

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."

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