

# THE LIST

## SECURITIES BROKERAGE FIRMS

Ranked by full-time registered securities brokers in L.A. County

► **NEXT WEEK**  
Minority-Owned Businesses

Rank	Brokerage • name • address • website	L.A. County Employment • securities brokers • total employees	Services Offered (partial list)	Profile • headquarters • offices (L.A./total)	Top Local Executive • name • title • phone	
1	 <b>Morgan Stanley Wealth Management</b> 444 S. Flower St., 26th Floor Los Angeles 90071; morganstanley.com	577 NA	brokerage and investment advisory, financial and wealth planning	New York 16 / NA	Curtis Peterson Regional Director (213) 553-3320	
2	 <b>Merrill Lynch</b> 100 Wilshire Blvd. Santa Monica 90401; ml.com	500 788	brokerage, investment advisory, banking, trust and other financial services and products	Charlotte, N.C. 258 / 4,300	Jeff Markham Division Executive (800) 937-0620	
3	 <b>Wells Fargo Advisors</b> 707 Wilshire Blvd. Los Angeles 90017; wellsfargoadvisors.com	375 <sup>1</sup> NA	financial advisory, brokerage, asset management, retirement planning	St. Louis 114 / 3,219	James Hays President (800) 869-3557	
4	 <b>UBS Financial Services Inc.</b> 515 Flower St., Suite 5000 Los Angeles 90071; ubs.com	328 593	brokerage, wealth management, retirement planning, insurance, investments, lending services, investment banking	Zurich & Basel, Switzerland 14 / 350	Justin Frame Market Head, Los Angeles - Orange County (213) 972-1511	
5	 <b>Farmers Financial Solutions</b> 31051 Agoura Road Westlake Village 91361; farmersinsurance.com	300 <sup>1</sup> NA	mutual funds, 529 college savings plans, retirement plans, qualified tax saving investment plans, variable life insurance, annuities	Westlake Village 304 / 3,817	John Mueeting President (866) 888-9739	
6	 <b>Fidelity Investments</b> 12201 Seal Beach Blvd. Seal Beach 90740; fidelity.com	212 NA	wealth management, brokerage, investment guidance and planning, income products and annuities, active trader services, IRAs, charitable giving	Boston 10 / 200	Linda Park Market Leader (800) 544-5853	
7	 <b>Wedbush Securities</b> 1000 Wilshire Blvd. Los Angeles 90017; wedbush.com	185 347	brokerage, investment advisory, wealth management, retirement planning, investment banking, equity research, correspondent clearing	Los Angeles 18 / 100	Gary Wedbush President (213) 688-8000	
8	 <b>Western International Securities Inc.</b> 70 S. Lake Ave, Seventh Floor Pasadena 91101; wisdirect.com	173 63	independent broker dealer, fee-based asset management, financial planning, investment adviser services	Pasadena 42 / 166	Donald Bizub President (888) 793-7717	
9	 <b>Northwestern Mutual Investment Services</b> 515 S. Flower St., 34th Floor Los Angeles 90071; losangeles.nm.com	115 275	wealth management, advisory, brokerage, private client services, life insurance, long-term care, disability, retirement, investments, planned giving	Milwaukee 3 / 200	Matthew Plocher Managing Partner (213) 243-7000	
10	 <b>Charles Schwab &amp; Co. Inc.</b> 1900 Avenue of the Stars, Suite 101 Los Angeles 90067; schwab.com	90 <sup>1</sup> NA	investment advisory services, personal financial planning, active trader services, banking services, estate planning	San Francisco NA / NA	Doug Wilson Regional Market Executive (800) 435-4000	
11	 <b>J.P. Morgan Securities</b> 2029 Century Park East, Suite 3700 Los Angeles 90067; jpmorgansecurities.com	80 <sup>1</sup> NA	wealth management, retirement planning, portfolio management, banking, lending, global research	New York 2 / NA	James Dean Regional Director (310) 201-2600	
12	 <b>Edward Jones</b> 2615 Pacific Coast Highway, Suite 223 Hermosa Beach 90254; edwardjones.com	75 <sup>1</sup> NA	financial services, retirement planning, life insurance, college savings plans	St. Louis NA / NA	Nicholas Pennino Regional Leader (310) 376-0504	
13	 <b>D.A. Davidson &amp; Co.</b> 624 S. Grand Ave., 26th Floor Los Angeles 90017; dadavidson.com	73 94	personal financial planning, investment advisory services, customized life stage and retirement strategies, managed accounts, tax-advantaged investments, and trust services	Great Falls, Mont. 4 / 99	Andrew Crowell Vice Chairman, Wealth Management (213) 620-1850	
14	 <b>RBC Wealth Management</b> 9665 Wilshire Blvd., Fourth Floor Beverly Hills 90212; rbcwm-usa.com	70 <sup>1</sup> NA	brokerage and investment advisory, financial and wealth planning	Minneapolis <sup>2</sup> NA / NA	Michael Melton Director, Southern California (310) 205-7745	
15	 <b>New York Life</b> 6300 Wilshire Blvd., Suite 2200 Los Angeles 90048; losangeles.nyloffices.com	65 137	life, long-term care, retirement, investments	New York 1 / NA	Nestor Martinez-Segura Managing Partner (323) 782-3000	
16	 <b>Imperial Capital</b> 10100 Santa Monica Blvd., Suite 2400 Los Angeles 90067; imperialcapital.com	50 <sup>1</sup> NA	restructuring and recapitalization advisory, M&A, capital raising, research, sales and trading	Los Angeles 1 / NA	Randall Wooster CEO (310) 246-3700	

<sup>1</sup> Business Journal estimate.












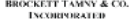


<sup>2</sup> U.S. headquarters.

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Continued from page 16

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17	 <b>City National Securities Inc.</b> 555 S. Flower St., 11th Floor Los Angeles 90071; cnb.com	48 54	managed accounts, advisory services for municipal securities, treasury and agency securities, corporate bonds, preferred securities, comprehensive structured note platform, brokered CDs, mutual funds, ETFs and 529 plans	Los Angeles 14 / 29	Michael Nunnelee President (800) 280-1464	
18	 <b>Hamilton Grant</b> 70 S. Lake Ave, Seventh Floor Pasadena 91101; hamiltongrant.com	25 NA	investment banking services, M&As, capital structuring, leveraged buyouts, debt/equity financing, business strategy consulting	Pasadena 3 / 5	Kendrick Dunn CEO (310) 846-3800	
19	 <b>Stifel Financial Corp.</b> 515 South Figueroa Street, Suite 1800 Los Angeles 90071; www.stifel.com	24 30	taxable and tax-exempt fixed income, investment banking, high-net-worth retail asset management, wealth management, retirement and estate planning, managed accounts, and financial planning	St. Louis 1 / 443	Sara Oberlies Brown John Kim Managing Directors (213) 443-5000	
20	 <b>Sagemark Consulting Lincoln Financial Advisors</b> 31111 Agoura Road, Suite 200 Westlake Village 91361; lfasagemark-west.com	20 <sup>1</sup> NA	investment management, business owner planning, estate and asset protection strategies, retirement planning	Philadelphia NA / NA	Nathan Truax Regional Director, Southern California (949) 623-1783	
21	 <b>Hilltop Securities Inc.</b> 15301 Ventura Blvd. Building B, Suite 410 Sherman Oaks 91403; hilltopsecurities.com	19 45	bonds, stocks, mutual funds, annuities, insurance, retirement plans, managed accounts	Dallas 2 / 68	Peter Cappos Managing Director, Head of Wealth Management Pacific Coast Division (323) 658-4400	
22	 <b>B. Riley Securities Inc.</b> 11100 Santa Monica Blvd., Suite 800 Los Angeles 90025; brileyfin.com/brileysecurities	10 140	public/private structured equity offerings, ATMs, baby bond offerings, M&A advisory, corporate restructuring and financial advisory, sales & trading, equity research	Los Angeles 3 / 50	Andy Moore CEO, B. Riley Securities Inc. (310) 966-1444	
23	 <b>Brockett Tamny &amp; Co. Inc.</b> 444 S. Flower St., Suite 2350 Los Angeles 90071; brotam.com	3 <sup>1</sup> NA	M&A advisory, private capital raising	Los Angeles 1 / 1	Peter Tamny CEO (213) 452-4433	
	 <b>Quincy Cass Associates Inc.</b> 11111 Santa Monica Blvd. Los Angeles 90025; quincycass.com	3 NA	wealth management	Los Angeles 1 / 1	Joel Ravitz CEO, Chairman (310) 473-4411	

<sup>1</sup> Business Journal estimate.

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