Global access.
Personalized planning.

DellaRusso Sullivan Group
Private Wealth Management

"UBS being a true wealth management firm with global access is important to our client base. It allows us to leverage our firm's capabilities in order to address our clients' complex needs."

– Richard DellaRusso

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Navigating complex global markets, life events, and ambitious pursuits in today's ever-changing financial landscape can be overwhelming alone. At the DellaRusso Sullivan Group, we understand every family faces unique challenges. Our team of experienced Private Wealth professionals are dedicated to building a customized plan with timely solutions that serve you and those you care most about.

Our team has provided steady guidance to clients throughout the decades and many market disruptions. As members of the firm's exclusive Private Wealth Management Division, located in the New York City headquarters, we have direct access to the thought leaders and decision makers within UBS. Providing targeted access to the global resources of UBS and highly customized investment and planning guidance, we'll work with you to:

Develop a clear financial plan that addresses all your needs and evolves with you over time:

- Wealth structuring
- Estate and legacy planning strategies
- Tax-minimization solutions
- Strategies to help maximize executive compensation
- Portfolio analysis and simulation
- Wealth transfer solutions
- Philanthropic pursuits
- Retirement and lifestyle goals

Design a tailored investment approach that considers both sides of your balance sheet:

- Portfolio construction
- Customized lending
- Cash management
- Equity exposure and risk mitigation
- Structured products
- Real estate and mortgage financing
- Investment advisory solutions
- Alternative investments
- Concentrated stock and stock options

Pursue ambitious goals, leverage the Investment Bank, and make a positive impact:

- Capital structure advice
- Multiple independent sources of research
- Mission-aligned investing
- Mergers and acquisitions
- Leveraged finance
- Family office consulting
- Global offices in four regions of the world

How we work

Personal attention backed by a global leader

Enabled by our training, access and grasp of complex family wealth, we listen closely and gain an understanding of the important decisions you face and your dynamics across generations. Our intimate practice provides personalized attention and access to the global resources of one of the world's largest wealth managers.

Planning solutions at every phase of life. Enduring relationships begin with an exceptional experience.We start with integrated planning that looks at all aspects of your financial life: asset management, banking and lending, insurance and liability management, education planning, wealth transfer and philanthropy.

When it comes to your estate and building your legacy, our team will work with you and each generation of your family. We provide education, access and experience to help build a strategy that pursues your philanthropic goals with the least possible tax impact and expense.

Bringing the global resources of UBS to you. As UBS Private Wealth Advisors, we offer access to our global platforms and the financial and intellectual strengths of our specialists across the firm. In addition, our network of financial professionals—within and outside UBS—can help bring clarity to your complex challenges and incorporate all perspectives into one comprehensive approach.

This holistic perspective has created strong bonds across generations and helped earn our clients' lifelong trust. Count on us to work directly with your accountants, estate attorneys, insurance professionals and a wide range of UBS banking and investment specialists.

From left to right: Chris Schwartz, Mark L. Sullivan, Richard J. DellaRusso, Paige Francis Schleimer

What we offer

Tailored investment management based on your priorities

Our investment approach is grounded in preserving the wealth you have worked so hard to build. We believe that tapping the deep insights of UBS combined with independent due diligence, diversification, and risk monitoring are the foundation of financial success.

Asset allocation focused on mitigating risk. Listening and aligning with your objectives, we focus on asset allocation strategies that allow for sensible growth and help mitigate risk. We communicate regularly and track performance, rebalancing and making adjustments for life changes and economic conditions.

An open platform. With our open architecture, we are free to choose the best solutions, whether managing portfolios ourselves or selecting institutional money managers. We look for investment managers that we believe have the highest potential to outperform their benchmarks and peers.

Investment strategies for exceptional families. Family offices and their beneficiaries hold varied and often complex forms of wealth, each distinguished by their individual needs and characteristics. Our access to the UBS global investment bank means we can provide thoughtful advice, efficient execution and a creative approach to tapping world capital markets. We work with families to facilitate building investment strategies that serve current generations and are flexible enough for the needs of future generations.

Our process

Through our comprehensive planning process, we help prioritize your goals, establish your proper asset allocation, manage risk, and assess estate and charitable planning strategies.

1 **Discovery**
We get to know you and evaluate your current position

2 **Goal setting**
We set specific targets for today's needs and tomorrow's legacy

3 **Planning**
We design your personalized action plan

4 **Investment strategy**
Based on your plan, we establish your custom investment strategy

5 **Performance tracking**
We implement, monitor, and maintain your strategy

Who we work with

Bringing you a world of access and opportunity

Our team focuses on helping sophisticated clients like you to create and execute a comprehensive, multigenerational financial and investment plan. We have the experience and the network to address the complexities of your advanced planning needs.

"When it comes to your future, you deserve a team who shares your vision, earns your trust and provides the global access you need to pursue your goals."

– **Mark Sullivan**

Executives

With complicated equity award packages—as well as potentially complex tax consequences—executives and other insiders need specialized advice. Our team has deep experience providing integrated financial guidance for company founders, public and private executives and business owners.

- Impact of stock options (ISOs, NQSOs), RSUs, Founders Stock and QSBS
- Restricted stock sales ,10B5-1, Section 16
- Pre-IPO planning
- M & A planning
- 401(k) benefit and compensation plan management
- Income and estate tax planning and strategies
- Concentrated stock management and diversification

Entrepreneurs

Whether you're building capital and growing your business, selling your company, looking to manage existing liquid assets, or transferring wealth, we address the full cycle of business. Working closely with our UBS Boutique Banking Network, we provide access to investment banking services regardless of the size of the transaction.

Pre-liquidity planning. Prior to the transaction, we help you develop a personalized strategy to maximize the value of this event so you can confidently pursue your life goals post-sale.

Post-liquidity wealth management. To help inform our recommendations about deal structure, valuation opportunities and tax considerations, we'll coordinate with our network of both third-party and UBS

Private equity professionals

We work with hedge fund industry professionals like you to provide tactical guidance on your current and evolving personal wealth challenges in ways that complement the investments and risks of your firm. Whether you're looking to access liquidity, reassess short-term cash flow, execute a particular investment strategy or build a tax-efficient wealth transfer plan, our team can provide highly tailored solutions for your most complex needs.

We offer prime brokerage services across the fund lifecycle:

- Reporting and technology
- Risk management
- Margin models
- Custody, clearing and settlement

Family offices

Many families with significant wealth demand a broad array of family office services. When we are working with a family directly, we seamlessly integrate comprehensive wealth management with institutional-level investment solutions. Our team understands the dynamics of families working together to make important life decisions.

Working with the **UBS Global Family Office** and **Family Advisory and Philanthropy Services** groups, we can help bridge generations to offer advice on understanding the opportunities—and unintended burden—of inherited wealth, business transition, wealth transfer and family office governance.

Collaborating with our **Family Office Solutions Group** we bring the best of UBS insight and expertise to our clients—helping them explore highly bespoke opportunities for growth, capital preservation and wealth transition.

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