

CHARLOTTE BUSINESS JOURNAL

WEEK OF APRIL 20, 2007

Largest Area Securities Brokerage Firms ranked by number of local Series 7, fully licensed brokers

Rank	Rank last year	Name address phone / fax / Web site	No. of local licensed brokers	No. of local support staff/offices	Local manager(s)	Sources of revenue % brokerage/ investment banking/ dealer	Year founded locally
1	1	Merrill Lynch Pierce Fenner & Smith Inc. 100 N. Tryon St., Suite 3600, Charlotte, N.C. 28202 (704) 339-2000 / (704) 339-2110 / www.ml.com	171	76 4	J. Scott Hotham	100 — —	1946
2	2	Wachovia Securities LLC 4525 Sharon Road, Suite 300, Charlotte, N.C. 28211 (704) 364-6300 / (704) 365-0261 / www.wachoviasec.com	157	171 14	Joel Glasco, Wesley Egan	100 — —	1972
3	15	Synergy Investment Group LLC 8320 University Executive Park Drive, Charlotte, N.C. 28272 (704) 333-7637 / (704) 333-7676 / www.synergyinvestments.com	111	20 15	Chris Palladino, Tim Bain, Eric Sides, Jeff Jones	90 — 10	1998
4	3	Edward Jones Investments P.O. Box 1948, Davidson, N.C. 28036-1948 (704) 896-7911 / (704) 896-7416 / www.edwardjones.com	96	133 95	John Brownfield	WND WND WND	1976
5	4	UVEST Financial Services Group Inc. 200 S. College St., 21st Floor, Charlotte, N.C. 28202 (704) 348-4137 / (704) 376-4476 / www.uest.com	88	211 92	Dan Arnold	95 — —	1982
6	7	Raymond James Financial Services Inc. 16315-A Northcross Drive, Huntersville, N.C. 28078 (704) 892-1012 / (704) 892-2445 / www.raymondjames.com/lakenorman	59	43 28	Dean Williamson	100 — —	1984
7	9	AXA Advisors 10840 Ballantyne Commons Parkway, Suite 100, Charlotte, N.C. 28277 (704) 540-3000 / (704) 540-2999 / www.axaonline.com	54	19 12	Mark Poulton, Marcus Healey Jeffrey Plummer, Sandy Solomon	12 — —	1960s
8	8	Jefferson Pilot Financial/WealthPlan Financial Partners 2815 Coliseum Centre Drive, Suite 680, Charlotte, N.C. 28217 (704) 357-1099 / (704) 423-0393 / www.wealthplanfinancial.com	48	16 19	John Lowery	100 — —	1912
9	*13	Southeast Investments N.C. Inc. 820 Tyvola Road, Suite 104, Charlotte, N.C. 28217 (704) 527-7873 / (704) 527-2166 / —	46	16 10	Frank Black	100 — —	1990
10	6	UBS Financial Services 401 S. Tryon St., Suite 2500, Charlotte, N.C. 28202 (704) 362-8200 / (704) 362-8210 / www.ubs.com	44	30 3	Michael Williams	90 10 —	1973
11	*10	Vanguard Group 2525 Water Ridge Parkway, Charlotte, N.C. 28217-4544 (704) 306-6136 / (704) 306-6620 / www.vanguard.com	40	10 1	Brad Sacco	WND WND WND	2000
*12	12	Hinrichs Flanagan Financial 6101 Carnegie Blvd., Suite 400, Charlotte, N.C. 28209-4653 (704) 557-9632 / (704) 557-9670 / www.hinrichsflanagan.com	39	22 5	Timothy Flanagan Jr.	WND WND WND	1935
*12	*13	National Financial Services Group 9335 Harris Corners Parkway, Suite 175, Charlotte, N.C. 28269 (704) 343-3011 / (704) 332-7540 / www.nationalfinancialservicesgroup.com	39	9 6	Tony Campagna	80 — 20	1999
14	NR	Morgan Stanley 6805 Morrison Blvd., Suite 400, Charlotte, N.C. 28202-1992 (704) 442-3400 / (704) 442-3453 / www.morganstanley.com	33	22 3	Robert Hatala, Janet Bial, Ron Foster	WND WND WND	1972
*15	17	Morgan Keegan & Co. 6805 Morrison Blvd., Suite 350, Charlotte, N.C. 28211 (704) 442-4700 / (704) 362-1839 / www.morgankeegan.com	30	13 1	Ed Ferguson, Clay Young	100 — —	1999
*15	16	The Teague Group 5821 Fairview Road, Suite 304, Charlotte, N.C. 28270 (704) 554-6404 / (704) 554-6536 / www.theteaguegroup.com	30	8 6	Barry Teague, Sonda Fattini	WND WND WND	1977
17	NR	Capital Investment Cos. 5950 Fairview Road, Suite 500, Charlotte, N.C. 28210 (704) 556-0115 / (704) 556-0324 / www.cico.us	25	12 21	Richard Bryant	100 — —	1984