Ken Catanella

UBS Financial Services Inc.

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Corporate & Private Equity Institutional Retirement Consulting Services

Ken Catanella has been with UBS for over 25 years and is currently a member of the UBS of Americas 401k and Pension Investment Committee. He co-heads The Catanella Institutional Consulting Team with his son Brian. The Team has over 75 years of combined experience and is nationally recognized for the past decade as one of PlanAdviser Magazine Top Retirement Plan Advisers. As a former PlanAdviser Magazine 401k Team of the Year they provide 401k plan sponsors and participants with institutional consulting services in the management of their 401k & Deferred Compensation Retirement Plans. **The team has over $5 billion in client assets under management and is specialized in providing consulting and carve out solutions to large and mid-size Private Equity firms.** Their clients are some of the largest nationally recognized PE firms in America.

We are offering to provide a full due diligence review of both Private Equity firms' portfolio companies and individual corporate retirement plans in the key areas currently being scrutinized by the DOL and Plaintiff firms. These due diligence reviews would include overall plan fees, share class fees, HCE rebates, investment lineups, performance, and any areas that they perceive as a possible legal liability. **These due diligence reviews would be performed at no cost or obligation.**

Our goal is to help both corporate 401ks and Private Equity firms reduce current liability exposure, which is often sighted in current litigation.

To start a conversation, please feel free to reach out via email or direct dial.

"The Catanella Institutional Consulting Team has shown Private Wealth and Wealth Management Advisors the integrity and dedication to partner and win over $3.5 billion in current 401K plan assets and shared revenue. Our model is built on professionalism and trust – the same attitudes of all UBS Advisors"

-Ken Catanella