

2008

Financial/stockbrokerage firms

Ranked by assets under WNY management

RANK/ PRIOR RANK	PHONE WEB SITE FAX	ASSETS UNDER WNY MANAGEMENT	CFPS/ NON-CFPS/ BROKERS	SPECIALTIES	WNY MANAGER(S)	
21 23	Georgetown Capital Group Inc. 5350 Main St. Williamsville, NY 14221 www.georgetowncapital.com	633-9800 633-9789	\$475 million	13 4 7	Retirement planning, allocation analysis, investment reviews & reports	Joseph Curatolo
22 NR	New York Life Insurance Co. 6400 Main St., Suite 110 Williamsville, NY 14221 www.newyorklife.com	631-2323 631-2879	\$376.2 million	1 33 6	Life insurance, annuities, long-term care, voluntary payroll deduction plans	John Foster

23 25

CPA Financial Network (WNY Asset Management LLC)
350 Essay Road, Suite 305
Williamsville, NY 14221

626-0060
www.wnyasset.com
635-0958

\$357 million

3
3
48

Investment management & financial, estate, retirement and education planning for clients of CPA firms in the CPA Financial Network

Thomas Duerr

24 24	PPS Pension & Financial Services Inc. 8660 Sheridan Drive Williamsville, NY 14221 www.ppspensions.com	204-0170 204-0176	\$350 million	2 —	Retirement plan recordkeeping & administration, investment assessment	Robin Tomasula
24 27	S.C. Parker & Co. Inc. 5892 Main St. Williamsville, NY 14221 www.scparker.com	632-6800 632-6596	\$350 million	0 18 17	Stocks, bonds, annuities, advisory services, estates & trusts	Richard Hilliker
26 26	Ogorek Wealth Management LLC 6400 Sheridan Drive, Suite 224 Williamsville, NY 14221 www.ogorek.com	626-5000 626-5509	\$313.3 million	2 5 6	Physicians, wealth management, copy, retirement planning	Anthony Ogorek
27 28	Independent Retirement Advisors Ltd. 2350 N. Forest Road, Suite 8A Getzville, NY 14068 www.ira-ltd.com	636-7526 213-0594	\$294 million	2 4 0	Design and management of 410(k) retirement plans, financial planning, executive benefits, financial & risk management, design and management of supplemental needs trusts (SNTs)	David Bangert
28 30	Scheff Investment Group LLC 9505 Main St. Clarence, NY 14031 www.raymondjames.com/scheffgroup	759-0800 759-0801	\$230 million	0 7 7	Retirement planning, asset allocation, income	Alan Scheff
29 31	Schroeder Braxton & Vogt Inc. 1412 Sweet Home Road Amherst, NY 14228 www.sbvfinancial.com	634-6113 213-0582	\$223 million	3 1 0	Personal financial planning and investment management	Roseanne Braxton
30 32	Carter Financial Management LLC* 6470 New Taylor Road Orchard Park, NY 14127 www.carterfinancialmanagement.com	662-2110 662-1326	\$210 million	1 7 7	DND	Raymond Carter
31 33	O'Keefe Shaw & Co. Inc. 591 Delaware Ave. Buffalo, NY 14202 www.okeefeshaw.com	362-9899 362-9595	\$195 million	3 5 8	Retirement and financial planning	Peter O'Keefe
32 34	Waring Financial Group* 206 Lake St. Hamburg, NY 14075 www.waringfinancialgroup.com	648-2412 648-4816	\$100 million	0 3 3	Financial planning, business consulting & planning services, executive employee benefit program design & implementation	Thomas Waring Jr.
33 NR	Key Private Bank 550 Essay Road Williamsville, NY 14221 www.mcdinvest.com	650-6518 650-6535	\$88.3 million	2 4 4	Trusts, estates, business succession, retirement planning, generational wealth transfer, education planning	Christopher Gibas
34 36	Waterford Advisors LLC 6390 Main St. Williamsville, NY 14221 www.waterfordadv.com	929-7110 929-7111	\$79 million	1 2 2	Wealth management, comprehensive financial planning, including income tax planning, retirement planning, estate and insurance planning	Gregory Kozerski
35 39	Southtowns Financial Group Inc. 6195 W. Quaker St. Orchard Park, NY 14127 www.familyvalu.com	662-0070 662-3143	\$75 million	3 3 4	Comprehensive financial planning, wealth management, business planning, tax work	Daniel Blake
36 38	Sandhill Investment Management* 591 Delaware Ave. Buffalo, NY 14202 www.sandhill-im.com	362-9899 362-9595	\$72.5 million	2 5 7	Separate account management for high net worth individuals, nonprofit organizations and corporations	Edwin Johnston III
37 41	Alan R. Mollot Associates Ltd.* 646 N. French Road Amherst, NY 14228 www.mollot.com	691-7121 691-7718	\$52.2 million	2 1 3	Asset allocation, financial planning, retirement plans for individuals & business, executive benefits	Alan Mollot
38 42	Securities America Advisors Inc. (Brookstreet) 8201 Main St., Suite 9 Williamsville, NY 14221 www.laurengidley.com	633-8000 633-6664	\$50 million	0 1 1	Wealth management, comprehensive financial planning, investment advisory services, retirement and estate planning, college funds	Lauren Gidley
39 43	EMS Financial Services LLC/EMS Group* 6724 Main St. Williamsville, NY 14221 www.emsinsurance.com	634-7070 634-6411	\$33 million	0 4 5	Group retirement plans, 401(k) TSA, 403(b), asset allocation, investment consulting, business continuation planning	Paul Barrone, Bradley Strahika, Tom Fox
40 44	Mark Stevens Financial LLC 3870 N. Buffalo St. Orchard Park, NY 14127 www.markstevensfinancial.com	667-7432 667-6928	\$25 million	1 2 2	Active asset allocation and asset management, estate planning and tax reduction strategies	Mark Stevens