

| Rank | Brokerage <ul style="list-style-type: none"> name address website | L.A. County Employment <ul style="list-style-type: none"> securities brokers investment bankers total employees | Services Offered (partial list) | Profile <ul style="list-style-type: none"> parent company headquarters offices (L.A./total) | Top Local Executive <ul style="list-style-type: none"> name title phone |
|------|---|--|---|--|--|
| 1 | Morgan Stanley Smith Barney 444 S. Flower St., 27th Floor Los Angeles 90071 morganstanleymithbarney.com | 737 NA 1,185 | brokerage and investment advisory, financial and wealth planning, credit and lending, cash management, annuities and insurance, retirement | Morgan Stanley New York 25/1,200 | Robert Perry managing director, regional director (213) 244-1510 |
| 2 | Wells Fargo 333 S. Grand Ave. Los Angeles 90071 wellsfargo.com | 654 61 1,136 | full service brokerage, investment management, insurance, online brokerage, private banking, trust and estate services, institutional brokerage and sales | Wells Fargo & Co. San Francisco 334/NA | Joe DeFur executive vice president, senior managing director, Wells Fargo Wealth Management (800) 869-3557 |
| 3 | Merrill Lynch 350 S. Grand Ave., Suite 2700 Los Angeles 90071 ml.com | 565 NA NA | brokerage, investment advisory, banking, trust and other financial services and products | Bank of America Charlotte, N.C. NA/734 | Chandler Root regional managing director (213) 236-2000 |
| 4 | Farmers Financial Solutions LLC 30801 Agoura Road, Building 1 Agoura Hills 91301 farmersinsurance.com | 490 NA NA | mutual funds, 529 college savings plans, retirement plans, qualified tax saving investment plans, variable life insurance | Farmers Insurance Group Agoura Hills 45/627 | Don Mealer president (866) 888-9739 |
| 5 | UBS Financial Services Inc. 725 S. Figueroa St., 41st Floor Los Angeles 90017 ubs.com | 350 NA NA | brokerage, wealth management, retirement planning, insurance, investments, lending services and investment banking | UBS AG Zurich & Basel, Switzerland 11/350 | Randall K. Grossblatt Southern California market manager (213) 253-5485 |
| 6 | Wedbush Securities 1000 Wilshire Blvd. Los Angeles 90017 wedbush.com | 250 6 403 | brokerage, asset management, investment banking, research, correspondent clearing/execution, prime brokerage, private capital, commercial banking | Wedbush Inc. Los Angeles 26/100 | Edward Wedbush president (213) 688-8000 |
| 7 | Western International Securities 70 S. Lake Ave., Suite 700 Pasadena 91101 wisdirect.com | 127 NA 152 | independent broker dealer, fee-based asset management, financial planning, investment adviser services | Concept Brokerage Holding Corp. Pasadena 15/100 | Donald Bizub ceo (888) 793-7717 |
| 8 | Crowell Weedon & Co. 1 Wilshire Blvd. Los Angeles 90017 crowellweedon.com | 115 0 288 | personal financial planning, investment advisory services, customized retirement strategies, tax-advantaged investments, corporate finance | NA Los Angeles 6/11 | Andrew E. Crowell managing partner (213) 620-1850 |
| 9 | Sagemark Consulting Lincoln Financial Advisors 31111 Agoura Road, Suite 200 Westlake Village 91361 sagelinc.com | 100 NA NA | investment management, business owner planning, estate and asset protection strategies, retirement planning | Lincoln Financial Group Philadelphia 1/57 | Richard Smith managing principal, Westlake Village (818) 540-6900 |
| 10 | Charles Schwab & Co. Inc. 1900 Avenue of the Stars, Suite 101 Los Angeles 90067 schwab.com | 70 0 74 | investment advisory services, personal financial planning, active trader services, banking services, estate planning | NA San Francisco 12/300 | Robert Kightlinger regional branch executive (800) 435-4000 |
| 11 | Edward Jones 870 Hampshire Road, Suite A Westlake Village 91361 edwardjones.com | 61 0 111 | financial services | NA St. Louis 61/11,375 | Chris Hardt regional leader (805) 496-6891 |

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|-----------|---|-----------------|--|--|---|
| 12 | RBC Wealth Management 9665 Wilshire Blvd., Fourth Floor Beverly Hills 90212 rbcwm-usa.com | 57 NA NA | full service securities firm | Royal Bank of Canada Minneapolis ¹ 6/162 | Ken Sullivan Jr. sr. managing dir., complex dir. (310) 205-7745 |
| 13 | City National Securities Inc. 400 N. Roxbury Drive Beverly Hills 90210 cnb.com | 56 0 64 | investment advisory services for managed accounts, municipal securities, treasury and agency securities, corporate bonds, mutual funds, equity securities, 529 plans | City National Bank Los Angeles 8/19 | Michael J. Nunnelee president (800) 280-1464 |
| 14 | B. Riley & Co. LLC 11100 Santa Monica Blvd., Suite 800 Los Angeles 90025 brileyco.com | 28 8 32 | investment banking, equity research, institutional equity and fixed income trading, market making and prime brokerage | NA Los Angeles 1/5 | Thomas Kelleher ceo (310) 966-1444 |
| 15 | M.L. Stern² 8350 Wilshire Blvd. Beverly Hills 90211 swsgroup.com | 27 NA 53 | bonds, stocks, mutual funds, annuities, insurance, retirement plans, managed accounts | Southwest Securities Inc. Dallas 1/17 | David L. Frieden executive vice president, regional director (323) 658-4400 |
| 16 | Imperial Capital LLC 2000 Avenue of the Stars, Ninth Floor South Los Angeles 90067 imperialcapital.com | 24 29 105 | restructuring and recapitalization advisory, mergers and acquisitions, capital raising, research, sales and trading of high yield and distressed debt securities, convertible bonds, bank debt, preferred stocks | Imperial Capital Group LLC Los Angeles 1/7 | Jason Reese ceo (310) 246-3700 |
| 17 | Zahorik Financial Services Inc. 418 N. Fair Oaks Ave., Suite 101 Pasadena 91103 zahorik.com | 17 NA NA | retirement plans, investment advisory, insurance, employee benefits | Zahorik Financial & Insurance Services Inc. Pasadena 1/20 | Randy Russell president (800) 266-0859 |
| 18 | Perennial Financial Services 11620 Wilshire Blvd., Suite 400 Los Angeles 90025 perennialfinancialservices.com | 11 0 11 | fee-based asset management, customized retirement planning, personal financial planning, estate and legacy planning, annuities and life insurance | LPL Financial San Diego NA/NA | John B. Petrick senior managing director (310) 445-2504 |
| 19 | Quincy Cass Associates Inc. 11111 Santa Monica Blvd. Los Angeles 90025 quincycass.com | 7 2 15 | brokerage, asset management, investment advisory services, investment banking | NA Los Angeles 1/1 | Joel H. Ravitz ceo (310) 473-4411 |
| 20 | First Republic Securities Co. LLC 1888 Century Park East Los Angeles 90067 firstrepublic.com | 3 0 81 | wealth management; fixed income, short-term cash management, alternative investments, self-directed brokerage; trust services; portfolio management; institutional money management | First Republic Bank San Francisco 6/57 | Mary Deckebach regional managing director (310) 407-7036 |

¹ U.S. headquarters.

² A division of Southwest Securities Inc.

NA - Not Available Note: The information on this list was provided by representatives of the companies themselves. Brokerages are ranked by the number of registered, full-time securities brokers and the number of employees in L.A. County offices, respectively. To the best of our knowledge, this information is accurate as of press time. While every

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