FINANCIAL SERVICES/BROKERAGE FIRMS

RANKED BY NUMBER OF LICENSED BROKERS IN WESTERN MASS.

	COMPANY	LICENSED BROKERS IN W.MASS.	BRANCH MANAGER	SERVICES
1	**CHARTER OAK FINANCIAL** 330 Whitney Ave., Suite 600, Holyoke, MA 01040 (413) 539-2000; www.charteroakfinancial.com	72	Brendan Naughton	Risk management (including life insurance, disability income insurance, and long-term-care insurance); business planning and protection; retirement planning and investments; fee-based financial planning
2	**NORTHWESTERN MUTUAL / THE PIZZUTI GROUP** 29 South Main St., West Hartford, CT 06107 (413) 748-6000; www.thezuzolofinancialgroup.nmfn.com	30	N/A	Private client services; brokerage services; advisory services; annuities; life insurance; disability income; long-term care; employee benefits; local offices in Greenfield, Northampton, and Springfield
3	**BAYSTATE FINANCIAL** 330 Whitney Ave., Suite 305, Holyoke, MA 01040 (413) 322-1147; www.baystatefinancial.com	28	Daniel Goggins	Life insurance; short- and long-term disability; insurance; annuities; investments; workplace financial education; long-term care insurance; personal lines property and casualty insurance
4	**MERRILL LYNCH** One Monarch Place, Suite 2300, Springfield, MA 01144 (413) 747-6900; www.fa.ml.com	25	David Lusteg	Brokerage; personal credit; insurance; home-financing, trust, and business-financing services; retirement and group employee benefits; investment management; financial planning
5	**MORGAN STANLEY** 1500 Main St., 19th Floor, Springfield, MA 01115 (413) 734-7311; www.morganstanley.com	20	John Carty	Brokerage and investment-advisory services; financial and wealth planning; credit and lending; cash management; annuities and insurance; retirement; trust
5	**PEOPLE'S SECURITIES INC., A SUBSIDIARY OF PEOPLE'S UNITED BANK** 1391 Main St., 3rd Floor, Springfield, MA 01103 (800) 392-3009; www.psi.peoples.com	20	Mary Couture	Financial guidance; investment planning; retirement planning; income planning; managed portfolios; annuities; life insurance; long-term care
5	**UBS FINANCIAL SERVICES** One Monarch Place, Suite 1400, Springfield, MA 01144 (413) 785-4900; www.ubs.com	20	Gabriel D'Amica	Full-service brokerage firm catering to ultra-high-net-worth and high-net-worth individuals; providing wealth management starting with plan
8	**RAYMOND JAMES** 1500 Main St., 17th Floor, Springfield, MA 01115 (413) 372-6600; www.raymondjames.com	15	Mark Teed	Full-service investment management; financial planning; advisory services
9	**CHASE, CLARK, STEWART AND FONTANA** 101 State St., 8th Floor, Springfield, MA 01102 (413) 788-4531; www.chaseins.com	11	Raymond Lukas	Personal; commercial; life; financial services; retirement planning; employee benefits
10	**STIFEL** 167 Dwight Road, Suite 301, Longmeadow, MA 01106 (413) 565-8100; www.stifel.com	10	William Hadden III	National, regional broker dealer; full-service investment advice; 400 offices worldwide
11	**ST. GERMAIN INVESTMENT MANAGEMENT** 1500 Main St., 25th Floor, Springfield, MA 01115 (413) 733-5111; www.stgermaininvestments.com	9	Michael Matty	Full-service investment management; financial, estate, and succession planning; wealth management
12	**GAGE-WILEY & CO. INC.** 120 King St., Northampton, MA 01060 (413) 584-9121; www.gagewiley.com	8	Christopher Milne	Comprehensive wealth management; independent brokerage and investment-advisory services; retirement, estate, and financial planning; life and long-term-care insurance
12	**PV FINANCIAL GROUP** 535 East St., Ludlow, MA 01056; (413) 589-1500 1252 Elm St., Suite 28, West Springfield, MA 01089; (413) 363-9265 www.pvfinancial.com	8	Edward Sokolowski	Independent financial services, wealth management and consulting firm; retirement planning; stock and bond trading; mutual funds; real-estate investment trusts; alternative investments; fixed and variable annuities; 401(k) plans and rollovers; 403(b) plans; Roth and traditional IRAs; rollovers from qualified plans; insurance (life, home, casualty, long-term care); estate-planning services
12	**WEST BRANCH CAPITAL LLC AND ITS DIVISION, SINGER POTITO ASSOCIATES** 9 Research Dr., Suite 1, Amherst, MA 01004 (413) 256-1225; www.westbranchcapital.com	8	Ayaz Mahmud	Fee-only, SEC-registered investment advisers; conservative investment manager; retirement and financial planners without commissions
15	**DOWD FINANCIAL SERVICES** 14 Bobala Road, Holyoke, MA 01040 (413) 538-7444; www.dowd.com	5	Jon Lumbra	Employee benefits (group health, dental, disability, and life); 401(k) (multi-vendor platforms); buy-sell funding; non-qualified key-executive deferred compensation; for individuals: investment-advisory and brokerage services; annuities and insurance; wealth and estate planning; long-term care
15	**HART PATTERSON FINANCIAL GROUP** 19 Research Dr., Amherst, MA 01002; (413) 253-9454 136 West St., Suite 106, Northampton, MA 01060; (413) 585-0100 www.hartpatterson.com	5	Vikki Lenhart	Investment management; retirement planning; insurance; charitable planning
15	**THE WEALTH TECHNOLOGY GROUP** 130 Southampton Road, Westfield, MA 01085 (800) 266-6793; www.wealthtechnology.com	5	Gary Thomas	Specializes in helping clients implement tax and investment strategies for their secure retirement, asset protection, and legacy planning; Gary Thomas is a tax lawyer and an independent financial advisor who maintains a fiduciary standard
18	**THE NATHAN AGENCIES/AMHERST FINANCIAL SERVICES** 20 Gatehouse Road, Amherst, MA 01002 (413) 253-5555; www.nathanagencies.com	4	Christian Sulmasy	Comprehensive financial and retirement planning; wealth management and investments including ESG and SRI; life, disability, long-term-care, and health insurance; college savings
18	**RENAISSANCE INVESTMENT GROUP, LLC** 55 Pittsfield Road, Suite 1-A, Lenox, MA 01240 (413) 445-2481; www.rigllc.com	4	Trevor Forbes	SEC-registered independent investment advisory firm; highly personalized investment and financial counseling to individuals, families, foundations, endowments, and executive pension plans; investment in individual equities and bonds; customized portfolios (ESG/SRI options available); estate and tax planning; comprehensive wealth-management services
18	**WELLS FARGO ADVISORS** 1350 Main St., Springfield, MA 01103 (413) 788-6111; www.wellsfargoadvisors.com	4	Thomas Manzi	Full-service brokerage firm; stocks, bonds, annuities, mutual funds, and insurance products; fee-based advisory accounts and financial planning
21	**BALANCE ROCK INVESTMENT GROUP** 378 South St., Pittsfield, MA 01201 (413) 442-8190; www.balance-rock.com	3	Dave Milligan	Full-service investment firm focusing on asset-management and retirement-income planning for individual investors and small businesses
21	**BERKSHIREBANC INVESTMENT SERVICES** 66 West St., Pittsfield, MA 01201 (413) 236-3166; www.berkshirebancinvestment.com	3	Kevin O'Donnell	Stocks; bonds; wealth management; managed money; insurance; annuities; college planning; long-term insurance; 401 (k); financial planning
21	**GSB INVESTMENTS & INSURANCE** 400 Main St., Greenfield, MA 01301 108 North Pleasant St., Amherst, MA 01002 (413) 775-8230; www.greenfieldsavings.com	3	Matthew Sheridan	Comprehensive financial planning; investment and retirement planning; college planning; annuities; stocks and bonds; life and long-term-care insurance

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21	**ODYSSEY WEALTH MANAGEMENT GROUP, LLC** 175 State St., Suite 2B, Belchertown, MA 01007 (413) 213-0748; www.odysseywealthmgt.com	3	Wayne Proulx	Comprehensive financial planning and wealth management for individuals and small businesses; brokerage and investment-advisory services; financial planning; retirement income planning; college planning; estate planning; stocks; bonds; life insurance; mutual funds; annuities; long-term care; alternative investments; employee benefits; 401(k) plans; SIMPLE, SEP, traditional, and Roth IRAs; rollovers from qualified plans; offices in Belchertown and East Brookfield
21	**PRIVATE FINANCIAL DESIGN LLC** 87 Willimansett St., South Hadley, MA 01075 (413) 552-3669; www.privatefinancialdesign.com	3	Andrew Beaudry	Fee-based retirement and estate planning for businesses and individuals; investment planning for wrap investment programs; portfolios by design; separate accounts; private money managers
21	**STREETLIGHT FINANCIAL, LLC** 8 Main St., Florence, MA 01062 (413) 848-6020; www.streetlightfinancial.com	3	Aaron Smith Mark Vaclavicek	Full-service individual and/or business strategies; life insurance, short- and long-term disability insurance; annuities; investments; family protection; employee benefits; executive benefit strategies; retirement-income strategies, wealth-management strategies
21	**THE WEALTH TRANSITION COLLECTIVE** 140 Main St., Suite 400, Northampton, MA 01060 (413) 584-1805; www.twealthtc.com	3	Jean Kelley Joe Malmborg Greg Sheehan	Value-based, comprehensive financial services; financial planning
28	**ACCARDI FINANCIAL GROUP** 85 Post Office Park, Wilbraham, MA 01095 (413) 596-5700; www.accardifinancialgroup.com	2	Joe Accardi	Investment review; retirement investing; bucket strategy
28	**BRP/GRENIER FINANCIAL SERVICES** One Monarch Place, Suite 810, Springfield, MA 01115 (413) 736-6712; www.brpgrenier.com	2	Patricia Grenier	Full-service financial planning and investments with emphasis on managing life-changing events
28	**CURRAN AND KEEGAN FINANCIAL** 48 Round Hill Road, Suite 2, Northampton, MA 01060 (413) 570-4188; www.currankeegan.com	2	Karen Curran Molly Keegan	Independent financial guidance and planning
28	**DAVIS FINANCIAL GROUP** 10 Bay Road, Hadley, MA 01035 (413) 584-3098; www.davisfinancialgrp.com	2	Lou Davis	Comprehensive, fee-based financial planning; wealth management; retirement savings and income strategies; college savings; life, disability, and long-term-care insurance for individuals, families, and business owners; investments
28	**DELISO FINANCIAL AND INSURANCE SERVICES** 540 Meadow St. Ext., Suite 108, Agawam, MA 01001 (413) 785-1100; www.delisofinancialservices.com	2	Jean Deliso	Comprehensive financial planning and investments; retirement, business, and estate planning offering life, annuities, disability, long-term care, corporate benefit plans, 401(k) plans, Simple IRAs, and fee-for-service
28	**ESB FINANCIAL SERVICES** 36 Main St., Easthampton, MA 01027 (413) 529-1901; www.investwithesb.com	2	Kristine Koczajowski	Mutual funds; variable and fixed annuities; disability, long-term, and life insurance; fee-based accounts
28	**FCU INVESTMENT SERVICES** 1976 Main St., Springfield, MA 01103 (413) 505-5724; www.freedom.coop	2	Jack Vadnais	Financial planning; estate planning; college savings plans; custodial accounts; mutual funds and annuities; long-term-care and disability-income insurance; life insurance
28	**FOLEY CONNELLY FINANCIAL PARTNERS** 37 Elm St., West Springfield, MA 01089 (413) 214-7474; www.foleyconnelly.com	2	Chris Connelly	Financial, retirement, and estate planning; investments and insurance; employee benefits
28	**FSB FINANCIAL GROUP** 85 Main St., Florence, MA 01062 (413) 587-1786; www.fsbfg.com	2	John Ernst Nicole Domnarski Adam Kittridge	Estate planning; risk management; business planning; taxation; retirement planning; accummulation
28	**HAVICAN WEALTH STRATEGIES** 95 Post Office Park, Wilbraham, MA 01095 (413) 596-8803; www.havicanwealthstrategies.com	2	Richard Havican	Risk planning; retirement planning; charitable planning; estate planning; tax planning; social security and medicare planning
28	**HORIZON INVESTMENT MANAGEMENT GROUP** 10 Crane Ave., East Longmeadow, MA 01028 (413) 525-3210; www.horizonimg.com	2	Ronald Briggs	Full-service brokerage firm, specializing in portfolio management and asset-allocation strategies
28	**KEY INVESTMENT SERVICES, KEYBANK N.A.** 225 Park Ave., West Springfield, MA 01080 (413) 747-1485; www.key.com	2	Carole Ibsen	Full-service wealth, investment, fiduciary services
28	**ONE SOURCE FINANCIAL GROUP INC.** P.O. Box 730, Suffield, CT 06078 (413) 759-0000; www.osfgroup.com	2	Robert Berriman	Investment programs; retirement-plan services; full-plan administration services; business planning; employee benefits
28	**PENSION & BENEFITS ASSOCIATES INC.** 131 Wayside Ave., West Springfield, MA 01089 (413) 732-6773; www.pensionandbenefits.com	2	Mark Shea	Retirement-plan management; employee benefits; wealth management
28	**PEOPLESWEALTH ADVISORY GROUP** (formerly PeoplesFinancial and Insurance Services) 330 Whitney Ave., Holyoke, MA 01040 (413) 493-8655; www.bankatpeoples.com	2	Kevin Manghan Jarrod Liebel	Full-service financial planning; retirement and estate planning
28	**PIERCE & HAYES FINANCIAL ADVISORS** 226 Russell St., Suite A, Hadley, MA 01035 (413) 376-4697; www.ameripriseadvisors.com/philip.hayes	2	Philip Hayes	Full-service retirement and financial-planning practice, supporting families on their financial journeys
28	**PRIVATE WEALTH MANAGEMENT GROUP** 1350 Main St., Suite 1008, Springfield, MA 01103 (413) 304-2690; ww.pwmgllc.com	2	Lou Curto	Investment management; financial and estate-planning services; business and individual retirement plans
28	**RENAISSANCE ADVISORY SERVICES, LLC** 733 Chapin St., Suite 202, Ludlow, MA 01056 (413) 589-1400; www.renadvisorysvcs.com	2	Werner Maiwald	Independent advisory services; portfolio management; retirement planning; risk management services; pension services; income distribution services; fixed income accounts
28	**ROBERT L. STERN FINANCIAL SERVICES** 433 West St., Suite 7, Amherst, MA 01002 (413) 253-8989; www.rlsternfinancial.com	2	Nicholas Stern	Risk management; business planning; taxation; retirement planning; accummulation; wealth management

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28	**SEELEY CAPITAL** 1500 Main St., Suite 1502, Springfield, MA 01115 (413) 739-0101; www.seeleycapital.com	2	Wil Nicholson	Cash management and investments; retired planning and 401(k)s; stocks; bonds; mutual funds; 529 college savings plan; insurance and annuities; trust services; comprehensive settlement valuation; mediation support; personalized needs analysis and structured settlement design; term life insurance; permanent life insurance; care insurance
28	**TROMBLEY ASSOCIATES INVESTMENT & RETIREMENT PLANNING** 85 Post Office Park, Suite 8524, Wilbraham, MA 01095 (413) 596-6992; www.trombleyassociates.com	2	Michael Trombley	Full service financial planning and investments; 401k plans; annuities; insurance
49	**AMERIPRISE FINANCIAL** 75 Post Office Park, Suite 5, Wilbraham, MA 01095 (413) 599-1775; www.ameripriseadvisors.com	1	Brian Costello	Estate planning; tax planning; retirement planning
49	**CORRIDAN & CO.** 521 Grattan St., Chicopee, MA 01020 (413) 315-8220	1	Brian Corridan	Full-service brokerage firm specializing in stocks, bonds, mutual funds, IRAs, 401(k) rollovers
49	**EPSTEIN FINANCIAL SERVICES** 12 Somers Road, East Longmeadow, MA 01028 (413) 224-3606; www.epsteinfinancial.com	1	Charles Epstein	Family CFO solutions; retirement, estate, and trust planning; corporate 401(k); benefits plans; rollovers and employee education; life, disability, and long-term-care insurance; annuities; investments; fee-for-service
49	**KATHLEEN COLLINS WEALTH MANAGEMENT** 150 Main St., Suite 16, Northampton, MA 01060 (413) 727-8764; www.kcollinswealth.com	1	Kathleen Collins	Investment management; retirement planning; estate planning; risk management; asset protection; life insurance; college planning
49	**INFINEX INVESTMENTS AT MONSON SAVINGS BANK** 146 Main St., Monson, MA 01057 (413) 267-1342; www.monsonsavings.bank	1	Paul R. Vegiard	Financial planning and investments; annuities; structured CDs; mutual fund; stocks; bonds; life insurance; long-term care insurance; disability insurance; 529 plans; employer-sponsored retirement plans
49	**MARTINELLI PORTFOLIO MANAGEMENT INC.** 1441 Main St., Suite 905, Springfield, MA 01103 (413) 317-7274; www.martinelliportfolios.com	1	Gary Martinelli	Designs and manages investment portfolios for individuals and families and their retirement plans, trusts, and small-business entities
49	**MOORS & CABOT INC.** One Financial Plaza, 1350 Main St., Suite 1510, Springfield, MA 01103 (413) 733-5232; www.moorscabot.com	1	James Vinick	Full-service wealth management firm; financial planning; stocks; bonds; life insurance; retirement planning; mutual funds; annuities; other insurance products; private consulting
49	**PNCU FINANCIAL SERVICES** 46 Main St., Chicopee, MA 01020 2002 Boston Road, Wilbraham, MA 01095 (413) 333-5047; www.pncu.com	1	Christopher Casale	Retirement; financial planning; college education; life and long-term-care insurance; mutual funds; stocks, bonds, and annuities