmistha Chakraborty CEO, CIO, founder/director of research, senior portfolio manager/ portfolio manager/COO (949) 296-3970
Check Capital Management Inc. 575 Anton Blvd., Ste. 500 Costa Mesa 92626-1925 Website: checkcapital.com Email: info@checkcapital.com		\$1.5 billion \$796.9 million 30.4%	0	13 0%	1 1	N	N	Y	N	N	N	Check Capital Management Inc. Costa Mesa	Steven Check/Chris Ballard president/managing director (714) 641-3579/(714) 641-8128
Creative Planning Inc. 2030 Main St. Irvine 92614-7219 Website: creativeplanning.com Email: cpi@creativeplanning.com		\$30 billion \$13.2 billion 42.5%	7 133%	6 100%	1 22	N	N	Y	N	N	N	Creative Planning Inc. Leawood, Kan.	Andrew H. Fuller managing director (949) 344-9751
Eclectic Associates 1021 W. Bastanchury Road, Ste. 120 Fullerton 92833-2248 Website: eclecticassociates.com Email: info@eclecticassociates.com		\$723 million \$565.5 million 9.3%	8 0%	14 -7%	1 1	Y	Y	Y	Y	Y	N	Eclectic Associates Fullerton	David K. Little/Carl Lachman/Scott Rojas/Russell W. Hall president, co-owner/VP, co-owner/ VP, co-owner/financial advisor, co-owner (714) 738-0220/(714) 738-0483
Edelman Financial Services LLC 600 Anton Blvd., Ste. 1750 Costa Mesa 92626-7144 Website: edelmanfinancial.com		\$17.8 billion \$13.1 billion 12.1%	NA	NA	1 5	-	-	Y	Y	Y	-	Edelman Financial Services LLC Fairfax, Va.	Kevin Jaksch regional director (888) 752-6742
Halbert Hargrove PO Box 1070 Long Beach 90801-1070 Website: halberthargrove.com Email: kkiemle@hhga.com		\$2.5 billion NA NA	17 0%	17 0%	1 8	N	N	Y	N	N	N	Halbert Hargrove Long Beach	Russ Hill/JC Abusaid/Brian Spinelli chairman, CEO/president, COO/ senior wealth advisor (562) 435-5657
Hollencrest Capital Management 100 Bayview Circle, Ste. 500 Newport Beach 92660-8903 Website: hollencrest.com Email: clientcommunication@hollencrest.com		\$957.1 million \$1.1 billion -5.4%	NA	NA	1 1	-	-	Y	-	-	-	Hollencrest Capital Management Newport Beach	Grep P. Pallizzon managing director/CIO/senior portfolio manager (949) 737-7700/(949) 737-7703
Index Fund Advisors Inc. 19200 Von Karman Ave., Ste. 150 Irvine 92612-8502 Website: ifa.com Email: info@ifa.com		\$3.8 billion \$2.7 billion 14.6%	14 8%	44 7%	1 3	N	N	Y	N	N	N	Index Fund Advisors Inc. Irvine	Mark T. Hebner founder/president (949) 502-0050/(949) 502-0048
J. Derek Lewis & Associates Inc. 1001 Dove St., Ste. 155 Newport Beach 92660-2861 Website: jdla-advisers.com Email: info@jdla-advisers.com		\$569.1 million \$483.3 million 5.9%	9 13%	11 0%	1 1	Y	N	Y	Y	N	N	J. Derek Lewis & Associates Inc. Newport Beach	J. Derek Lewis/Rob Knutsen/Kelly Dunagan Jr./Doug Hyepock president/CEO, investment adviser/ investment adviser/investment adviser (949) 752-9096
Jackson Financial Management 151 Kalmus Drive, Ste. H-7 Costa Mesa 92626-5971 Website: jfmcorp.com Email: inquiries@jfmcorp.com		\$421.2 million \$352.5 million 6.5%	NA	NA	1 1	-	-	Y	Y	-	-	Jackson Financial Management Costa Mesa	Tracy O. Jackson president/principal (714) 434-6900
Leisure Capital Management Inc. 650 Town Center Drive, Ste. 670 Costa Mesa 92626-7018 Website: leisurecapital.net		\$337.1 million \$283.2 million 6.3%	NA	NA	1 1	-	-	Y	-	Y	-	Leisure Capital Management Inc. Costa Mesa	Marr Leisure president (714) 384-4050 /(714) 384-4051
Mercer Global Advisors Inc. 660 Newport Center Drive, Ste. 1250 Newport Beach 92660-6452 Website: merceradvisors.com		\$9.6 billion \$5.8 billion 22%	NA	NA	1 26	-	-	Y	Y	-	-	Mercer Advisors Inc. Santa Barbara	Kevin Jack branch manager/client advisor (800) 394-3894

Sources: SEC filings and the RIAs
Abbreviations: NA: not applicable; Y: yes; N: no
Note: To the best of our knowledge, this information is accurate as of press time. While every effort is made to ensure the accuracy and thoroughness of the list, omissions and typographical errors sometimes occur. Unless otherwise noted, the information on this list was provided by the companies themselves. List may not be reprinted without permission of the editor.

⁽¹⁾ Figure includes Investment Advisor Representatives (IARs) combined between Beacon Pointe Advisors and Beacon Pointe Wealth Advisors

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						Stock brokering	Annuities	Money management	Insurance	Investment banking	Underwriting		
Miramontes Capital 620 Newport Center Drive, Ste. 650 Newport Beach 92660-8047 Website: miramontescapital.com Email: sid.miramontes@miramontescapital.com		\$255 million \$130 million 32.1%	4 100%	14 40%	1 1		Y	Y	Y	Y	N	N	Miramontes Capital Newport Beach Sid Miramontes president (800) 460-1595
Palo Capital Inc. 888 San Clemente Drive, Ste. 150 Newport Beach 92660-6366 Website: palocapital.com Email: kbarlow@palocapital.com		\$319.5 million \$167.9 million 30.1%	4 0%	6 0%	1 1		N	N	Y	N	N	N	Palo Capital Inc. Newport Beach Kevin O'Grady/Kevin Barlow/Nella Webster O'Grady/Puneet Sahi president, co-chief investment officer/managing director/principal/co-chief investment officer (949) 715-2126/(877) 722-2383
Pence Wealth Management 5000 Birch St., Ste. 8000 Newport Beach 92660-2158 Website: pencewealthmanagement.com Email: jessica.hansen@lpl.com		\$1.5 billion \$1.3 billion 5%	15 15%	28 0%	1 3		Y	Y	Y	Y	N	N	LPL Financial Newport Beach Laila Marshall-Pence/Dryden Pence III president/chief investment officer (949) 660-8777/(949) 660-8778
Private Management Group Inc. 15635 Alton Parkway, Ste. 400 Irvine 92618-7334 Website: privatemanagementgroup.com Email: pmg@pmgadvisory.com		\$2.5 billion \$2.2 billion 3.8%	NA	NA	1 1	Y	-	Y	-	-	-	-	Private Management Group Inc. Irvine Dennis Reiland founder/portfolio manager (949) 752-7500/(949) 752-2299
Pure Financial Advisors Inc. 2010 Main St., Ste. 920 Irvine 92614-8283 Website: purefinancial.com Email: info@purefinancial.com		\$2 billion \$1.1 billion 25.8%	5 25%	6 20%	2 4		N	N	Y	N	N	N	Pure Financial Advisors Inc. San Diego Mike Pash managing director (949) 777-4130
Reilly Financial Advisors 4675 MacArthur Court, Ste. 545 Newport Beach 92660-8813 Website: rfadvisors.com Email: info@rfawealth.com		\$1.2 billion \$679.1 million 23.4%	NA	NA	1 4	Y	-	Y	-	-	-	-	Reilly Financial Advisors La Mesa Natalie Young VP, wealth management (800) 682-3237
RS Crum Inc. 4 Upper Newport Plaza, Ste. 201 Newport Beach 92660-2679 Website: rscrum.com Email: info@rscrum.com		\$451.1 million \$349 million 9.8%	6 0%	8 0%	1 1		N	N	Y	N	N	N	RS Crum Inc. Newport Beach Mark Rylance president (949) 428-9696/(949) 428-9680
Signature Estate & Investment Advisors LLC 610 Newport Center Drive, Ste. 300 Newport Beach 92660-6434 Website: seia.com		\$1.3 billion \$620 million 33.9%	5 25%	17 6%	1 6		N	Y	Y	Y	N	N	Signature Estate & Investment Advisors LLC Los Angeles Mark Copeland founding partner (310) 712-2323/(310) 712-2345
Spinnaker Investment Group 4041 MacArthur Blvd., Ste. 475 Newport Beach 92660-2524 Website: spinninvest.com Email: morgan@spinninvest.com		\$246.5 million NA NA	4 0%	3 0%	1 1	Y	N	Y	Y	N	N		Spinnaker Investment Group Newport Beach Morgan R. Christen/Joseph Stapleton CEO, CIO/president (949) 396-6702
Tarbox Family Office 500 Newport Center Drive, Ste. 500 Newport Beach 92660-7005 Website: tarboxgroup.com		\$601.8 million \$405.2 million 16.2%	0 0%	7 -13%	1 1	N	N	Y	N	N	N		The Tarbox Group Inc. Newport Beach Laura Tarbox founder/CEO (949) 721-2330/(949) 721-0734
Tellone Management Group Inc. 6200 E. Canyon Rim Road, Ste. 201 Anaheim Hills 92807-4315 Website: tellone.com Email: info@tellone.com		\$338.9 million \$305.2 million 3.7%	NA	NA	1 1	-	-	Y	Y	-	-		Tellone Management Group Inc. Anaheim Hills Dean Tellone founder/president (714) 998-2290/(714) 998-5613
The Bahnsen Group 520 Newport Center Drive, Ste. 550 Newport Beach 92660-7020 Website: thebahnsengroup.com Email: dbahnsen@hightoweradvisors.com		\$1.3 billion \$575 million 42%	6 0%	16 23%	1 2		N	N	Y	Y	N	N	NA David L. Bahnsen managing partner (949) 877-5010
Towneley Capital Management Inc. 23197 La Cadena Drive, Ste. 103 Laguna Hills 92653-1484 Website: towneley.com Email: info@towneley.com		\$612.3 million \$585.8 million 1.5%	NA	NA	1 1	Y	-	Y	-	-	-		Towneley Capital Management Inc. Laguna Hills Wesley McCain founder/chairman/board member (949) 837-3580/(949) 837-3604
Triad Investment Management LLC 1301 Dove St., Ste. 1080 Newport Beach 92660-1430 Website: triadim.com Email: contact@triadim.com		\$120.2 million \$133.1 million -3.2%	2 0%	3 0%	1 1		N	N	Y	N	N	N	Triad Investment Management LLC Newport Beach John Heldman/Dave Hutchison partners (949) 679-3991/(949) 851-7912
Trilogy Capital Inc. 17011 Beach Blvd., Ste. 800 Huntington Beach 92647-5995 Website: trilogyfs.com Email: info@trilogyfs.com		\$658.2 million NA NA	20 -23%	24 -20%	2 10		N	Y	Y	Y	N	N	Trilogy Financial Huntington Beach Jeff Motske/Nick Richtsmeler CEO, president, Trilogy Capital/COO, Trilogy Capital (800) 356-4934/(303) 872-6598
United Capital Financial Advisers LLC 620 Newport Center Drive, Ste. 500 Newport Beach 92660-8029 Website: unitedcp.com Email: sarah.crane@unitedcp.com		\$21.5 billion \$9.6 billion 41.7%	10 11%	52 16%	1 1		N	Y	Y	Y	N	N	United Capital Financial Advisers LLC Newport Beach Joe Duran CEO (949) 999-8500/(949) 999-8545

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thoroughness of the list, omissions and typographical errors sometimes occur. Unless otherwise noted, the information on this list was provided by the companies themselves. List may not be reprinted without permission of the editor.