

# FINANCIAL SERVICES/BROKERAGE FIRMS

RANKED BY NUMBER OF LICENSED BROKERS IN WESTERN MASS.

	COMPANY	LICENSED BROKERS IN W.MASS.	BRANCH MANAGER	SERVICES
1	<b>NORTHWESTERN MUTUAL FINANCIAL NETWORK/ THE ZUZOLO GROUP</b> 29 South Main St., West Hartford, CT 06107 (Local offices in Greenfield, Northampton and Springfield) (413) 748-6000; Fax: (413) 788-5796; www.thezuzolofinancialgroup.nmfn.com	125	Kathleen Kane (Springfield Office)	Private client services, brokerage services, advisory services, annuities, life insurance, disability income, long-term care, employee benefits; investment; trust services
2	<b>CHARTER OAK INSURANCE &amp; FINANCIAL SERVICES CO.</b> 330 Whitney Ave., Suite 600, Holyoke, MA 01040 (413) 539-2000; Fax: (413) 539-2300; www.charter oakfinancial.com	80	Peter Novak	Personal and life insurance; employee benefits; investments
3	<b>MORGAN STANLEY SMITH BARNEY</b> 1500 Main St., 19th Floor, Springfield, MA 01115 (413) 734-7311; Fax: (413) 736-0361; www.morganstanleysmithbarney.com	51	Brett Singer	Products for individuals, businesses, and institutions include brokerage and investment-advisory services, financial and wealth planning, credit and lending, cash management, annuities and insurance, retirement, and trust; specialized financial services to ultra-high-net-worth individuals through Morgan Stanley Smith Barney Private Wealth Management
4	<b>MERRILL LYNCH</b> 1 Monarch Place, Suite 2300, Springfield, MA 01144 (413) 747-6900; Fax: (413) 241-7046; www.fc.ml.com	25	David Lusteg	Brokerage, personal credit, insurance, home-financing, trust, and business-financing services; retirement and group employee benefits
5	<b>UBS FINANCIAL SERVICES</b> 1 Monarch Place, Suite 1400, Springfield, MA 01144 (413) 785-4900; Fax: (413) 785-1058; www.ubs.com	21	George Keady	Full-service wealth management firm catering to high-net-worth individuals; cash, portfolio management; \$2.3 billion in assets under management locally
6	<b>GAUDREAU GROUP INC. INSURANCE AND FINANCIAL SERVICES</b> 1984 Boston Road, P.O. Box 369, Wilbraham, MA 01095 (413) 543-3534; Fax: (413) 543-4153; www.gaudreaugroup.com	20	Jules Gaudreau Jr	Commercial, personal, life insurance; employee benefits; financial Services; long-term care; estate planning; buy-sell funding; key-executive compensation
7	<b>NEW ENGLAND FINANCIAL GROUP, LLC</b> 17 North Main St., West Hartford, CT 06107 (860) 521-2250; Fax: (860) 521-2214; www.nefghartford.com	15	James Marlor Jr.	Family protection; wealth accumulation and distribution strategies; business-continuation planning; tax-qualified retirement plans; employee benefit plans; executive benefit plans
8	<b>EDWARD JONES</b> 1593 Northampton St., Holyoke, MA 01040 (413) 533-4686; Fax: (888) 409-4513; www.edwardjones.com	14	John McAndrew	Full-service investment firm focused on serving serious, long-term individual investors in communities where they live and work; embraces the importance of building long-term, face-to-face relationships with clients, helping them understand the investment options available today, including life and long-term care insurance; employee-owned with more than 12,000 branches in 50 states
8	<b>STIFEL NICOLAUS</b> 171 Dwight Road, Longmeadow, MA 01106 (413) 565-8100; Fax: (413) 565-8150; www.stifel.com	14	Michael Ramella	Full-service investment advice by the 6th-largest investment firm in the country with 310 offices and 1,900 registered advisors in 46 states
10	<b>AYRE INVESTMENTS</b> 648 Main St., Agawam, MA 01001 (413) 786-2084; www.ayretrade.com	7	Tim Ayre	Stocks; bonds; mutual funds; trust accounts; estate planning; tax-free income; online trading; money management; insurance; retirement plans; investment banking; CDs and money markets; annuities
11	<b>WELLS FARGO ADVISORS</b> 1350 Main St., Suite 38, Springfield, MA 01103 (413) 788-6111; Fax: (413) 739-1526; www.wellsfargoadvisors.com	8	Mark Teed	Full-service brokerage firm; stocks, bonds, annuities, mutual funds, and insurance products; managed accounts; financial planning
12	<b>ST. GERMAIN INVESTMENT MANAGEMENT</b> 1500 Main St., 25th Floor, Springfield, MA 01115 (413) 733-5111; Fax: (413) 747-0848; www.stgermaininvestments.com	7	Paul Valickus	Full-service investment management
13	<b>FIRST NIAGARA PRIVATE CLIENT SERVICES</b> 225 Park Ave., 4th Floor, West Springfield, MA 01089 (413) 747-1432; www.fnfg.com	4	Michelle Hagan	Full-service wealth, investment, and fiduciary services
13	<b>RAYMOND JAMES FINANCIAL SERVICES</b> 20 Hampton Ave., Suite 140, Northampton, MA 01060 (413) 584-9988; Fax: (413) 584-9955; www.raymondjames.com	4	Paul Aquila	Financial planning firm specializing in stocks, bonds, and mutual funds

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15	<b>ONE SOURCE FINANCIAL GROUP INC.</b> 270 Benton Dr., East Longmeadow, MA 01028 (413) 759-0000; Fax: (413) 525-2494; www.osfgroup.com	3	Robert Berriman	Investment programs; retirement-plan services; full plan administration services; business planning; employee benefits
16	<b>BRP/GRENIER FINANCIAL SERVICES</b> 1441 Main St., Suite 810, Springfield, MA 01103 (413) 736-6712; Fax: (413) 731-7268; www.brpgrenier.com	2	Patricia Grenier	Full-service financial planning and investments with emphasis on managing life-changing events
16	<b>METLIFE FINANCIAL GROUP OF MASSACHUSETTS</b> 330 Whitney Ave., Suite 305, Holyoke, MA 01040 (413) 552-0000; Fax: (413) 536-2873; www.mfgmass.com	2	Joseph Scalia	Personal, life, disability, long-term care, property, casualty insurance; investments
16	<b>PENSION &amp; BENEFITS ASSOCIATES</b> 131 Wayside Ave., West Springfield, MA 01089 (413) 732-6773; Fax: (413) 731-1277	2	Mark Shea	Retirement plan management and administration
16	<b>PRIVATE FINANCIAL DESIGN, LLC</b> 87 Willimansett St., South Hadley, MA 01075 (413) 552-3669; Fax: (413) 552-3436; www.privatefinancialdesign.com	2	Andrew Beaudry	Fee-based financial planning for retirement and estate planning; fee-based investment planning for wrap investment programs; portfolios by design; separate accounts; private money managers
20	<b>CORRIDAN &amp; CO.</b> 521 Grattan St., Chicopee, MA 01020 (413) 315-8220	1	Brian Corridan	Full-service brokerage firm specializing in stocks, bonds, mutual funds, and other investment products
20	<b>DELISO FINANCIAL AND INSURANCE SERVICES</b> 540 Meadow St., Suite 108, Agawam, MA 01001 (413) 785-1100; Fax: (413) 746-4626; www.delisofinancialservices.com	1	Jean Deliso	Life, annuity, long-term care, disability insurance; employee benefits
20	<b>EPSTEIN FINANCIAL GROUP</b> 330 Whitney Ave., Suite 610, Holyoke, MA 01040 (877) 932-6236; Fax: (413) 536-2762; www.epsteinfinancial.com	1	Charles Epstein	Life, disability, annuity insurance; investments; 401(k)
20	<b>HORIZON INVESTMENT MANAGEMENT GROUP</b> 200 North Main St., Suite 3, East Longmeadow, MA 01028 (413) 525-3210; Fax: (413) 525-2290; www.horizonimg.com	1	Ronald Briggs	Full-service brokerage firm, specializing in portfolio management and asset-allocation strategies