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WHO'S WHO IN PRIVATE BANKING

Who’s Who in PrivateBanking & Wealth Management

Monday, May 12, 2008

BY WILLIAM JASON, STAFF REPORTER

The firms on this list employ many different business models, and their executives have backgrounds ranging from banking to securities to accounting to insurance. Their requirements for minimum investable assets range from $100,000 to more than $3 million. What they share in common is that all provide specialized financial services to high-net-worth clients. They are listed alphabetically.

Eric Aanes

Titus Wealth Management, 700 Larkspur Landing Circle Ste. 109, Larkspur 94939, 415-461-4800, www.tituswealth.com

Eric Aanes is the president of Titus Wealth Management, which was formed this year through a merger between Tanner Financial Group and Willis Financial Planning Services. Prior to joining the company, Mr. Aanes managed a territory with $1 billion in assets for Nationwide Financial Services. Mr. Aanes is a regular commentator for CNBC. He has a bachelor’s degree from the University of Nevada Las Vegas. Prior to starting his career in financial services, he was a professional tennis player.

Rick Clarke

ZRC Financial Services LLC, 3510 Unocal Place, Santa Rosa 95403, 707-525-1163, www.zrcfinancial.com

In 1979 Rick Clarke co-founded the CPA firm Zainer Rinehart Clarke, and in 1999 he started wealth management affiliate ZRC Financial Services, which he runs as director of investment services.

Mr. Clarke started his career as an accountant for Arthur Andersen & Company in 1970, where he worked for five years before starting an independent practice. He has a bachelor’s degree in economics from Amherst College and an MBA from the Wharton School of Finance at the University of Pennsylvania.

Joseph Delaney

Equius Partners, 4 Hamilton Landing Ste. 205, Novato 94949, 415-382-2500, www.equiuspartners.com

As the principal of Equius Partners, Joseph Delaney is involved with the company’s portfolio management, relationship management and business development. He joined the company in 2003 after holding a senior management position with Property Capital. Mr. Delaney began his career as a CPA with KPMG, working in both the audit and tax departments. He later held management positions with Prudential Real Estate Investors and Lend Lease Real Estate Investments.

Mr. Delaney has a bachelor’s degree in economics from Stanford University and an MBA in finance from the UCLA Anderson School of

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University and an MBA in finance from the UCLA Anderson School of Management. He is the brother of Timothy Delaney, who runs JDH Wealth Management in Santa Rosa.

Timothy Delaney

JDH Wealth Management LLC, 187 Concourse Blvd., Santa Rosa 95403, 707-542-1110, www.jdhwealth.com

Timothy Delaney oversees the wealth management practice at JDH Wealth Management LLC, which he helped found in 2000 as an affiliate of the CPA firm Linkenheimer LLP, where he is a partner. Mr. Delaney continues to head the audit and accounting practice for Linkenheimer, which he joined in 1980 after working for KPMG in Orange County. He received a bachelor’s degree in data processing management from Arizona University in 1976 and an MBA from the same institution a year later. He is the brother of Joseph Delaney, a principal of Equius Partners in Novato.

James Demmert

Main St. Research LLC, 670 Bridgeway, Sausalito 94965, 800-357-3863, www.ms-research.com

James Demmert has been the managing partner for Main St. Investment Research since he founded the company in 1993, and he serves as the firm’s lead investment manager. Prior to founding Main St., he held research and sales positions at the investment banking firms Rothschild and Lehman Brothers, and later served as a partner with the Belvedere Group, a money management firm. Mr. Demmert has a bachelor’s degree from Harvard University.

Chris Dobson

Dobson Asset Management, 7 Fourth St. Ste. 25, Petaluma 94952, 707-766-9254

Chris Dobson is managing principal of Dobson Asset Management, a company he founded in 1994. He previously spent 12 years with American Express Financial Advisors, now Ameriprise Financial, and opened a Santa Rosa office for that company in 1984. Mr. Dobson has a bachelor’s degree in natural resource economics from Montana State University and a financial planning certificate from the College of Financial Planning. He is currently treasurer of the Community Foundation Sonoma County and chairs the foundation’s investment committee. He is director and the current vice president of investments for the Petaluma Educational Foundation.

Bruce Dzieza

Willow Creek Financial Services Inc., 825 Gravenstein Highway N. Ste. 5, Sebastopol 95472, 707-829-1146, www.wcfsinc.com

Bruce Dzieza is the president of Willow Creek Financial Services, a firm that he founded in 1984. Mr. Dzieza has a bachelor’s degree in liberal arts from Sonoma State University and a certificate in financial planning from the College of Financial Planning. Prior to starting Willow Creek, he ran a clothing design company and later spent 20 years as a real estate broker. Mr. Dzieza is a member of the investment committee for the Community Foundation Sonoma County.

Joyce Franklin

JLFranklin Wealth Planning, 900 Larkspur Landing Circle Ste. 185, Larkspur 94939, 415-925-3400, www.jlfwealth.com

Joyce Fanklin, a CPA, has headed JLFranklin Wealth Planning since

Joyce Fanklin, a CPA, has headed JLFranklin Wealth Planning since 1998. She specializes in tax planning, stock-option planning and investment planning. Prior to entering the wealth management industry, she spent more than 20 years as an accountant and worked for companies including Deloitte and Ernst & Young. She has a graduate certificate in personal financial planning from the University of California, a master’s degree in taxation from San Francisco State University and a bachelor’s degree in commerce from the University of Virginia.

Greg Friedman

Friedman & Associates, 1744 Novato Blvd. Ste. 200, Novato 94947, 415-493-5900, www.friedmanassociates.com

Greg Friedman is the president of Friedman & Associates, a wealth management firm that he founded 20 years ago. The company created its own client management software, Junxure, for which it was recognized this year with a Best-in-Tech Award from Charles Schwab & Company. Mr. Friedman has a master’s degree in financial planning with an emphasis on taxation from Golden Gate University and a bachelor’s degree in economics from U.C. San Diego.

Michael Gorman

Wiiken & Gorman, 775 Baywood Drive Ste. 306, Petaluma 94954, 707-769-0200, wiikenandgorman.com

Michael Gorman joined Wiiken & Gorman in 1999. Prior to that he ran Save Energy, a company that works with utilities on energy conservation, which he founded in 1983. Before starting the company, Mr. Gorman worked for PG&E. He received a bachelor’s degree in psychology from Boston University in 1972 and earned a graduate certificate in personal financial planning from U.C. Berkeley in 1998. Mr. Gorman serves as a director of the Sonoma County Public Library Foundation, where he is also treasurer and chair of the investment committee. He occasionally teaches classes on investing at Santa Rosa Junior College.

Robert Horowitz

Robert Horowitz Wealth Management, 300 Tamal Plaza Ste. 180, Corte Madera 94925, 415-927-7871, www.rhwm.com

Robert Horowitz founded Robert Horowitz Wealth Management in 2003. Prior to starting his own practice, Mr. Horowitz served for three years as the director of an advice initiative for Charles Schwab & Company, where he helped design the company’s investment advisory service, now known as Schwab Private Client. Prior to joining Charles Schwab, he was an investment adviser for New England Investment Management, and before that he served as a vice president for Barbenco USA Inc.

Mr. Horowitz has a bachelor’s degree from Trinity College and an MBA from Columbia Business School.

Kelly Kane

Broadwing Capital Advisors, 18 East Blithedale Ave. Ste. 22, Mill Valley 94941, 415-381-7555,

www.broadwingcapital.com

Kelly Kane has been a financial planner for Broadwing Capital Advisors since he started the company nine years ago. Mr. Kane prepares financial plans for clients and selects institutional money managers to manage clients’ portfolios. Prior to joining Broadwing, he served for 14 years as a registered representative of AXA-Equitable Advisors, a financial planning and insurance organization. He has a bachelor’s degree in economics from U.C. Davis.

Thomas Kawazoe

Mechanics Bank, 433 Soscol Ave. Ste. B-161, Napa 94559, 707-256-4346,

www.mechbank.com

Thomas Kawazoe is a vice president and senior relationship manager in the private banking division of Mechanics Bank, serving Napa and Solano counties. Prior to joining Mechanics Bank in 2006, Mr. Kawazoe spent four years in the private client services division of Wells Fargo Bank, and before that he held research and banking positions with Card Commerce International and Bank of America.

Mr. Kawazoe has a bachelor's degree in political science and economics from U.C. Berkeley and an MBA from U.C. Davis. He is the incoming president for the Cordelia Rotary.

Ray Lent

Putney Financial Group, 1099 E St., San Rafael 94901, 415-460-1990, www.putneyfinancial.com

Ray Lent began his financial services career in the life insurance industry in San Francisco in 1974, and in 1982 he earned the Chartered Life Underwriter's designation from the American College. In 1984 he expanded his practice to include investments.

Karen Mathre

Exchange Bank Wealth Management, 545 Fourth St., Santa Rosa 95401, 707-521-5088, www.exchangebank.com

Karen Mathre is a vice president of private banking for Exchange Bank and heads the bank's wealth management practice. Prior to joining the bank in 2007, she spent 10 years as a private consultant, working for companies such as Grant Thornton, Charles Schwab & Company, Moss Adams LLP and Pisenti & Brinker LLP. She also headed the management and leadership development programs for Medtronic CardioVascular. Prior to her consulting work, Ms. Mathre worked for Westamerica Bank and Husic Capital Management, a San Francisco investment advisor.

Ms. Mathre has a bachelor's degree in history from Macalester College and a master's in organizational development from Sonoma State University. She is the designer and facilitator of the annual Press Democrat Leadership Forum.

George McCuen

McCuen Investment Group Inc., 1836 Second St., Napa 94559, 707-252-1343, www.napaadvisor.com

George McCuen founded McCuen Investment Group in 1997 after 10 prior years in the wealth management industry, beginning with IDS, now Ameriprise Financial. He is a regular lecturer on topics such as investment, retirement, tax, estate and financial planning. Mr. McCuen has a degree in business management from Sonoma State University and a certificate in financial planning.

Mick Menendez

Pacific Advisors Inc., 404 Mendocino Ave. Ste. 200, Santa Rosa 95401, 800-799-7557, www.pacificadvisors.com

Mick Menendez is a senior partner with Pacific Advisors, a wealth management firm. He has a background in the insurance industry, which he entered in 1972. Prior to joining Pacific Advisors, Mr. Menendez was a general agent for the Guardian Life Insurance Co. for more than 15 years. He has a bachelor's degree in communications from San Francisco State University.

Mr. Menendez has served as trustee, communications officer and political action committee chairman for the California chapter of the National Association of Insurance and Financial Advisors. He is a member of the Sonoma County Alliance executive committee and a director for the Wells Fargo Center for the Arts.

William Osher

Tamalpais Wealth Advisors, 630 Las Gallinas Ave., San Rafael 94903, 415-526-4300, www.tamwealthadvisors.com

William Osher is the senior economic and investment strategist for Tamalpais Wealth Advisors, the wealth management affiliate of Tamalpais Bank. Mr. Osher directly manages the firm's fixed-income portfolios and is responsible for setting the strategies for both the firm's fixed-income and equity investments. Previously, he served in a similar role for Harris Bretall, Sullivan and Smith LLC. Mr. Osher received his bachelor's degree from Claremont McKenna College and an MBA in finance and accounting from Northwestern University's J.L. Kellogg Graduate School of Management. Mr. Osher is the current treasurer for the city of Tiburon.

Donald Place

Northern Trust, 575 Redwood Highway, Mill Valley 94941, 415-381-5100, www.northerntrust.com

Donald Place is a vice president and manager of Northern Trust's only Marin County office. He joined the company in 1999 after more than 20 years of experience in trust and investment management. Mr. Place has previously managed trust and investment operations for Hibernia Bank, Security Pacific National Bank, Imperial Trust Company and Sumitomo Bank of California, now California Bank & Trust. He has a bachelor's degree from Dartmouth College, a law degree from the University of Illinois School of Law and is a graduate of the American Bankers Association's National Graduate Trust School at Northwestern University. Mr. Place is currently serving as a volunteer and director for LITA Marin, an elderly services organization.

Bruce Raabe

Collins & Company LLC, 100 Larkspur Landing Circle Ste. 102, Larkspur 94939, 415-925-4000, www.collins-co.com

Bruce Raabe is the co-owner, managing member and chief investment officer for Collins & Company LLC. Since joining the company in 1992, he has helped transition the company from a traditional brokerage into a fee-based wealth management provider. Mr. Raabe has a bachelor's degree in civil engineering from U.C. Davis and an MBA in finance from Golden Gate University. Prior to joining Collins & Company, he was a civil engineer for the State of California, working on bridge design and construction.

Mark Richmond

Capitol Wealth Advisors, Napa Community Bank, 700 Trancas St., Napa 94558, 707-227-9300, Mark Richmond runs the Napa County office of Capitol Wealth Advisors, a firm owned by Napa Community Bank's parent company, Capitol Bancorp. Mr. Richmond is also affiliated with LPL Financial Services, a broker-dealer.

Prior to joining Napa Community Bank, Mr. Richmond ran the wealth management affiliate of Vintage Bank, beginning in 1995. Before that he was a managing partner for Protective Financial Insurance Services Inc., and he has previously worked for Union Federal Savings Bank,† Santa Barbara† Savings Bank, American Savings Bank and Westamerica Bank.

Mr. Richmond is an immediate past president of the Napa Valley Economic Development Corp., a past president of the Napa Chamber of Commerce and past chair of the chamber's Candidate Endorsement and Legislative Action committees.

Chuck Root

Double Eagle Financial, 2300 Bethards Drive Ste. R, Santa Rosa 95405, 707-576-1313

Chuck Root started Double Eagle Financial in 1980, after beginning his financial services career in the life insurance business in 1966. His company provides personal financial planning in addition to family office services and business succession planning. Mr. Root studied engineering at the City College of San Francisco and the College of Marin and has received certifications from institutions including the College for Financial Planning, the America College of Life Underwriters – now the American College – and the National Association of Estate Planners & Councils.

Irwin Rothenberg

Wealth Management Consultants LLC, 3550 Round Barn Blvd. Ste. 212, Santa Rosa 95403,

707-542-3600, www.wealthmc.com

Irwin Rothenberg, a CPA, founded Wealth Management Consultants LLC in 1995, after spending six years directing the financial planning operations for Pisenti & Brinker LLP. Prior to that, Mr. Rothenberg spent 15 years as a partner-in-charge for the international accounting firm BDO Seidman. A graduate of George Washington University, he has taught courses in taxation and wealth management for the American Institute of Certified Public Accountants and the Colorado and California CPA Societies. He currently serves as a director for the Sonoma State University Academic Foundation and the Community Foundation Sonoma County.

Kevin Shelton

First Bank, 1020 B St., San Rafael 94901, 866-828-2027, www.firstbanks.com

Kevin Shelton has served for two years as a vice president and wealth management adviser for First Bank, where he works with both individuals and businesses in the areas of investment management, financial planning, retirement planning and succession planning. He is also the bank's trust officer for Northern California.

Mr. Shelton has previously worked in wealth management and investment brokerage roles for Lodestar Private Asset Management LLC, American Century Brokerage and Wells Fargo Bank. He has bachelor's degree in business administration from San Jose State University and has completed financial planning coursework at U.C. Berkeley.

Richard Stone

Salient Wealth Management LLC, 750 Lindaro St. Ste. 130, San Rafael 94901, 415-526-2900, www.salientwealth.com

Richard Stone is the president and CEO of Salient Wealth Management, which he founded in 1983. He has been listed by Worth magazine as one of the nation's top 100 wealth managers.

Mr. Stone has a degree in business and finance from San Jose State

University and received his financial planning certification in 1973. He has taught a number of financial planning courses and is a member of the board of trustees of Dominican University of California. He is also a member of the financial planning advisory board in the department of economics and finance at Golden Gate University, where he was an adjunct professor.

Mr. Stone is a frequent speaker and participant in national conferences and his pieces on ethics and investment have appeared in publications such as Worth and Wealth Manager magazines.

Michael Sullivan

Wells Fargo Bank , 3550 Round Barn Blvd. Ste. 307, Santa Rosa 95403, 707-584-3165, www.wellsfargo.com

Michael Sullivan has been with Wells Fargo for 20 years, and has spent most of his time as a commercial banker. He joined the Santa Rosa office in 1994 and was promoted to head of the bank's North Bay commercial banking operation in 1997. In 2007 he was tapped to head the bank's North Bay wealth management operation while keeping his role in commercial banking. The wealth management group serves the North Bay from offices in Santa Rosa and Corte Madera.

Mr. Sullivan received a bachelor's degree and an MBA from U.C. Berkeley and previously worked for two years as an assistant controller for the Hertz Corp.

William Vick

Citi Smith Barney, 111 Santa Rosa Ave. Ste. 200, Santa Rosa 95404, 800-752-5340, www.fa.smithbarney.com/thevickchogroup

William Vick is a partner in the Vick/Cho Group, a Santa Rosa-based wealth management group within Citi Smith Barney. Mr. Vick is a senior vice president for the company, which he joined in 2000. Previously, Mr. Vick spent 20 years with Merrill Lynch & Company, serving in various roles in Norfolk, Va.; San Francisco; Colorado; Arizona; and Santa Rosa. He has a bachelor's degree in European history from the University of North Carolina at Chapel Hill and a master's in education and administration from Old Dominion University.

John Wagenbach

Union Bank of California, 899 Adams St. Ste. F-1, St. Helena 94574, 707-815-7042, www.uboc.com

As vice president for Union Bank of California, John Wagenbach manages the bank's private banking operations in the Wine Country and East Bay. From 1987 to 2001 he served as a vice president and commercial lender for the bank. From 2001 to 2003 he was a unit manager and vice president with California Bank & Trust before returning to Union Bank of California. He has a bachelor's degree in finance from Santa Clara University and is a candidate for a certificate from the Pacific Coast Banking School.

Stuart Walton

Trek Capital Management LLC, 2257 Larkspur Landing Circle Ste. C, Larkspur 94939, 415-461-8120, www.trekcapital.com

Stuart Walton is the manager and a general partner for Trek Capital Management LLC, where he manages Reindeer Trek LP, a limited partnership fund for high-net-worth individuals and institutions. The firm also offers separately managed accounts.

Mr. Walton has held a number of investment positions since 1983, serving at firms including Volpe Welty & Company, Pacific Growth Equities, Greenville Capital Management, Reindeer Capital Management LLC and Caribou Funds Management. He has a bachelor's degree from the University of Western Ontario and an MBA in finance from McGill University.

Kenneth Winans

Winans International, 330 Ignacio Blvd. Ste. 203, Novato 94949, 415-506-3070, www.winansinternational.com

Kenneth Winans founded Winans International in 1992 after holding investment management, corporate finance and research positions with E.F. Hutton & Company, Sutro & Company and Merrill Lynch & Company. He started his career as a real estate analyst for California Brokers of San Diego, a job he held while earning a degree in business economics from the University of San Diego. In 1987 he earned an MBA in finance from the University of San Francisco.

Mr. Winans is a regular commentator for television and radio financial programs, and his investment writings have appeared in publications such as the Wall St. Journal and Investors Business Daily. He is the author of two books, "Preferreds – Wall St.'s Best-Kept Income Secret," published in 2007, and "Investment Atlas," scheduled for release May 17.

Mr. Winans is a director of the Chabot Space Science Center in Oakland, and in 2002 he and his wife founded the W Foundation, a nonprofit focused on public education related to space exploration.

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