Financial Services Overview

Essential Wealth Management Experience

RETIREMENT PLANNING / FAMILY NEEDS

- Comprehensive financial planning
- Retirement analysis
- Education planning
- Multi-generational financial planning
- Planning for support of aging parent(s)
- Corporate retirement plans

ASSET MANAGEMENT

- Managed accounts
- Mutual funds
- Individual security
- ETFs
- Structured notes
- Traditional alternative investments
- Liquid alternatives

CREDIT AND LENDING

- Securities-based lending
- Personal credit management
- Mortgage advice
- Margin loans
- Non-purpose lending
- Fully paid securities lending
- Loans against collared stock
- Art collection lending

BUSINESS SUCCESSION PLANNING

- Business needs review
- Cash management and capital needs assessment
- Business valuation & investment banking services
- Succession planning documents

EXECUTIVE COMPENSATION

- Concentrated stock (monetizing, hedging)
- Stock option strategies
- 10b5-1 trading programs
- Restricted securities, Rule 144 (liquidation & risk management alternatives)

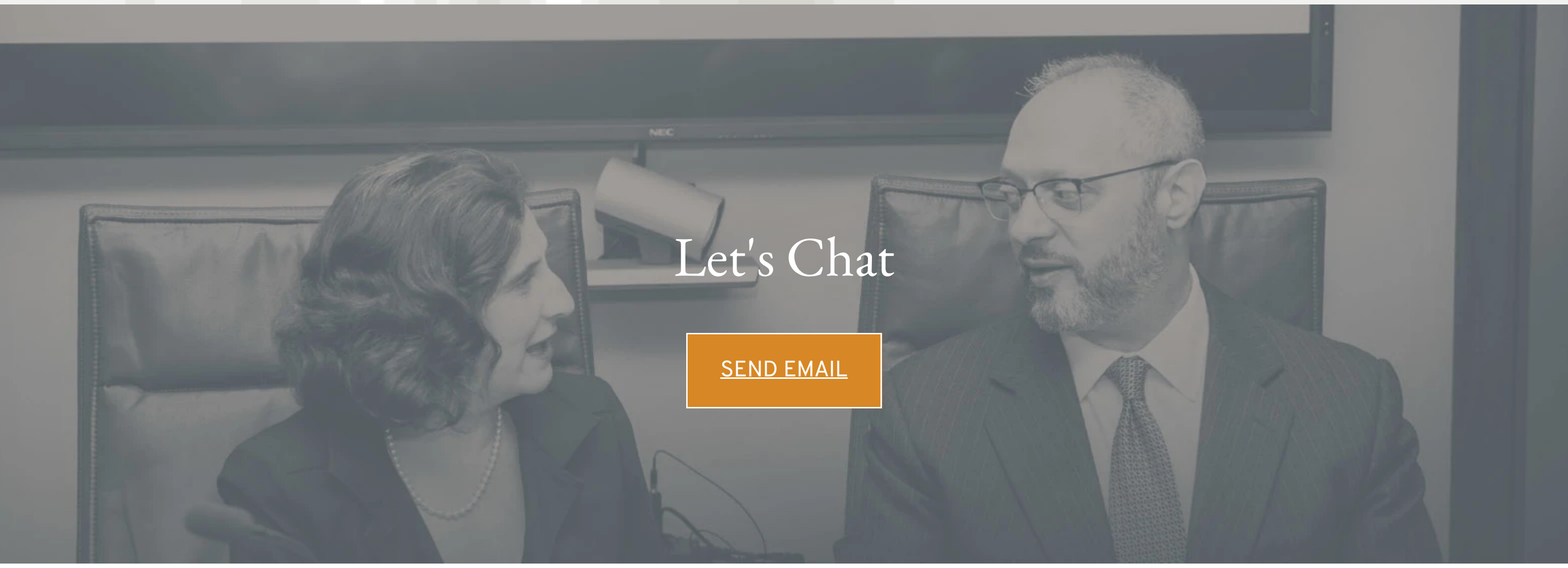
• Expertise in highly regulated areas (collateral loans, OTC option collars, etc.)
• Estate and financial planning (executive compensation management)

INSURANCE AND LIABILITY MANAGEMENT

• Comprehensive insurance review
• Goal protection
• Life insurance
• Long-term Care
• Disability insurance
• Dynasty trust
• Life insurance trust

ESTATE PLANNING/PHILANTHROPIC GIVING

• Wills, trusts, gifting, asset titling
• Charitable giving / charitable trust
• Endowments / donor advised funds
• Estate tax funding
• Family dynamics / family meeting



405 Lexington Ave, 42nd Floor
New York, NY 10174

Phone: (917) 286-2706
Fax: (917) 591-4906
Toll free: (800) 894-6040

Overview
Team
Structure
- Fiduciary Standard
- Our Custodians
Services
- Financial Planning
- Executive Compensation
- Insurance
- Lending
- Operational Support
Investments

Resources
- Custodians
- Resources
- Reporting
- Trade Execution
- Trust Services
FAQs

Legal & Privacy
Web Accessibility Policy