



BAIRD

Private Wealth
Management

The Fitzgibbons Hoon Group
True partners with your best interests in mind.

The True Value of Shared Experience

The American financial system recently faced one of its most challenging periods in history. Common perceptions and well-established investment practices were tested.

The members of the Fitzgibbons Hoon Group saw clients through this trying time by pooling and nimbly employing the wisdom gained through our experiences as Financial Advisors. That experience – earned through some of the most interesting economic times our nation has ever seen – informs all we do. But our tenure as individuals only represents part of the value we offer.

Because we have known and worked with each other in various capacities for nearly two decades, we understand each other's strengths. We recognize and respect each other's areas of expertise, and we have a deep appreciation for the importance of coordination and teamwork. Our shared experience has refined our collaborative approach to wealth management, and our shared commitment to excellence as we strive to create great outcomes for our clients provides clear and constant direction.

Why Baird?

The Fitzgibbons Hoon Group is proud to be part of Baird – a fully independent, employee-owned international firm serving the wealth management needs of families, businesses and organizations across the United States.

Nationally recognized as a great place to work, Baird attracts many of the industry's best and brightest professionals. And each and every one of us shares a personal stake in our clients' success.

It's a formula that works because of the values we share: honesty, integrity and a commitment to keeping clients first. These ideals have kept Baird strong and stable for more than 100 years.

Assets under management:

More than \$3 billion¹

Range of client account sizes:

\$5 million – \$50 million

Families and individuals

\$25 million – \$3 billion

Corporations, foundations and family offices

Native American Communities and Alaskan

Native Organizations

Areas of specialty:

Wealth preservation and growth strategies

Legacy planning and cross-generational
wealth management

Corporate and executive advisory and
planning services

¹As of 10/2023



Deep Expertise Focused on Your Needs

Working together, The Fitzgibbons Hoon Group serves the consulting and investment needs of a wide range of clients across the country and internationally from our offices in San Francisco and Sacramento. Our client relationships all begin the same way: understanding your needs the way a true partner should. By clearly defining your goals, we can customize strategies to best address such important matters as: preserving and protecting family wealth, maximizing an entrepreneur's personal opportunities through a wealth creation event, or advising a CFO on asset management or stock option solutions.

In our experience, every client is unique, and every financial goal is deeply personal. So every solution we recommend, while drawn from the same pool of established and tested best practices, is carefully chosen and personalized based on a thorough understanding of your needs.

We know this genuine care and the commitment to exceptional service that comes with it are appreciated because much of our new business is referred by existing clients. The trust that these referrals imply is incredibly important to us, and we strive to earn it every day.

*“As investing has become more complex, so have investors’ needs.
The insight gained from shared experience and expertise is invaluable in
addressing our clients’ complete financial pictures.”*

– John Fitzgibbons

The Sum of the Whole

Understanding your needs means valuing the perspectives of others you trust.

The Fitzgibbons Hoon Group often works closely with clients' professional tax or legal advisors to ensure that the advice we offer is compatible with the bigger picture of their lives.

Maintaining these kinds of collaborative partnerships helps us keep your financial plans aligned with your goals and personal wishes over the long term as important life events or changes occur. And, ultimately, it will help to ensure that the people and causes you care about are provided for.

Impacting Our Communities

For more than 100 years, Baird has focused on building stronger communities in the places where we live and work.

Baird Foundation supports nonprofit organizations aligned with our focus on health and human services, education, the arts and diversity. We believe in sharing our strong commitment to equality and opportunity for all, and we seek to support organizations where our associates are actively engaged in order to maximize our impact.

\$5.4 million+

contributed to qualified nonprofits in 2022

\$3 million+

in associate match charitable contributions

“Even the smartest advisor with access to the best tools and resources can’t help you if he or she doesn’t understand who you are and what’s important to you.”

– Joseph Hoon

Global Perspective and Top-Tier Support

The world of investing has become increasingly complex and interconnected, making it even more important to keep the big picture in mind at all times.

The Fitzgibbons Hoon Group utilizes Baird's award-winning research¹ and insights from the firm's resident experts on three continents in global equity, fixed income capital markets and private equity to augment our team's perspective when selecting strategies, investments and managers for our clients' portfolios.

Additionally, through Baird, our team has access to some of the industry's leading minds in investment management, estate and tax planning, corporate and executive services, retirement income and insurance. These talented experts work closely with us in plotting the course to your specific goals because, as fellow employee-owners of the firm, they share a vested interest in your success.

Award-Winning Expertise, Delivered to You

Wherever you get your news, you are likely inundated with the latest headlines about the market, economy, and policy – it may feel overwhelming to try and separate the news from the noise. It's one of the many reasons we are grateful for our partners at Strategas, a Baird company, who provide award-winning global macroeconomic research and U.S. government policy insights.

Strategas joined Baird in 2019 and has long been a trusted expert on Wall Street. Whether from their regular interviews on national news outlets, their weekly commentary and research delivered directly to our advisors, they cut through the noise and provide insights that are highly valuable to our clients over the short and long term.

“Often the best outcomes result when multiple perspectives come together for an open exchange of ideas. During these conversations, we’ll always ask: What is in our client’s best interests?”

– John Fitzgibbons and Joseph Hoon

Native American Communities and Alaska Native Organizations

Baird's highly respected and dedicated Institutional Consulting Services team has a unique understanding of Native American and Alaska Native cultures within the financial services community. In addition, they have deep expertise in servicing foundations, endowments and trusts in addition to Native American and Alaska Native communities and organizations. Our team was created on our corporate philosophy of giving focused attention to Native American communities, Native American business enterprises and Alaska Native organizations in a range of services:

- Advanced asset allocation analysis and portfolio strategies
- Independent institutional management and research services
- Brokerage and investment management
- Cash management/capital preservation
- Private equity/alternative investments
- Minor's trust and per capita distribution strategies
- Retirement plans/consulting
- Educational services for community members
- Board education and fiduciary standards training
- Investment Policy Statement design and monitoring

Collaboration with Native American Communities and Alaska Native Organizations

Our experience, perspectives and respect for your distinct culture and governing infrastructure provides our team with unique insight to collaborate with tribal leadership and their management teams in making impactful decisions for the community's financial future. At Baird, we also provide educational resources to our Native American and Alaskan Native partners in the form of seminars and internship opportunities. Importantly, we offer on-location youth education, presentations to broader general council sessions and policy review implications with our thought leaders at Strategas. All of these services are guided within Baird's Executive Committee-led Native American and Alaska Native initiatives. Specifically, we have recently been engaged in the following:

- Proudly and gratefully manage over \$2 billion in Alaska Native and Native American assets, including Investment Consulting, Investment Management and Private Equity
- Established a Baird scholarship and internship program specifically for Native American students
- Creating strategic partnership with the University of Alaska Anchorage (UAA) to provide scholarship and internship opportunities for Alaska Native students focused on business and finance
- Baird and our team are continuing sponsors of the First Nations Community Financial events to raise funds for community outreach
- Long-Term Partner & Sponsor of the Native American Finance Officers Association (NAFOA)

“Baird’s extensive in-house expertise and open architecture provide a wide range of carefully researched investment options and the ability to select those that most appropriately reflect our clients’ needs and goals.”

– John Fitzgibbons





JOHN FITZGIBBONS
Managing Director
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Joining Baird in 2011, John has leveraged his prior experience as the Head of Wealth Management for ThinkEquity LLC, where he was responsible for all aspects of the practice, including investment consulting, manager selection, and concentrated stock strategies. He also has significant experience with multi-generational planning for family offices, having founded and managed a single-family office and served as a board member for a prominent multi-family office. John was also an investment advisor with Thomas Wiesel Partners.

John began his career in investment consulting at Montgomery Securities, where he worked closely with Joseph Hoon. For over 25 years, John and Joseph have worked to service the needs of Native American communities and Alaska Native organizations. Additionally, John and Joseph addressed the private wealth needs of corporate clients, advising on issues related to the sale, hedging and monetizing of restricted stock issues, corporate services and investment consulting.

John received his bachelor's degree in Economics from Amherst College as well as a Certificate of Accounting from the University of Southern California's Marshall School of Business.

John is a FINRA Registered Representative with Series 7, 24, 31, 53, 63 and 65 certifications.



JOSEPH S. HOON
Director
Financial Advisor
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Joseph joined Baird in 2008 and is a Director within Baird's Private Wealth Management division. For over 25 years, Joseph and John have worked to service the needs of Native American communities, Alaska Native organizations, corporations, foundations and high net-worth individuals.

Joseph and John are often presenters at national conferences, including the Native American Finance Officer's Association Conference (NAFOA), Global Gaming Expo (G2E) and the Information Network's Native American Finance Conference, where they discuss the preservation and growth of tribal assets.

Prior to joining Baird, Joseph worked at Banc of America Investment Services (formerly Montgomery Securities) in San Francisco, where he worked closely with John Fitzgibbons. While there, Joseph led a team responsible for delivering comprehensive wealth management solutions to the firm's most substantial U.S. and international clients. Before Montgomery Securities, Joseph was a financial consultant to a number of Fortune 500 companies and worked with several political organizations, including the White House.

Joseph graduated with a bachelor's degree in Economics with an International Emphasis from the University of California, Los Angeles. Joseph earned his master's degree in International Management from the Thunderbird School of Global Management.

Joseph is a FINRA Registered Representative with Series 7, 63 and 65 certifications.



KATHRYN NUSBAUM, CFA®, CFP®, CPA
Director
Senior Institutional Consultant
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Kathryn is a Director on Baird's Institutional Consulting Services team responsible for supporting institutional clients across the firm. Kathryn has over 20 years in the financial services industry serving high net worth families and institutional clients including endowments, foundations, Native American communities, Alaska Native based organizations and corporations. Prior to joining Baird, Kathryn spent her early career in NYC supporting Morgan Stanley's Private Equity, Investment Banking and Institutional Securities groups. Kathryn has also served as an independent advisor and led a team at Vanguard. She is extremely active in the nonprofit community, having served in several leadership roles for the United Way over decades, was a member of the board for the NY Special Olympics Regional Games, is a sustaining member of the New York Junior League and is currently serving on the board of the HealthReach Community Clinic.

Kathryn received her BS from the Pennsylvania State University and an MBA in Finance from Fairleigh Dickinson University. She is a CFA® charterholder, a member of the CFA Society of Charlotte, a licensed Certified Public Accountant (CPA), and a Certified Financial Planner Professional (CFP®). Kathryn holds the Series 7, 63, 65 and 24 securities licenses.

Certified Financial Planner Board of Standards Inc. owns the certification marks CFP®, CERTIFIED FINANCIAL PLANNER™ and federally registered CFP (with flame design) in the U.S., which it awards to individuals who successfully complete CFP Board's initial and ongoing certification requirements.



MICHAEL SWOPE, CFA®

Director

Senior Institutional Consultant

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Prior to joining Baird, Michael had been with BMO Global Asset Management (formerly M&I Investment Management), where he was responsible for investment manager implementation of BMO's target-risk mutual funds, model portfolios and OCIO client portfolios. He was also the idea generation lead for U.S. equity asset classes on BMO's global multi-asset team, which managed over \$50 billion. Prior to that, he led the firm's U.S. manager research group, which was responsible for 230 active and 150 passive managers accounting for \$30 billion in assets under management. Michael's earlier career includes time as a surety bond underwriter for Aetna Surety and Casualty, and a direct lending manager and senior finance officer for Fifth Third Bank.

Michael earned his MBA from Notre Dame's Mendoza College of Business in 1999, where he was a member of the Applied Investment Management program, and his Bachelor of Business Administration in finance from the University of Notre Dame in 1991. Michael is a CFA charterholder and a member of the CFA Society of Milwaukee.



SAM SCOTT, CIMA®
Assistant Vice President
Institutional Consulting Analyst
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Sam joined Baird in 2021. He serves as an institutional consulting analyst within Baird's Institutional Consulting Services team that is responsible for supporting institutional clients across the firm. Prior to joining Baird, Sam held several roles at Wilmington Trust within their Institutional Client Services division supporting the firm's Outsource Chief Investment Officer (OCIO), Customized Fixed Income Solutions, Collective Investment Trust, and Custody Solutions teams. He was also a founding member of the Wilmington Trust's External Distribution team, which brought their proprietary investment strategies, which included equities, fixed income, real assets, and alternative strategies, to external advisors. In these roles, Sam worked closely with financial intermediaries, ultra high net worth families, and institutional clients including endowments, foundations, religious organizations, corporations, and retirement plans.

Sam received his Bachelor's degree in Business Administration with Special Attainments in Commerce from Washington and Lee University. He earned the Certified Investment Management Analyst® (CIMA®) certification through the Investment & Wealth Institute and the Yale School of Management. Sam holds the FINRA Series 7 and 66 securities licenses. Sam is currently pursuing a Masters in Finance and Investment Management from the University of North Carolina at Wilmington.

About Baird

Founded in 1919 in Milwaukee, Wisconsin, Baird's financial advice and expertise has helped guide clients through changing market cycles and unexpected events across generations. Being privately held has enabled us to grow and manage our firm responsibly, from a position of enduring financial strength and with a long-term focus on the best interests of our clients, our associates and the communities we share. We have expanded into new markets and lines of business only where and when we know we can serve those clients well. Today Baird serves the investment and financial planning needs of individuals, families, small businesses, foundations, schools and other public entities throughout the United States as well as corporations and institutional investors around the world. And, because we are employee-owned, our clients can trust that we all share a personal stake in the successes we strive to help them achieve.

- Five complementary businesses balance our sources of revenue and broaden our capabilities for clients, enabling us to continue to invest across our businesses. While many financial services firms are restructuring and downsizing, we continue to build wisely for the future.
- Baird has 5,100 employees and over 200 locations in the United States, Europe and Asia
- Baird's clients trust us with more than \$405 billion in assets as of June 30, 2023
- Baird ranked No. 23 on the Fortune 100 Best Companies to Work For® list, our 20th consecutive year among the nation's best employers
- Baird's Private Wealth Management Foundations Program was recognized as a 2021 LUMINARY: Diversity & Inclusion by ThinkAdvisor
- Baird's global equities platform was again recognized in Coalition Greenwich's 2022 Small-/Mid-Cap Survey as a leading firm for sales, corporate access, research and trading. We have maintained top rankings for 19 consecutive years.¹
- Eight Baird analysts were recognized for the performance of their buy/sell recommendations and accuracy of their earnings estimates
- Top 25 Wall Street Analysts of the Decade: Two Baird analysts ranked among the top analysts on the Street
- Baird's dedicated equity analysts provide comprehensive, award-winning coverage of more than 700 stocks. This sector-based research is complemented by macro research and insights offered through our independent affiliate, Strategas, a global institutional brokerage and advisory firm.
- Baird Trust (formally known as Hilliard Lyons Trust) can help clients protect, grow and transfer their wealth in a way that reflects their values and vision for the future. Headquartered in Louisville, we are one of the largest state-chartered trust companies in the commonwealth of Kentucky with more than \$20 billion in assets and 80 associates in offices in Indiana, Kentucky, Ohio, South Carolina, Tennessee and Wisconsin.
- Baird is a leading middle-market investment bank. Our 425 banking professionals work as one global team, collaborating across many different geographies, products and sectors to help our clients achieve great outcomes.

When done right, Wealth Management is a relationship between you and a trusted financial partner – someone who understands your priorities and values and has a personal interest in seeing you attain the future you want for yourself and those closest to you.

At Baird, we take that relationship personally. That's why we strive to provide you with all the advice, services and resources you need to make the best decisions for your future.

Putting you first, no matter what – that's how Baird has been doing business for more than 100 years.

As an independent firm owned by our associates, we have a huge stake in making sure we do things right. Baird has remained strong because we put our clients' interests first and take a long-term view, both in terms of your success and the investments we make in our own resources and capabilities to serve you best.

¹Coalition Greenwich 2022 surveys of North American Equity Investors. Surveys conducted with 94 small-cap and mid-cap fund managers, 241 generalist portfolio managers and 241 traders. Rankings for qualitative metrics based on leading research firms in surveys.