

THE LIST Largest Triad Securities Brokerages¹

(Ranked by number of Series 7 licensed brokers in the Triad, then by total Triad employees)

LIST MAKERS

A random sampling of what key players are saying.

QUESTION:

What's the biggest challenge facing the brokerage business?



Bryant

Name: Richard K. Bryant
Title: Triad executive
Company: Capital Investment Cos.
Rank: No. 15
Quote: "Our biggest challenge in the securities business is trying to differentiate ourselves from the competition as we all have access to most of the same services."

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Researched and compiled by Stephanie Conover

Rank	Last year's rank	Name and address of firm Phone/fax number	Local Series 7-licensed brokers/ Employees	Percentage of work corporate/ individual	Sample services offered	Local Manager(s)/ Web site
1	3	Wachovia Securities LLC 3623 N. Elm St., Suite 100-A, Greensboro, NC 27455 (336) 545-7100/(336) 545-1900	166/ 196	5%/ 95%	investment and retirement planning, access to lending	Jim Klutz, Bill Spivey, Kim Radford/ www.wachoviasec.com
2	1	Edward Jones Investments 3601 Lawndale Drive, Greensboro, NC 27408 (336) 286-2200/(336) 286-2245	85/ 255	20%/ 80%	financial assessment, retirement planning, insurance	Jim Barber/ www.edwardjones.com
3	2	Merrill Lynch 800 Green Valley Road, Greensboro, NC 27408 (336) 373-1711/(336) 333-7436	83/ 133	30%/ 70%	401(k) rollovers, investment advice, business lending	Darby Henley/ www.ml.com
4	5	Intercarolina Financial Services 3300 Battleground Ave., Greensboro, NC 27410 (336) 288-6890/(336) 545-1971	50/ 58	5%/ 95%	asset management	Joe Navolanic/ www.intercarolina.net
5	NR	Ameriprise Financial 1400 Westgate Center Drive, Winston-Salem, NC 27103 (336) 659-8480/(336) 659-0545	50/ WND	WND/ WND	full-service brokerage, financial planning	Michael McAdam/ www.americanexpress.com
6	10	Pilot Financial Advisors 1010 N. Elm St., Greensboro, NC 27401 (336) 272-9712/(336) 273-4348	33/ 50	20%/ 80%	full-service financial planning, life insurance, retirement	Roger Seigler, Al Capps III/ www.pilotfa.com
7	7	Morgan Stanley 380 Knollwood St., Winston-Salem, NC 27103 (336) 727-8900/(336) 727-8913	32/ 44	WND/ WND	wealth management, insurance	Michael Robinson/ www.morganstanley.com
8	6	UBS Financial Services¹ 3200 Northline Ave., Greensboro, NC 27408 (336) 854-7000/(336) 854-2699	27/ 40	10%/ 90%	estate planning, financial planning	Gary Liebel/ www.ubs.com
9	9	Citi Smith Barney¹ 110 S. Stratford Road, Winston-Salem, NC 27104 (336) 721-1888/(336) 777-0926	26/ 48	WND/ WND	estate planning, trust services, lending, retirement planning	James "Jim" Hardison/ www.smithbarney.com
10	11	A.G. Edwards & Sons Inc. 324 W. Wendover Ave., Greensboro, NC 27408 (336) 272-0523/(336) 273-4782	23/ 44	WND/ WND	financial planning, investment management	Steve Holbrook/ www.agedwards.com

11	12	Citi Smith Barney¹ 300 N. Greene St., Greensboro, NC 27401 (336) 275-2881/(336) 275-9214	20/ 29	WND/ WND	wealth management, estate and trust services	Marianne Cicala/ www.smithbarney.com
12	4	UBS Financial Services¹ 380 Knollwood St., Winston-Salem, NC 27103 (336) 722-4177/(336) 722-3721	19/ 25	25%/ 75%	wealth management, asset management, estate planning	Irene Apgar/ www.ubs.com
13	14	Deutsche Bank Alex. Brown 100 N. Main St., Winston-Salem, NC 27101 (336) 724-6921/(336) 761-1724	18/ 39	WND/ WND	full-service brokerage firm	Victor Harlee/ www.alexbrown.db.com
14	8	Scott & Stringfellow Inc. 701 Green Valley Road, Greensboro, NC 27408 (336) 378-1824/(336) 379-1605	17/ 26	WND/ WND	financial planning, IRA portfolio evaluations	Mike Owen/ www.scottstringfellow.com
15	NR	Capital Investment Cos. 110 Oakwood Drive, Winston-Salem, NC 27103 (336) 714-5050/(336) 714-2662	17/ 17	5%/ 95%	all securities, insurance, estate planning, 401(k)	Richard Bryant/ www.capital-invest.com
16	13	Banc of America Investment Services Inc. 629 Green Valley Road, Greensboro, NC 27408 (336) 805-3312/(336) 805-3331	15/ 23	WND/ WND	financial planning, risk management services, estate planning	Steve Sharke/ www.bankofamerica.com/invest
17	20	First Citizens Investor Services Inc. 100 S. Elm St., Greensboro, NC 27401 (336) 412-4000/(336) 855-9831	13/ 400	WND/ WND	full-service brokerage, financial planning	Mont Hamrick/ www.firstcitizens.com
18	18	RBC Dain Rauscher 110 Oakwood Drive, Winston-Salem, NC 27103 (336) 721-6800/(336) 721-6807	11/ 14	20%/ 80%	wealth management, financial planning, retirement services	David DuPont/ www.rbcdain.com
19	16	DMJ Wealth Advisors LLC 1201 Battleground Ave., Greensboro, NC 27408 (336) 275-9886/(336) 292-6695	10/ 40	40%/ 60%	financial planning, assets under management	Chuck Carrick/ www.dmjwa.com
20	17	Raymond James Financial Services Inc. 108 State St., Greensboro, NC 27408 (336) 272-7584/(336) 274-0105	10/ 12	20%/ 80%	retirement plans, individual money managers	Britt Preyer/ www.raymondjames.com/gso
21	19	Charles Schwab & Co. 616 Green Valley Road, Greensboro, NC 27408 (800) 435-4000/(336) 323-1920	7/ 21	WND/ WND	asset management, financial planning	Monica Schanke Donner/ www.schwab.com
22	21	Scottrade Inc. 1310 Westover Terrace, Greensboro, NC 27408 (336) 275-7205/(336) 275-7340	4/ 8	0/ 100%	\$7 online trades	Wende Rhodes/ www.scottrade.com
23	24	Financial Network 201 State St., Greensboro, NC 27408 (336) 273-2341/(336) 273-2134	4/ 6	30%/ 70%	broker/dealer for Bank of North Carolina	Ralph Huey/ www.financialnetwork.com
24	22	Shahbaz Southman & Co. PA 629 Green Valley Road, Greensboro, NC 27408 (336) 574-1438/(336) 856-9411	2/ 7	25%/ 75%	wealth and investment management, retirement planning	Ken Shahbaz/ www.sscocpa.com
25	23	LoNano Financial Advisors Inc. 3400-H W. Wendover Ave., Greensboro, NC 27407 (336) 854-4458/(336) 854-1808	2/ 6	30%/ 70%	financial planning, investments, corporate retirement plans	Michael LoNano/ www.lonano.com