



Corporate Staff

RANK 2009	RANK 2008	COMPANY	FULL-TIME STAFF	LICENSED PROFESSIONALS	REGISTERED OFFICES	OSJs	RECRUITERS	COMPLIANCE PRO- FESSIONALS
2	2	Raymond James Financial Services	2,370	891	2,367	1,447	14	92
1	1	LPL Financial	2,268	746	6,687	3,758	0	259
6	8	Northwestern Mutual ¹	494	666	1,093	88		94
5	4	Securities America	491	196	1,210	317	14	91
4	5	Commonwealth Financial Network	431	170	1,029	107	6	30
21	17	Waddell & Reed	417	0	477	282	12	26
17	15	H.D. Vest Financial Services	305	126	1	1	9	38
20	16	Cambridge Investment Research	302	99	877	266	17	38
10	7	SagePoint Financial ²	298	157	1,247	442	4	49
12		Mass Mutual Investor Services	256		1,573	97		
7	6	Royal Alliance Associates	255	90	1,002	274	4	41
16	13	Woodbury Financial Services	250		1,253	44	51	28
22	23	UVEST	229	173	1,287	16	0	49
24	20	First Allied Securities	223	103	557	291	7	48
26		PRIMEVEST Financial Services	222	83	1,810	53	1	16
29	22	NYLIFE Securities	220	80	131	131	479	105
11		Financial Ntwk. Investment Corp.	220	129	1,238	210	2	31
9	9	NFP Securities	196	123	727	72	3	39
13	10	FSC Securities Corp.	185	108	693	269	4	43
27	21	Signator Investors	184		270	59	58	17
18	14	ING Financial Partners	170	170	1,949	153	2	24
19	18	National Planning Corp.	168	30	1,079	253	2	30
30	25	INVEST Financial Corp.	157	74	1,410	129	2	48
39	34	Ameritas Investment Corp.	143	478	744	65	1	17
23	36	Securian Financial Services	130	85	252	56	4	24
33	35	NEXT Financial Group	130	46	931	183	10	15
28	19	Mutual Service Corp.	125	38	690	174	0	20
37	32	Park Avenue Securities	121	70	390	62		27
31	24	Multi-Financial Securities Corp.	120	105	567	177	2	19
34	30	Cadaret, Grant & Co.	117	30	523	267	2	11
40	37	ProEquities	111	52	695	43	1	16
38	33	Genworth Financial Securities Corp.	100	64	1,674	5	4	11
44	40	Sigma Financial Corp.	100	32	430	1	5	25
41	38	VSR Financial Services	85	56	212	5	3	8
47	46	CFG/H. Beck	78	33	499	42	4	9
42	39	Investors Capital Corp.	77	34	484	69	4	16
15	11	Princor Financial Services	73	50	1,042	114	6	21
14	12	Wachovia Securities Financial Network	70	0	353	353	15	24
36	31	SII Investments	67	38	340	112	3	35
46	49	American Portfolio Fin. Services	56	22	289	78	2	8
43	42	Securities Service Network	52	24	230	74	2	9
45	41	Centaurus Financial	50	16	314	165	3	12
32	28	M Holdings Securities	50	41	125	42	3	5
3	3	AXA Advisors	47	252	1,610	95	5	35
49	48	Geneos Wealth Management	44	19	172	74	1	8
50	45	Waterstone Financial Group	41	17	362	15	0	6
35		Walnut Street Securities			467	150	1	20
48		National Securities Corp.						
25		New England Securities			583	62		
8		MetLife Securities			1,100	185		

¹ Assets represent programs of Northwestern Mutual Wealth Management Co. and Investment Services
² Formerly AIG Financial Advisors