



Businesses and organizations that are instrumental in helping people and businesses invest their money and help raise capital in financial markets (i.e., brokerage firms, private equity firms).

INTERNAL USE ONLY

CAPTRUST EXPERIENCE

CAPTRUST AT A GLANCE

Clients – 79
Total Assets – \$5.5 billion
Plans/Pools – 98
Plan/Pool Types – DC (63), OAP (16), DB (8), NQ (8), E/F (2)
Top Providers – Empower, Fidelity, Schwab

EXPERIENCED ADVISORS

- Dan DiGiacomo (3)
- Brodie Barnes (2)
- Oliver Haynes (2)
- Brad Lemon (2)
- Susan Shoemaker (2)
- Dan Urban (2)
- Travis Whitten (2)

INDUSTRY BACKGROUND

POINTS OF INTEREST

- An increase in the regulation and taxation of private equity, hedge funds or other investment vehicles may raise their compliance costs, reduce their returns and limit the number of investment activities companies can undertake. Regulation for the investment management industries is expected to increase in 2022.
- Demand from retirement and pension plans is expected to increase in 2022, representing a potential opportunity for the industry.

COMMON TERMS

- Alternative assets
- Hedge funds
- Key indicators
- Leveraging
- Open-end investment
- Private equity
- Structured investment vehicle (SIV)

EXTERNAL RESOURCES

- Alternative Investment Management Association aima.org
- Angel Capital Association angelcapitalassociation.org
- National Venture Capital Association (NVCA) nvca.org
- Private Equity Growth Capital Council investmentcouncil.org

FOR THE CHALLENGER

CHALLENGES

Corporate

- Wide range of employee salaries and knowledge level makes communication challenging
- ESG investing
- Embracing DEI
- Differences between investing as an individual versus as an institution
- High pressure, short investment periods/rotating external influence
- Technology playing a more important role
- Incorporating a committee structure that might have decision makers outside of HR or Finance teams

Retirement

- Wide range of employee salaries and knowledge level makes communication challenging
- Focus on engaging their employees and communicate the value of the benefits offered

CLIENT OUTCOMES

- Simplified the menu and expenses (flat dollar pricing model) for participants
- Added nonqualified plan
- Improved returns adding active funds in value and growth that had been all index