

THE LIST

SECURITIES BROKERAGE FIRMS

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

► **NEXT WEEK**

Commercial Real Estate Developers,
Architectural Firms

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	 Morgan Stanley Wealth Management 444 S. Flower St., 26th Floor Los Angeles 90071; morganstanley.com	618' NA	brokerage and investment advisory, financial and wealth planning	New York 16 / NA	Curtis Peterson Regional Director (213) 553-3320	
2	 Merrill Lynch 2049 Century Parkway East Los Angeles 90067; ml.com	555 NA	brokerage, investment advisory, banking, trust and other financial services and products	Charlotte, N.C. 228 / 4,300	Brian Ludwick Division Executive, Managing Director (800) 937-0620	
3	 Wells Fargo Advisors 707 Wilshire Blvd. Los Angeles 90017; wellsfargoadvisors.com	367' NA	financial advisory, brokerage, asset management, retirement planning	St. Louis 114 / 3,219	Paul J. Vannuki LA Market Leader (877) 698-3123	
4	 UBS Financial Services Inc. 515 Flower St., Suite 5000 Los Angeles 90071; ubs.com	339' 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	 Farmers Financial Solutions 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	Kris Wood Financial Services Director (866) 888-9739	
6	 Fidelity Investments City 2000 Avenue of the Stars Los Angeles 90067; fidelity.com	195' NA	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	 Wedbush Securities 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 Burke Dempsey EVP, Head of Investment Banking (213) 688-8000	
8	 Northwestern Mutual Investment Services 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	Craig Quinlan Managing Director (213) 243-7000	
9	 Atria Wealth Solutions² 70 S. Lake Ave., Seventh Floor Pasadena 91101; wisdirect.com	172' NA	wealth management solutions holding company; fee-based asset management, financial planning, investment adviser services offered through Atria registered B-D and RIA subsidiaries	Pasadena 14 / 134	William Morrissey Managing Director and Head of the Independent Channel (888) 793-7717	
10	 Charles Schwab & Co. Inc. 1900 Avenue of the Stars, Suite 201 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	 J.P. Morgan Securities 2029 Century Park East, Suite 3700 Los Angeles 90067; jpmorgansecurities.com	76' NA	wealth management, retirement planning, portfolio management, banking, lending, global research	New York 2 / NA	Michael Rogers Regional Director (310) 201-2600	
12	 City National Securities Inc. 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	
13	 Edward Jones 2615 Pacific Coast Highway, Suite 223 Hermosa Beach 90254; edwardjones.com	72' NA	financial services, retirement planning, life insurance, college savings plans	St. Louis NA / NA	Nicholas Pennino Regional Leader (310) 376-0504	
14	 RBC Wealth Management 9665 Wilshire Blvd., Fourth Floor Beverly Hills 90212; rbcwm-usa.com	70' NA	brokerage and investment advisory, financial and wealth planning	Minneapolis ³ NA / NA	Michael Melton Director, Southern California (310) 205-7745	
15	 New York Life 6300 Wilshire Blvd., Suite 2200 Los Angeles 90048; losangeles.nyloffices.com	65' NA	life, long-term care, retirement, investments	New York 1 / NA	Kyle Jahng Managing Partner (323) 782-3000	
16	 Stifel Financial Corp. 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	

¹ Business Journal estimate.

² Previously listed as Western International Securities Inc.










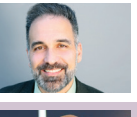




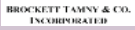
³ U.S. headquarters.

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. ©2024 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.

Researched by Andrew Crowley

SECURITIES BROKERAGE FIRMS *Continued from page 11*

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17	 Imperial Capital 10100 Santa Monica Blvd., Suite 2400 Los Angeles 90067; imperialcapital.com	50 ¹ NA	restructuring and recapitalization advisory, M&A, capital raising, research, sales and trading	Los Angeles 1 / 7	Randall Wooster CEO (310) 246-3700	
18	 D.A. Davidson & Co. 624 S. Grand Ave., 26th Floor Los Angeles 90017; dadavidson.com	49 62	personal financial planning, investment advisory services, customized life stage and retirement strategies, managed accounts, tax-advantaged investments, trust services	Great Falls, Montana 6 / 112	Andrew Crowell Vice Chair, Wealth Management (213) 620-1850	
19	 Hamilton Grant 70 S. Lake Ave., Seventh Floor Pasadena 91101; hamiltongrant.com	25 ¹ 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	 Sagemark Consulting Lincoln Financial Advisors 31111 Agoura Road, Suite 200 Westlake Village 91361; lfasagemark-west.com	15 ¹ 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	 Hilltop Securities Inc. 15301 Ventura Blvd., Building B, Suite 410 Sherman Oaks 91403; hilltopsecurities.com	11 32	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. Riley Securities Inc. 11100 Santa Monica Blvd., Suite 800 Los Angeles 90025; brileysecurities.com	7 ¹ 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 (310) 966-1444	
23	 Quincy Cass Associates Inc. 11111 Santa Monica Blvd. Los Angeles 90025; quincycass.com	3 ¹ 7 ¹	wealth management	Los Angeles 1 / 1	Mark C. Minichiello CEO (310) 473-4411	
	 Brockett Tamny & Co. Inc. 444 S. Flower St., Suite 2350 Los Angeles 90071; brotam.com	3 ¹ NA	M&A advisory, private capital raising	Los Angeles 1 / 1	Peter Tamny CEO (213) 452-4433	

¹ Business Journal estimate.

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