

# THE LIST

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## FINANCIAL PLANNING FIRMS

RANKED BY ASSETS UNDER WNY MANAGEMENT

	Name/ prior (*new or not ranked)/ URL	Address	Value of assets under WNY management	CFPs	CFAs	Financial advisers	Top local executive(s)
1	<b>Merrill Lynch Wealth Management</b> ①	50 Fountain Plz. Buffalo, NY 14202 716-849-2121	\$13 billion	25	1	120	Jeffrey Smith Robert Walter
2	<b>Equitable Advisors</b> <sup>1</sup> ② empirestate.axa-advisors.com	350 Essjay Rd. Williamsville, NY 14221 716-626-2507	\$10.05 billion	41	0	287	Lou Nuchereo louis.nuchereo@equitable.com Michael Peters
3	<b>MassMutual New York State</b> ⑤ ny-state.massmutual.com	300 Corporate Pkwy. Amherst, NY 14226 716-817-6662	\$8 billion	9	0	130	Joseph DiLeo jdileo@financialguide.com
4	<b>UBS Financial Services Inc.</b> ③ ubs.com	250 Delaware Ave. Buffalo, NY 14202 716-849-3850	\$6 billion <sup>2</sup>	4	0	45	Robert Swanson robert.swanson@ubs.com
5	<b>Morgan Stanley</b> ④ advisor.morganstanley.com/williamsville-branch	450 Essjay Rd. Williamsville, NY 14221 716-631-4600	\$5.78 billion	13	1	41	Mary Ann Coulson mary.ann.coulson@morganstanley.com Russ Gentner russell.gentner@morganstanley.com James Joseph james.joseph@morganstanley.com Jillian Pleakis jillian.pleakis@morganstanley.com
6	<b>M&amp;T Securities Inc.</b> ⑥ mtb.com/mtsecurities	285 Delaware Ave. Buffalo, NY 14202 800-724-7788	\$3.19 billion	35	0	42	Rich Marsh Matt McAfee
7	<b>RBC Wealth Management</b> ⑦ us.rbcwealthmanagement.com/buffalo	6225 Sheridan Dr. Williamsville, NY 14221 716-635-8400	\$3 billion	1	0	18	Christine Cisco christine.cisco@rbc.com
8	<b>Wells Fargo Advisors</b> * wellsfargoadvisors.com/	6700 Main St. Williamsville, NY 14221 716-626-1300	\$2.9 billion	11	2	31	Kevin Brzezinski kevin.brzezinski@wellsfargoadvisors.com
9	<b>Alliance Advisory Group Inc.</b> ⑧ allianceadvisorygroup.com	600 Delaware Ave. Buffalo, NY 14202 716-817-7109	\$2.29 billion	4	0	48	James Fashano james.fashano@glic.com
10	<b>Wilmington Trust</b> ⑨ wilmingtontrust.com	1 Fountain Plz. Buffalo, NY 14203 716-848-7331	\$2.21 billion <sup>2</sup>	5	1	0	Patricia Farrell pfarrell@wilmingtontrust.com
11	<b>Courier Capital LLC</b> ⑪ couriercapital.com	1114 Delaware Ave. Buffalo, NY 14209 716-883-9595	\$1.72 billion	3	3	9	Thomas Hanlon thanlon@couriercapital.com
12	<b>Sandhill Investment Management</b> ⑫ sandhill-im.com	40 Fountain Plz. Buffalo, NY 14202 716-852-0279	\$1.62 billion	1	2	8	Edwin Johnston emj@sandhill-im.com
13	<b>Nottingham Advisors</b> ⑬ nottinghamadvisors.com	100 Corporate Pkwy. Amherst, NY 14226 716-633-3800	\$1.2 billion	1	4	2	Thomas Quealy tom.quealy@nottinghamadvisors.com Lawrence Whistler larry.whistler@nottinghamadvisors.com
14	<b>Sgroi Financial LLC</b> ⑭ sgroifinancial.com	965 Union Rd. West Seneca, NY 14224 716-674-6700	\$1.13 billion	2	0	10	John Clouden johnc@sgroifinancial.com Patrick Sgroi pats@sgroifinancial.com
15	<b>Trubee Collins &amp; Co. Inc.</b> ⑮ trubeeollins.com	1 M&T Plz. Buffalo, NY 14203 716-849-1401	\$1.07 billion	1	1	15	William Pictor wpictor@trubeeollins.com
16	<b>WNY Asset Management / Spectrum Wealth Management</b> ⑰ wnyasset.com	6500 Sheridan Dr. Williamsville, NY 14221 716-626-0060	\$1.01 billion	7	0	5	Robert Castiglione Ronald Lojacono John Lunghino John Pieroni
17	<b>Arbor Capital Management</b> ⑯ arborcapitalmgt.com	100 Corporate Pkwy. Amherst, NY 14226 716-446-9111	\$1 billion	1	2	3	Lawrence McGowan ltmcgowan@arborcapitalmgt.com Daniel Toole dmttoole@arborcapitalmgt.com
18	<b>First Aurora Financial Group</b> ⑰ firstaurorafinancialgroup.com	634 Main St. East Aurora, NY 14052 716-655-7600	\$1 billion	3	0	9	Richard Bisesi Donald Eustice Jeffrey Kamien Ronald Olson
18	<b>Signity Financial</b> * signityfinancial.com	350 Essjay Rd. Buffalo, NY 14221 716-626-2509	\$1 billion	25	1	80	J.D. Hartman john.hartman@signityfinancial.com
20	<b>PPS Retirement Advisors</b> ⑳ ppsadvisors.net	8660 Sheridan Dr. Williamsville, NY 14221 716-204-0170	\$945 million	1	0	3	Robin Tomasula
21	<b>Sanderson Wealth Management LLC</b> ㉑ sandersonllc.com	50 Fountain Plz. Buffalo, NY 14202 716-566-2420	\$780.67 million	6	2	0	John Sanderson jsanderson@sandersonllc.com

### ► CLOSER LOOK

#### MANAGE YOUR ASSETS

Respondents were asked, "What are you advising clients to do as the Covid-19 pandemic continues?"

"Stay safe, focus on the health of your families and have enough cash on hand to weather the storm. Once you determine that amount, take all other money and put it to work in the market."

— **Novity Wealth Solutions LLC**

"While the daily volatility in the stock market is both unprecedented and jarring, we continue to believe the smartest move for investors is to stay put. Throughout history, more money has been lost attempting to mitigate damage in market downturns than in the downturns themselves."

— **Ogorek Wealth Management LLC**

"We advise our clients to focus on aspects within their control like appropriate asset allocation, diversification, expenses and taxes. This will put them in a better position to capture the potential rewards of the capital markets."

— **Dopkins Wealth Management LLC**

#### ABOUT THE LIST

Information was obtained from firm representatives. Information on The List was supplied by individual