

SAN DIEGO BUSINESS JOURNAL

SECURITIES DEALERS

Ranked by number of local registered brokers as of May 1, 2011

Rank (last year)	Company Address Website	Telephone Fax	Number of: •local registered brokers ⁽¹⁾ •full-time employees	Number of: •registered brokers companywide •states licensed in	Number of offices: •San Diego County •Companywide	Products offered by percentage of total business						Services offered						•Local executive(s) •Title(s)	Year established locally
						Stocks/bonds	Business insurance	Variable annuities	Mutual funds	Partnerships	Other	Asset management	Real estate syndication	Financial planning	Underwriting	General securities	Other		
1 (1)	Wells Fargo Advisors LLC 600 W. Broadway, #1450, San Diego 92101 www.wellsfargoadvisors.com	619-702-5656 619-531-1880	243 396	15,200 50	28 5,381	50	0	15	15	0	20	Y	N	Y	Y	Y	Y	Terry Chase Southern Pacific regional president Michael Barnes managing director San Diego market manager	1852
2 (2)	Merrill Lynch & Co. Inc. 701 B St., #2400, San Diego 92101 www.ml.com	619-699-3700 619-739-4206	172 wnd	15,500 50	8 741	wnd	wnd	wnd	wnd	wnd	wnd	Y	N	Y	Y	Y	Y	Mark Albers complex director Joseph Holsinger regional managing director	1949
3 (3)	Independent Financial Group LLC 12636 High Bluff Drive, #100, San Diego 92130 www.ifgsd.com	858-436-3180 858-481-9033	136 37	400 50	39 250	5	5	31	15	7	37	Y	N	Y	N	Y	Y	Scott Heising CFO, managing director	2003
4 (6)	First Allied Securities Inc. 655 W. Broadway, 11th floor, San Diego 92101 www.firstallied.com	619-702-9600 619-881-1940	56 276	899 50	11 570	24	3	24	13	0	36	Y	Y ⁽²⁾	Y	Y	Y	Y	Adam Antoniadis president	1996
5 (7)	Ameriprise Financial Inc. 8910 University Center Lane, #200, San Diego 92122 www.ameriprise.com	858-795-2381 858-795-2330	33 33	11,000 50	2 wnd	50	10	10	10	0	20	Y	N	Y	Y	Y	Y	Joseph DeFalco area manager	1962
6 (NR)	Crown Capital Securities LP 10636 Scripps Summit Court, #141, San Diego 92131 www.wealthgurus.com	858-549-9842 866-374-5019	17 wnd	310 50	9 147	10	10	30	20	15	15	Y	Y	Y	N	Y	Y	Gary A. Glockzin branch manager	1999
7 (NR)	Private Portfolio of San Diego Inc. 7534 La Jolla Blvd., La Jolla 92037 www.privateportfolio.com	858-551-2071 858-551-2071	16 wnd	16 wnd	wnd wnd	wnd	wnd	wnd	wnd	wnd	wnd	Y	N	N	N	Y	N	NA ⁽³⁾	wnd
8 (NR)	RJL Wealth Management 13520 Evening Creek Drive N., #300, San Diego 92128 www.rjlwm.com	800-644-1150 858-726-0792	13 100	28 50	1 15	28	0	15	20	0	37	Y	N	Y	N	Y	Y	Raymond J. Lucia Jr. Brent Rivard president	1973
9 (9)	Caris & Co. Inc. 12671 High Bluff Drive, #350, San Diego 92130 www.cariscompany.com	858-704-0300 858-704-0320	12 65	63 50	1 7	100	0	0	0	0	0	N	N	N	Y	Y	Y	Darren Caris CEO	2002
10 (11)	The Securities Center Inc. 245 E St., Chula Vista 91910 www.securitiescenter.com	619-426-3550 619-426-3623	8 3	8 19	2 2	82	2	8	8	0	0	Y	N	Y	N	Y	Y	James Biddle president, CEO	1984
11 (NR)	Integrity Brokerage Services Inc. 1122 Vista Way, Oceanside 92054 www.integrity-brokerage.com	760-231-8448 760-231-8428	8 1	8 wnd	1 1	100	0	0	0	0	0	Y	N	N	N	Y	N	wnd	wnd
12 (12)	Centara Capital Securities Inc. 4747 Executive Drive, #450, San Diego 92121 www.centaracapital.com	619-398-1700 619-398-1717	8 wnd	8 6	1 1	0	0	54	8	0	38	Y	Y	Y	N	Y	Y	Derek Myron Eduardo Lombardi managing directors	2003
13 (13)	World Trade Financial Corp. 2010 Hancock St., San Diego 92110 www.worldtradefinancial.com	619-325-2620 619-325-2630	7 9	8 47	1 2	100	0	0	0	0	0	Y	N	N	N	Y	Y	Rod P. Michel president	1996
14 (16)	Haynes Financial Group⁽⁴⁾ 875 Prospect St., #303, La Jolla 92037 www.haynesfinancialgroup.com	858-777-3901 858-456-4762	5 2	wnd 49	1 20	40	0	20	0	20	20	Y	Y	Y	N	Y	Y	Jan Earl Haynes manager	1976
15 (15)	Nelson Securities Inc. 6540 Lusk Blvd., Suite C162, San Diego 92121 www.nelson-securities.com	858-362-3200 858-362-3203	4 5	12 49	1 3	10	0	20	30	0	40	Y	N	Y	N	Y	Y	Robert O. Nelson Jr. senior vice president	1996
16 (4)	Cuso Financial Services LP 10455 Sorrento Valley Road, #210, San Diego 92121 www.cusonet.com	858-530-4400 858-530-1929	1 78	350 50	11 460	3	5	51	15	1	25	Y	N	Y	N	Y	Y	Valorie Seyfert president, CEO	1997

In case of a tie, firms are ranked by number of full-time employees.
(NR) Not ranked
wnd Would not disclose
NA Not applicable
Source: The firms.
Notes: 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 to the Research Department at the

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⁽¹⁾ Number includes licensed independent contractors.
⁽²⁾ Registered public only, no private syndication.
⁽³⁾ Private Portfolio of San Diego Inc., is a consortium of independent investment professionals.
⁽⁴⁾ Listed last year as National Securities.

Researched by Stephanie R. Glidden and Daina Yousif