

THE LIST

SECURITIES BROKERAGE FIRMS

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

► NEXT WEEK

Property Management Firms: Office, Industrial and Retail

Rank		Brokerage <ul style="list-style-type: none"><li>• name</li><li>• address</li><li>• website</li></ul>	L.A. County Employment <ul style="list-style-type: none"><li>• securities brokers</li><li>• total employees</li></ul>	Services Offered (partial list)	Profile <ul style="list-style-type: none"><li>• headquarters</li><li>• offices (L.A./total)</li></ul>	Top Local Executive <ul style="list-style-type: none"><li>• name</li><li>• title</li><li>• phone</li></ul>	
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> 2049 Century Parkway East Los Angeles 90067; ml.com	500' NA	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	350' 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; ub.com	328' NA	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	230 NA	mutual funds, 529 college savings plans, retirement plans, qualified tax saving investment plans, variable life insurance, annuities	Westlake Village 230 / 3,271	John Muetting President (866) 888-9739	
6		<b>Fidelity Investments</b> City 2000 Avenue of the Stars Los Angeles 90067; fidelity.com	212' 248	wealth management, brokerage, investment guidance and planning, income products and annuities, active trader services, IRAs, charitable giving	Boston 11 / 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 Burke Dempsey President EVP, Head of Investment Banking (213) 688-8000	
8		<b>Northwestern Mutual Investment Services</b> 515 S. Flower St., 34th Floor Los Angeles 90071; losangeles.nm.com	175' NA	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	
9		<b>Western International Securities Inc.</b> 70 S. Lake Ave., Seventh Floor Pasadena 91101; wisdirect.com	172 NA	independent broker dealer, fee-based asset management, financial planning, investment adviser services	Pasadena 14 / 134	Donald Bizub President (888) 793-7717	
10		<b>Charles Schwab &amp; Co. Inc.</b> 1900 Avenue of the Stars, Suite 101 Los Angeles 90067; schwab.com	90' 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' NA	wealth management, retirement planning, portfolio management, banking, lending, global research	New York 2 / NA	James Dean Regional Director (310) 201-2600	
12		<b>City National Securities Inc.</b> 555 S. Flower St., 11th Floor Los Angeles 90071; cnb.com	75 91	managed accounts, advisory services for municipal securities, treasury and agency securities, corporate bonds, preferred securities, comprehensive structured note platform, brokered CDs, mutual funds, UITs, ETFs, 529 plans	Los Angeles 15 / 26	Michael Nunnelee President (800) 280-1464	
		<b>Edward Jones</b> 2615 Pacific Coast Highway, Suite 223 Hermosa Beach 90254; edwardjones.com	75' NA	financial services, retirement planning, life insurance, college savings plans	St. Louis NA / NA	Nicholas Pennino Regional Leader (310) 376-0504	
14		<b>RBC Wealth Management</b> 9665 Wilshire Blvd., Fourth Floor Beverly Hills 90212; rbcwm-usa.com	70' 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' NA	life, long-term care, retirement, investments	New York 1 / NA	Nestor Martinez-Segura Managing Partner (323) 782-3000	
16		<b>D.A. Davidson &amp; Co.</b> 624 S. Grand Ave., 26th Floor Los Angeles 90017; dadavidson.com	62 79	personal financial planning, investment advisory services, customized life stage and retirement strategies, managed accounts, tax-advantaged investments, trust services	Great Falls, Mont. 5 / 106	Andrew Crowell Vice Chairman, Wealth Management (213) 620-1850	
17		<b>Stifel Financial Corp.</b> 2121 Avenue of the Stars, Suite 2150 Los Angeles 90067; www.stifel.com	57 73	taxable and tax-exempt fixed income, investment banking, high-net-worth retail asset management, wealth management, retirement and estate planning, managed accounts, financial planning	St. Louis 2 / 443	Sara Oberlies Brown John Kim Robert Barna Managing Directors (213) 443-5000	














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

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

NA - Not Available Note: The information on this list was provided by representatives of the companies. Brokerages are ranked by the number of registered, full-time securities brokers in L.A. County offices. 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. Please send corrections or additions on company letterhead to the Research Department, Los Angeles Business Journal, 11150 Santa Monica Blvd., Suite 350, Los Angeles 90025. ©2023 Los Angeles Business Journal. This list may not be reprinted in whole or in part without prior written permission from the editor. Reprints are available from Wright's Media (877) 652-5295.

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18		<b>Imperial Capital</b> 10100 Santa Monica Blvd., Suite 2400 Los Angeles 90067; imperialcapital.com	<b>50<sup>1</sup></b> NA	restructuring and recapitalization advisory, M&A, capital raising, research, sales and trading	Los Angeles 1 / 7	Randall Wooster CEO (310) 246-3700	
19		<b>Hamilton Grant</b> 70 S. Lake Ave., Seventh Floor Pasadena 91101; hamiltongrant.com	<b>25<sup>1</sup></b> NA	investment banking services, M&As, capital structuring, leveraged buyouts, debt/equity financing, business strategy consulting	Pasadena 3 / 5	Rob Creaser CEO, CCO (310) 846-3800	
20		<b>Sagemark Consulting Lincoln Financial Advisors</b> 31111 Agoura Road, Suite 200 Westlake Village 91361; lfasagemark-west.com	<b>15<sup>1</sup></b> 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	<b>13</b> 35	bonds, stocks, mutual funds, annuities, insurance, retirement plans, managed accounts	Dallas 2 / 42	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; brileysecurities.com	<b>7<sup>1</sup></b> NA	public/private structured equity offerings, ATMs, baby bond offerings, M&A advisory, corporate restructuring and financial advisory, sales & trading, equity research	Los Angeles 5 / 200	Andy Moore CEO, B. Riley Securities Inc. (310) 966-1444	
23		<b>Quincy Cass Associates Inc.</b> 11111 Santa Monica Blvd. Los Angeles 90025; quincycass.com	<b>3</b> 7	wealth management	Los Angeles 1 / 1	Mark C. Minichiello CEO (310) 473-4411	
		<b>Brockett Tamny &amp; Co. Inc.</b> 444 S. Flower St., Suite 2350 Los Angeles 90071; brotam.com	<b>3<sup>1</sup></b> NA	M&A advisory, private capital raising	Los Angeles 1 / 1	Peter Tamny CEO (213) 452-4433	

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

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Researched by Andrew Crowley