



# CLIENTS & ACCOUNTS

RANK 2007	RANK 2006 <sup>1</sup>	COMPANY	TOTAL ACCOUNT ASSETS		ASSET BREAKOUT				ACTIVE ACCOUNTS		QUALIFIED ACCOUNTS
			\$000s	% CHANGE	<\$50K	\$50- \$99K	\$100K- \$249K	>\$250K	NUMBER	% CHANGE	
1	1	LPL Financial	158,622,128	25.9					2,743,889	13.8	22
2	2	Raymond James Financial Services	126,900,204	8.8					1,125,009	4.6	38
6	5	Royal Alliance Associates	61,219,426	26.3					594,420	9.3	
10	10	FSC Securities Corp./Advantage Cap. Corp.	47,948,319	58.0					420,941	25.7	
9	8	NFP Securities	40,526,856	25.6					369,721	20.1	64
7	9	AIG Fin. Advisors/American Gen. Sec.	39,155,490	24.1					617,312	48.5	
17	11	Waddell & Reed	34,562,000	15.6					2,693,936	7.9	58
5	7	Commonwealth Financial Network	31,404,386	13.4					237,929	12.1	56
16	17	Cambridge Investment Research	31,000,000	25.1							
8	6	Northwestern Mutual	30,013,330	15.8					273,986	5.7	60
15	12	H.D. Vest Financial Services	29,551,534	8.6					1,495,713	(3.2)	60
12	39	Wachovia Sec. Financial Network	28,910,000	25.7					0		0
19	14	Mutual Service Corp.	27,666,939						70,014		
3	3	AXA Advisors	25,100,000	10.1					167,138	25.7	51
4	4	Securities America	23,596,541	15.1					181,139	7.7	58
14	15	ING Financial Partners	22,000,000	8.2					574,196	2.5 <sup>2</sup>	
24	22	Multi-Financial Securities Corp.	18,300,000	10.3					349,109	431.4	
26	23	InterSecurities	16,048,000	5.7					586,000	(20.4)	
33	30	Genworth Financial Securities Corp.	15,800,000	(3.1)							0
29	—	IFMG	14,200,000						45,628		
45	—	Waterstone Financial Group	13,000,000						19,108		
23	—	UVEST	11,592,645						141,215		50
20	21	First Allied Securities	11,183,272	27.8					103,558	(0.8)	42
25	25	INVEST Financial Corp.	10,798,479	37.4					144,914	64.9	35
43	43	Capital Anaylsts	8,100,000	0.0					29,117	49.2	
39	36	Investors Capital Corp.	8,000,000	16.8 <sup>2</sup>					185,000	4.5	40
36	32	Securian Financial Services	7,700,495	22.1					73,098	14.6	56
44	40	Lincoln Investment Planning	7,129,717	4.6					188,854	16.5	80
48	53	Geneos Wealth Management	7,000,000	100.0					56,000	12.0	35
18	19	National Planning Corp.	6,709,214	11.5					60,327	5.0	49
27	24	GunnAllen Financial	5,812,000	3.8					38,716	(33.7)	36
22	18	NyLife Securities	4,958,914	8.6					55,549	3.9	49
30	29	Cadaret, Grant & Co.	4,845,991	6.9					40,772	8.4	42
11	20	Princor Financial Services	4,500,000	4.7					50,000	3.8	
50	45	Investacorp	4,500,000	50.0					40,000	33.3	
49	51	American Portfolio Fin. Services	4,428,919	27.3					31,417	19.3	37
35	35	Next Financial Group	4,005,100	32.3					43,900	16.1	
13	13	Woodbury Financial Services	3,970,000						550,000		
21	16	Signator Investors	3,914,780						55,442		55
40	37	Sigma Financial Corp.	3,780,000	89.0					44,945	68.9	
31	26	SII Investments	3,460,044	20.8					33,421	12.8	52
38	34	VSR Financial Services	3,292,213	5.2					38,902	6.0	42
42	42	Securities Service Network	3,013,465	5.3					25,100	5.4	56
47	48	QA3 Financial Corp.	2,790,000	35.4					23,070	29.5	53
32	27	Park Avenue Securities	2,758,467	(13.4)					39,568	(6.6)	50
34	31	Ameritas Investment Corp.	4,537	12.0					35,886	23.7	40
41	44	Centaurus Financial							64,939	9.0	0
28	28	M Holdings Securities							31,000	1.0	0
37	33	ProEquities							110,000	0.0	
46	46	CFG/H. Beck	—	—							

<sup>1</sup> May differ from last year's survey due to revisions and new entries  
<sup>2</sup> % change reflects revised 2006 figures ( ) indicates negative number