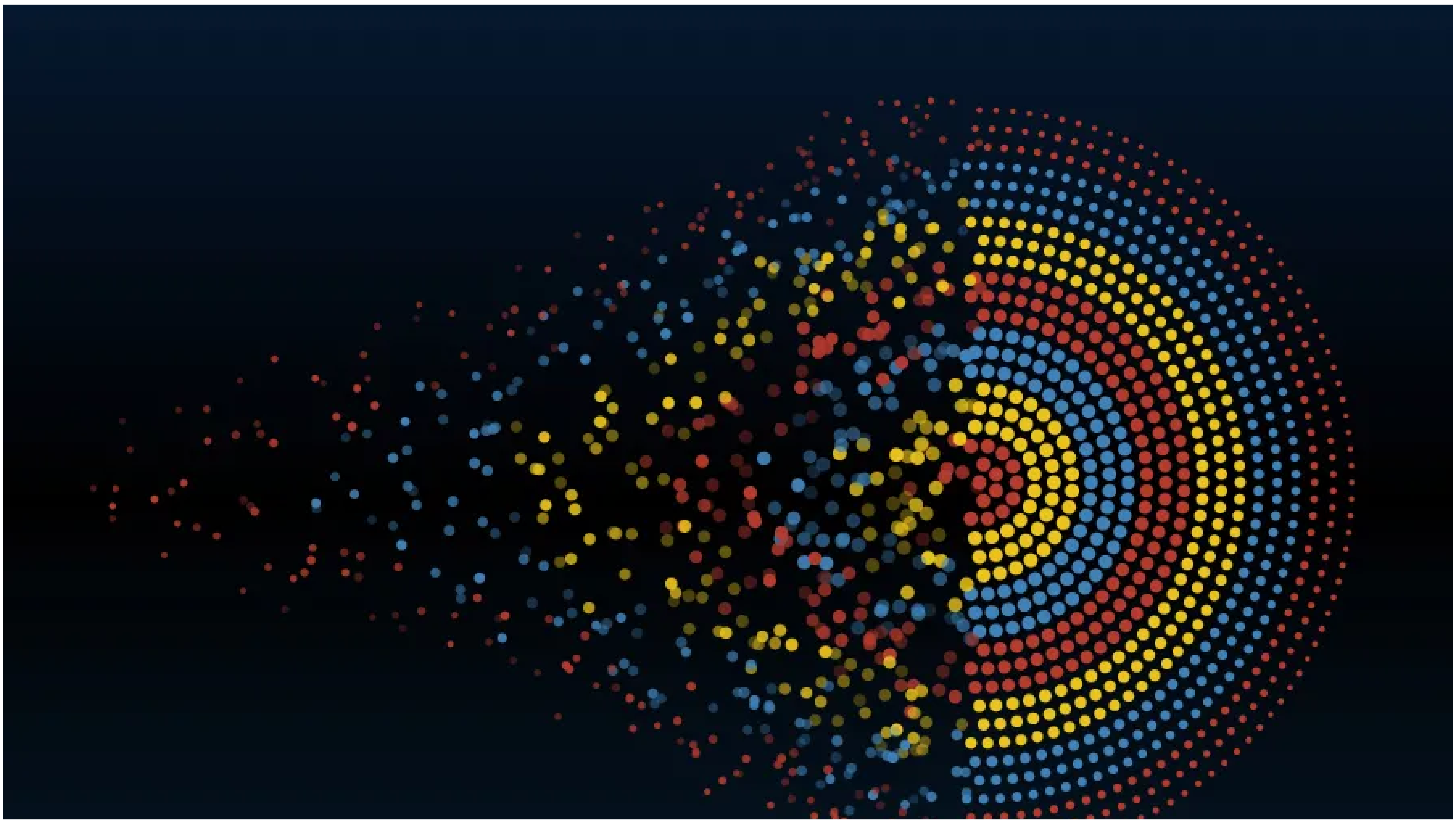
# 10 largest RIA aggregators focused on defined-contribution plans



We break down the data by firm, assets and advisers.

May 18, 2019 By Greg Iacurci



## 10 largest RIA aggregators focused on defined-contribution plans

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| Firm | Total D-C assets overseen by network advisers ($B) | Number of D-C advisers* | Primary contact | Business model |
|---|---|---|---|---|
| Captrust** | $256 | 102 | Rick Shoff<br>Managing director<br><br>Raleigh, N.C.<br><br>(215) 499-3361<br><br>rick.shoff@captrust.com | **Acquisition**<br>RIA: Captrust Financial Advisors<br><br>Broker-dealer: CapFinancial Securities |

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|---|---|---|---|---|
| NFP | $161 | 120 | Nick Della Vedova<br>President, NFP Retirement<br><br>Aliso Viejo, Calif.<br><br>949-460-9898 Ext. 246<br><br>nick.dellavedova@nfp.com | **Acquisition**<br>RIA: NFP Retirement Inc.<br><br>Broker-dealer: Kestra Investment Services<br><br>NFP also has a membership model through Retirement Plan Advisory Group, which provides technology, resources, training, custom investments and turnkey fiduciary services for D-C advisers. RPAG has $400 billion in D-C assets and 3,000 advisers. It is RIA- and broker-dealer-agnostic. |
| SageView Advisory Group | $101*** | 51*** | Randy Long<br>Managing principal<br><br>Irvine, Calif.<br><br>(949) 955-5787<br><br>rlong@sageviewadvisory.com | **Acquisition**<br>RIA: SageView Advisory Group<br><br>BBroker-dealer: Cetera Advisor Networks |
| GRP Financial | $72 | 286 | Carlsbad, Calif.<br><br>(949)-359-0031<br><br>geoff.white@grpfinancial.com<br><br>Jim Owen<br><br>Managing partner, GRP Advisor Alliance<br><br>Carlsbad, Calif.<br><br>(949) 359-0035<br><br>jimmy.owen@grpaa.com | **Affiliation**<br>RIA: Global Retirement Partners<br><br>Broker-dealer: LPL Financial<br><br>GRP Financial also has a membership model through GRP Advisor Alliance, an invitation-only service providing tools, resources, conferences and best-practice consulting for D-C advisers. GRP Advisor Alliance has $235 billion in D-C assets and 530 advisers. It is RIA- and broker-dealer-agnostic. |
| Arthur J. Gallagher & Co. | $62 | 63 | Dean Clune<br>National practice leader, retirement plan consulting<br><br>Rolling Meadows, Ill.<br><br>(312) 803-6376<br><br>dean_clune@ajg.com<br><br>Michael Johnson<br><br>National practice leader, investment and fiduciary consulting<br><br>Washington, D.C.<br><br>(202) 898-2270<br><br>michael_w_johnson@ajg.com | **Acquisition**<br>Gallagher has two retirement plan groups:<br>1) Gallagher Benefit Services Inc., which has $42 billion and 42 advisers<br><br>RIA: Kestra Advisory Services<br><br>Broker-dealer: Kestra Investment Services<br><br>2) Gallagher Fiduciary Advisors, which has $20 billion and 21 advisers<br><br>RIA: Gallagher Fiduciary Advisors |
| Lockton Retirement Services | $60 | 31 | Pam Popp<br>President<br><br>Kansas City, Mo.<br><br>(816) 960-9603<br><br>ppopp@lockton.com | **Acquisition**<br>RIA: Lockton Investment Advisors<br><br>Broker-dealer: Lockton Financial Advisors |
| Pensionmark Financial Group** | $41*** | 119 | Troy Hammond<br>President and CEO<br><br>Santa Barbara, Calif.<br><br>(805) 456-6262<br><br>troy.hammond@pensionmark.com | **Affiliation is the firm's primary model.**<br>Pensionmark also provides an acquisition strategy for affiliated advisers.<br><br>RIA: Pensionmark Financial Group<br><br>Broker-dealer: Pensionmark Securities |

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|---|---|---|---|---|
| Resources Investment Advisors | $34 | 120 | Vincent Morris<br>President<br><br>Overland Park, Kan.<br><br>(913) 647-3968<br><br>vmorris@riaadvisor.com | **Affiliation**<br>RIA: Resources Investment Advisors Inc.<br><br>Broker-dealer: Triad Advisors Inc. |
| Marsh & McLennan Agency | $32 | 42 | Christopher Grady<br>SVP, corporate development<br><br>White Plains, N.Y.<br><br>(914) 397-1630<br><br>christopher.grady@marshmma.com | **Acquisition**<br>RIA: MMA Securities<br><br>Broker-dealer: MMA Securities |
| Hub Retirement Services | $23 | 40 | David Reich<br>President<br><br>San Diego, Calif.<br><br>(858) 373-6939<br><br>david.reich@hubinternational.com | **Acquisition**<br>RIA- and broker-dealer-agnostic. Hub also has its own RIA, Hub International Investment Advisory Services. |

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Notes: Figures provided by companies; data as of March 31, 2019, unless otherwise noted. *Figures represent the number of producing advisers. **Captrust is part owner of Pensionmark. ***Data as of year-end 2018.



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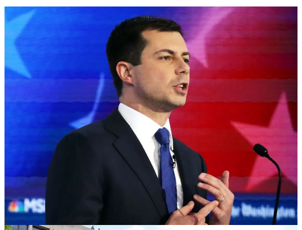


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