

2009

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)
20 21	Georgetown Capital Group Inc. 5350 Main St. Williamsville, NY 14221	716-633-9800 georgetowncapital.com 716-633-9789	\$350 million	0 7 7	Retirement planning, comprehensive planning for financial and non-financial future	Joseph Curatolo, Erin Cleary
20 24	PPS Pension & Financial Services Inc. 8660 Sheridan Drive Williamsville, NY 14221	716-204-0170 ppspensions.com 716-204-0176	\$350 million	2 — —	Retirement plan recordkeeping & administration, investment assessment	Robin Tomasula
20 24	S.C. Parker & Co. Inc. 5892 Main St. Williamsville, NY 14221	716-632-6800 scparker.com 716-632-6596	\$350 million	0 18 17	Stocks, bonds, annuities, advisory services, estates & trusts	Richard Hilliker
23 23	CPA Financial Network (WNY Asset Management LLC) 350 Essjay Road, Suite 305 Williamsville, NY 14221	716-626-0060 wnyasset.com 716-635-0958	\$349 million	4 2 47	Investment management; financial, estate, retirement & educational planning for clients of member CPA firms	Thomas Duei John Pieroni Robert Castigli
24 NR	The Financial Guys 6631 Main St. Williamsville, NY 14221	716-633-1515 thefinancialguys.com 716-633-1333	\$250 million	2 30 20	Retirement planning, estate planning, small to mid-size business planning, investments, insurance, wealth management	Glenn Wiggle, Michael Lomas, Jay Blanchard, Josh Heims, Jeff Buckley
25 30	Carter Financial Management LLC 6470 New Taylor Road Orchard Park, NY 14127	716-662-2110 carterfinancialmanagement.com 716-662-1326	\$210 million	1 7 7	DND	Raymond Carter
26 31	O'Keefe Shaw & Co. Inc. 591 Delaware Ave. Buffalo, NY 14202	716-362-9899 okeefeshaw.com 716-362-9595	\$195 million	3 5 8	Retirement and financial planning	Peter O'Keefe
27 26	Ogorek Wealth Management LLC 6400 Sheridan Drive, Suite 224 Williamsville, NY 14221	716-626-5000 ogorek.com 716-626-5509	\$191.1 million	2 0 0	Physicians, business owners, retirement planning, widows	Anthony Ogorek, Tracy Sherwood
28 27	Independent Retirement Advisors Ltd. 646 N. French Road Amherst, NY 14228	716-636-7526 ira-ltd.com 716-213-0594	\$191 million	2 3 0	Design and management of corporate retirement plans, supplemental needs trusts.	David Bangert, Gregory Lewis, Daniel Kautz, Paul Weppler
29 28	Scheff Investment Group LLC 9505 Main St. Clarence, NY 14031	716-759-0800 raymondjames.com/scheffgroup 716-759-0801	\$185 million	0 8 8	Retirement and income planning, wealth management	Alan Scheff
30 29	Schroeder Braxton & Vogt Inc. 1412 Sweet Home Road, Suite 7 Amherst, NY 14228	716-634-6113 sbvfinancial.com 716-213-0582	\$182.3 million	4 0 0	Personal financial planning for individuals and families, multi-generation portfolio management.	Roseanne Braxton, Richard Schroeder, Alan Vogt, Steven Ellwell
31 36	Sandhill Investment Management 360 Delaware Ave. Buffalo, NY 14202	716-852-0279 sandhill-im.com 716-852-1905	\$134 million	DND	Separate account management for high net worth individuals, nonprofits and corporations	Edwin Johnston III, Larry Stolzenburg, Gary Stott
32 33	Key Private Bank 550 Essjay Road, Suite 500 Williamsville, NY 14221	716-650-6518 mcdinvest.com 716-650-6535	\$85 million	2 12 1	Investment management, trusts, estates, charitable gifting, wealth transfer, retirement, business succession, stock option elections, risk mitigation & asset preservation, customized credit	Richard Suchan
33 34	Waterford Advisors LLC 6225 Sheridan Drive, Suite 214 Williamsville, NY 14221	716-580-3906 waterfordadv.com 716-580-3913	\$84.6 million	3 1 0	Wealth management, comprehensive financial planning, including: income tax, retirement, estate and insurance	Gregory Kozerski
34 35	Southtowns Financial Group Inc. 6195 W. Quaker St. Orchard Park, NY 14127	716-662-0070 familyvalu.com 716-662-3143	\$60 million	1 3 4	Retirement income maximization and protection	Christopher Hull
35 38	Prosperity Wealth Management 8201 Main St., Suite 9 Williamsville, NY 14221	716-633-8000 prosperitywealthmanagement.com 716-633-6664	\$50 million	0 1 1	Retirement planning, wealth management, comprehensive financial planning, investment advisory services, late stage college planning, business succession, estate planning	Lauren Gidley
36 40	Mark Stevens Financial LLC 3870 N. Buffalo St. Orchard Park, NY 14127	716-667-7432 markstevensfinancial.com 716-667-6928	\$25 million	1 2 2	Active asset allocation and asset management, estate planning and tax reduction strategies	Mark Stevens
37 32	Waring Financial Group 38 Lake St. Hamburg, NY 14075	716-648-2412 waringfinancialgroup.com 716-648-4816	\$18 million	0 1 4	Small business owners and their key employees	Thomas Waring Jr.
38 39	Kenneth Weinstein CPA/CFP 1450 Niagara Falls Blvd. Tonawanda, NY 14150	716-837-2525 kennethweinstein.com 716-837-2527	\$5 million	1 4 0	Retirement planning, investment management, legacy planning, education planning, family risk management, business planning, special situations planning, cash flow, debt management	Kenneth Weinstein