

FIRM OVERVIEW

Our firm provides investment management advice and financial planning services to business owners, professionals, retirees, non-profits, corporations, and other affluent clients.

\$900 million+

Assets under management

1000+

of families and institutions we serve

28 states / 12 countries

of states and countries our clients reside

See www.regattainvest.com and our form ADV for more details.

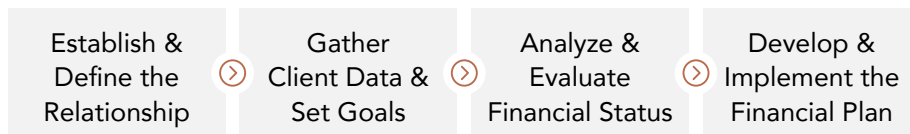
INVESTMENTS

We build high-quality, diversified portfolios based on our clients' time horizons and goals. Below is a sampling of the types of investments that we may use in constructing financial plans.

- US Treasuries & Money Market Funds
- Certificates of Deposit (CDs)
- Active & Passive, World Class Mutual Funds & ETFs
- Individual Stocks & Bonds
- Separately Managed Accounts
- Private Real Estate
- Private Equity

OUR PROCESS In collaboration with our clients' CPAs and Estate Planning Attorneys

New Client Process



Ongoing Annual Process



ANNUAL ADVISORY ACCOUNT FEES (Marginal Rates)

From	To	Fee	From	To	Fee
\$0	\$100,000	1.20%	\$2,500,001	\$5,000,000	0.70%
\$100,001	\$250,000	1.10%	\$5,000,001	\$7,500,000	0.65%
\$250,001	\$500,000	1.00%	\$7,500,001	\$10,000,000	0.60%
\$500,001	\$1,000,000	0.85%	\$10,000,001	\$20,000,000	0.55%
\$1,000,001	\$2,500,000	0.75%	\$20,000,001	\$30,000,000	0.50%

STRUCTURE

- Independent Registered Investment Advisory firm (Fiduciary Standard & SEC Registered)
- Primary custodian for advisory accounts: *Fidelity Institutional Wealth Services*
- Unaffiliated, working relationship with Regatta Trusts & Estates, Marc Joyce, Esq.

OUR TEAM

Russell Mohberg, MBA, CFP®
Managing Partner, Co-Founder & Co-CIO

Spencer Kelly, CFP®
Managing Partner, Co-Founder & Head of Advisory Services

Nick Ozer, MBA, CFP®
Managing Partner, Financial Advisor & Director of Retirement Plans

Britt Joyce, MBA, CFA, CFP®
Financial Advisor, Co-CIO & Director of Endowments & Foundations

Lisa Margulies
Branch Manager & Financial Advisor

Ellen Himmel
Branch Manager & Financial Advisor

Lee Clay, CSRIC™
Financial Advisor & ESG and Impact Investing Specialist

Ben Satterfield
Financial Advisor & Director

Grace Yu, MBA, CFA
Senior Research Analyst

Erika Jenkins, CPA
Controller & Director of Tax Strategy

Kristin Grant
Financial Advisor Associate & Director of Financial Education

Lindsey Diranian
Financial Advisor Associate & Director of Client Service

Grant Nabell
Client Service Associate

Chloe Barnett, CFP®
Financial Planner