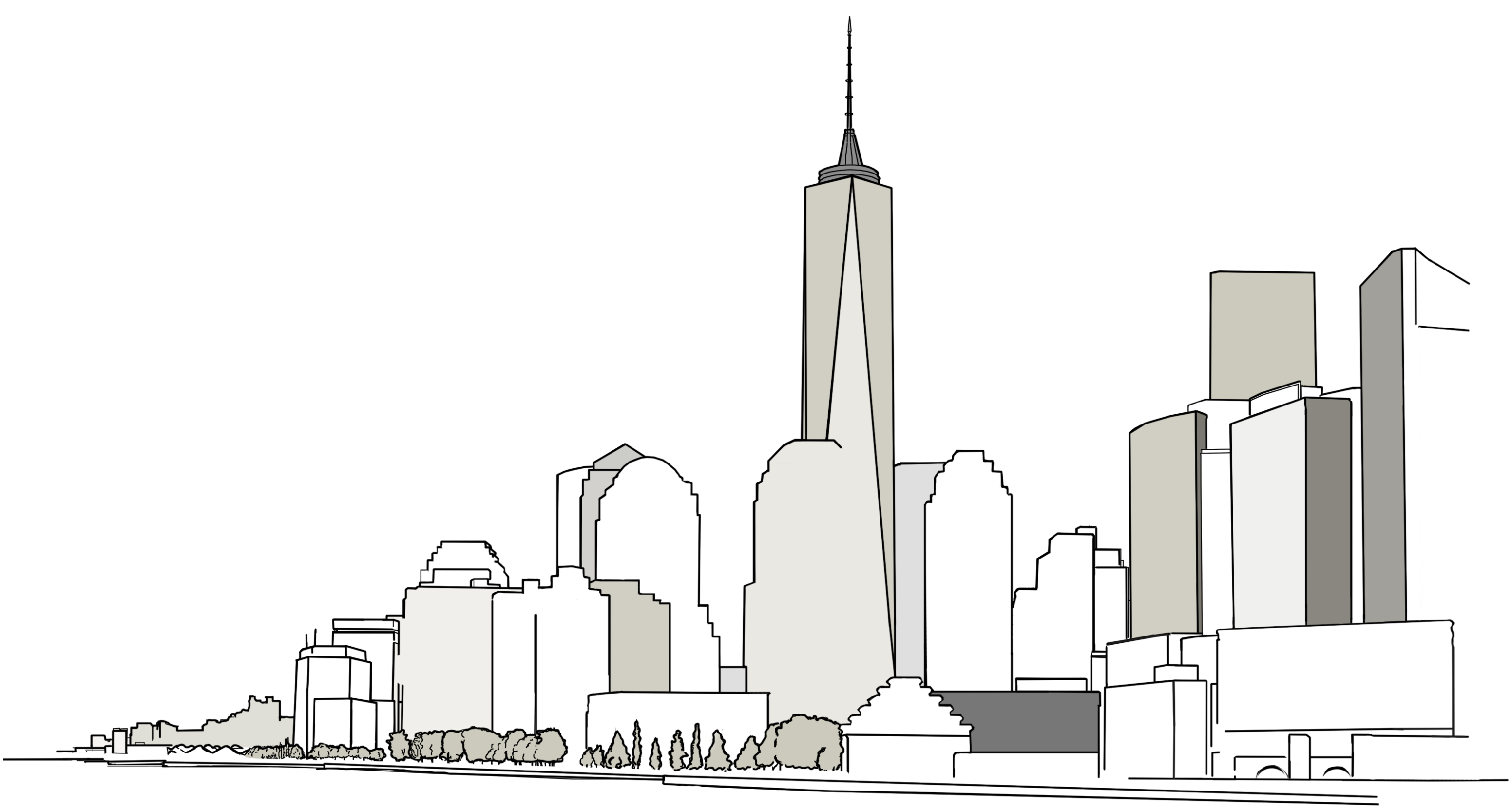
UBS

# Katz Wealth Management

Boutique investment advice
Global wealth management



Successful people and their families need solutions that are concise and actionable. Katz Wealth Management is experienced with helping our clients navigate the ever-changing complexities of financial planning and investment management through every type of market environment.

Led by Jason Maxwell Katz, our team draws on a collaborative approach and global resources that give us the perspective to deliver comprehensive advice and customized financial strategies. Entrepreneurs, business executives, retirees, entertainers, athletes, musicians and affluent families count on us for access to a broad range of insights and services. We provide an experienced team of professionals to coordinate and manage all aspects of their financial lives.

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Whether building a business, preserving your lifestyle in retirement or planning your legacy, we are a team of dedicated professionals who share your vision, seek to earn your trust and work diligently to help you pursue your goals.

**– Jason Maxwell Katz**

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## Why work with us?

We provide boutique advice backed by the full resources of one of the world's largest wealth management firms.

Our skilled team consists of credentialed Financial Advisors focused on delivering the highest caliber of service and advice.

Through our solution set and comprehensive planning process, we can address both the assets and liabilities of your personal balance sheet.

As part of the Private Wealth Manangement division at UBS located in the New York City office with a presence in South Florida, we have access to the firm's thought leaders and decision-makers.

We can provide the confidence that comes from a team that truly cares about you and each generation of your family.

# A team approach

Each member of our team has a specific role and responsibility. Beyond our knowledge and experience, you have the strength of a dedicated and accessible team eager to solve your most pressing challenges. Each generation of your family can rely on our high-touch service.

### Jason Maxwell Katz, CIMA®

**Responsible for all investment management, portfolio strategy and market commentary**

With over 30 years of experience, Jason is a Private Wealth Advisor, Managing Director–Wealth Management, Senior Portfolio Manager, and Athletes & Entertainers Consultant. He is recognized for his market commentary and is a frequent guest on CNBC, Fox Business News and Bloomberg TV. Jason is the senior team member of Katz Wealth Management and oversees the team's customized equity and exchange traded fund models for clients. He also has extensive experience in selecting and monitoring top institutional money managers, hedge funds and private equity funds.

**An industry leader**

- *Barron's* Top 100 Financial Advisors, 2018 – 2024
  The *Barron's* rating is awarded annually in April based on information from the prior year Q4.
- *Forbes* America's Top Wealth Advisors: Top 100, 2016 – 2024
  The *Forbes* rating is compiled by SHOOK Research and awarded annually in April based on information from a 12-month period ending June of the prior year.
- *Forbes* Best-In-State Wealth Advisors, 2018 – 2024
  The *Forbes* rating is compiled by SHOOK Research and awarded annually in April based on information from a 12-month period ending June of the prior year.

Eligibility is based on quantitative factors and is not necessarily related to the quality of the investment advice.

**Media coverage**

- Featured guest speaker on CNBC, Bloomberg TV, Fox Business News, Cheddar TV and Yahoo! Finance
- Quoted in the *Wall Street Journal,* the *New York Times,* the *Washington Post, Financial Times, Forbes, Time* magazine, *Worth* magazine, *MarketWatch, Thomson Reuters* and other media outlets

**Designations**

- Certified Investment Management Analyst®, Investments & Wealth Institute™ in conjunction with The Wharton School, University of Pennsylvania
- Athletes and Entertainers Consultant, a designation reserved for select UBS Financial Advisors helping to provide financial guidance to high-profile athletes, entertainers and musicians

### Alexander Smith, CFP®, CIMA®, CEPA®, CPWA®

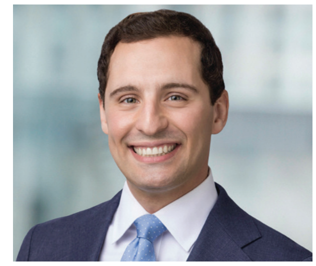
**Responsible for fixed income strategies, borrowing capabilities and corporate executive solutions**

Alex has been a key member of Katz Wealth Management for over two decades, and focuses on helping clients manage their fixed income portfolios and borrowing strategies. He also works with corporate executives in managing restricted stock and 10b5-1 requirements.

### Evan Kresman, CFP®, CIMA®

**Responsible for financial planning, market updates and portfolio strategy reviews**

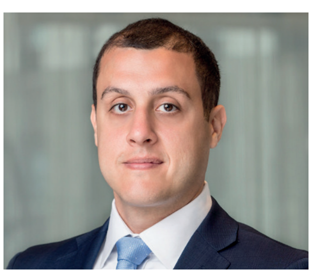
Evan joined Katz Wealth Management two decades ago and he partners closely with Jason on client outreach, proactively reviewing portfolio strategy, account performance, and market updates. He also provides clients with ongoing portfolio reviews* and financial planning.



### Ryan Rosegarten, CFP®

**Responsible for entertainment, sports and next-gen clients**

Ryan joined Katz Wealth Management in 2018 and provides market strategies and financial education for the team's entertainment, sports and next-gen client base.



### Tommy Karavas, CFA, CFP®, CIMA®

**Responsible for financial planning, insurance analysis and annuity reviews**

Tommy, a Katz Wealth Management member since 2007, focuses on the team's comprehensive financial planning process with an emphasis on addressing long- term estate planning strategies, wealth transfer and philanthropy goals. He also focuses on providing all insurance analysis for clients.

### Ryan Pratt, CFP®

**Responsible for portfolio analysis, institutional money manager due diligence and trading**

Ryan joined Katz Wealth Management in 2005 and is responsible for portfolio reviews,* asset allocation construction and trading. He also focuses on all institutional money manager and third-party investment solution due diligence.

### John Decker

**Responsible for relationship management and portfolio strategy reviews**

As the former Vice Chair of the Americas and branch manager of the New York City office, john recently joined Katz Wealth Management as a financial advisor in 2025. He collaborates closely with clients to craft personalized strategies across retirement planning, portfolio management, and insurance solutions. Leveraging his deep industry expertise, John partners with UBS leadership to deliver integrated solutions tailored to complex client needs.

**Kenji Yoshikawa**
**CRPS®, CEPA®**

**Responsible for corporate retirement, institutional consulting and business exit planning**

Kenji joined Katz Wealth Management in 2009 to assist clients with retirement & corporate benefit plans (i.e. 401(k), 403(b), defined-benefit, cash-balance, and non-qualified deferred compensation plans). He also provides fiduciary guidance for plan sponsors, plan reviews and education strategies for participants.

**Josh Levine**

**Responsible for market updates, portfolio strategy reviews and next-gen clients**

Josh joined Katz Wealth Management in 2017 and is a Sports and Entertainment Accredited Wealth Management Advisor. He serves as one of the team's relationship managers, providing timely market updates and conducting portfolio reviews to ensure clients' investment allocations align with their dynamic financial plans.

**Lamar Remy, CFP®**

**Responsible for equity research, due diligence on investment managers and alternative investments**

Lamar joined Katz Wealth Management in 2021 and serves as one of the team's Portfolio Analysts. He focuses on equity research and analysis for the team's equity models and conducts due diligence on investment managers and alternative investments.

**Michael Zangoglia, CFA**

**Responsible for equity research, along with alternative investment and institutional money manager due diligence**

Mike joined Katz Wealth Management in 2015. As a Chartered Financial Analyst®, Mike is responsible for research and analysis in selecting securities for the team's equity models. In addition, he focuses on all institutional money manager and third-party investment solution due diligence. He also provides clients with ongoing portfolio reviews* and market updates. Mike is stationed in south Florida supporting the team's local business in the area.

**Jordan Ricciardi, CIMA®**

**Responsible for next-gen clients. Working closely with female clients and hosting client events**

Jordan joined Katz Wealth Management in 2023. She focuses on the financial needs of women and works with next generation clients on financial planning, investment analysis, and tailoring portfolios to align with their objectives.

**Sean Quinn, CFP®**

**Responsible for financial planning, insurance analysis and portfolio strategy reviews**

Sean joined Katz Wealth Management in 2017. As a CERTIFIED FINANCIAL PLANNER® professional, he focuses primarily on the comprehensive financial planning needs of our clients, which includes retirement planning, cash flow projections, insurance reviews and asset allocation strategies.

### Grace Wingerter

**Responsible for new client on-boarding, account opening, and client requests**

Grace joined UBS Financial Services Inc. in 2013 and is a Senior Client Service Associate. She provides ongoing administrative and operational service, such as new client orientation and on-boarding, account maintenance and client requests. She holds the Series 7 and 66 securities licenses.

### Zachary Mazur

**Responsible for portfolio reviews,* along with trading, account opening, fund transfers and online services access**

Zach has three decades of experience on Wall Street and is responsible for preparing comprehensive client strategy and performance reviews. He also plays a crucial role in the account opening process, strategy launches, and money transfers.

### Ella Weider

**Responsible for financial planning and client service efforts**

Ella joined Katz Wealth Management in 2024. She provides clients with comprehensive financial planning, which includes retirement planning, cash flow projections, insurance reviews, and asset allocation strategies. She also assists with administrative and operational client service.

### Layla Shapiro

**Responsible for client service efforts such as client onboarding and preparing portfolio reviews**

Layla joined Katz Wealth Management in 2024 and provides operational support for the team including new client onboarding and preparing portfolio reviews. She is also responsible for the team's client events and social media content.

### Jake Prussian

**Responsible for client service efforts, such as account maintenance and assisting with client requests**

Jake joined Katz Wealth Management in 2025 as a Client Service Associate providing operational support for the team. He recognizes that exceptional client service is the backbone of our team/business and works with clients to ensure their needs are fulfilled in a timely and diligent manner.

### Kathryn Sheridan

**Responsible for organizing client meetings and events, account services, helping clients with online service access, and sharing account documents**

After interning at UBS from 2017 – 2019 while finishing her studies, Kate joined Katz Wealth Management as the Executive Assistant in 2020. She assists in all operational responsibilities and client service for the team.

### Esther Wintner, CRPC™

**Responsible for all client service efforts, such as providing account-related details, preparing portfolio reviews and sharing account documents**

Esther joined UBS Financial Services Inc. in 2006 and is a Wealth Strategy Associate. Esther plays a crucial role in our team by providing timely market updates and conducting portfolio reviews. In addition to these responsibilities, Esther also offers administrative and operational support.

### Marc Green

**Responsible for portfolio analysis, market updates and estate planning strategies**

Marc, a 40-year industry veteran, is also a UBS Senior Vice President and a Senior Portfolio Manager. He provides clients with ongoing portfolio reviews* and market updates.

### Robert Schiff

**Responsible for portfolio analysis and market updates**

Robert focuses on portfolio construction, including asset allocation and risk management for high net worth clients.

### Ryan Barnes

**Responsible for portfolio analysis and market updates**

Ryan focuses on the team's portfolio analysis of the equity and mutual fund models, as well as strategic goal planning and portfolio analysis.

# Our wealth management process

## Identify

- We begin with a deep conversation to **identify** your investment goals, planning needs, risk tolerance and more

## Plan

- From there, Katz Wealth Management will develop your customized financial **plan**
- The plan is guided by your goals and helps dictate your optimal investment allocation

## Agree

- Next, Katz Wealth Management will collaborate to prepare a detailed analysis of your portfolio
- Working with you, we mutually **agree** on the solutions that best help you pursue your goals at every phase of your life

## Implement

- Once your plan is in place, we can help you **implement** your investment solutions
- Our team oversees your investment strategies and keeps you apprised of your progress

## Review*

- We can **review** upon your request and make any adjustments necessary as your life, financial circumstances and goals change

* We provide periodic monitoring of advisory accounts in accordance with the client's agreements with UBS. Unless separately agreed in writing, UBS does not manage client's brokerage account, and clients make the ultimate decision regarding the purchase or sale of investments.

# Who to contact

Each member of Katz Wealth Management has their own focus and responsibilities. To ensure you know the appropriate contact for each request, please see below.

## Relationship Management

| Contacts | Services | Phone | E-mail |
|---|---|---|---|
| Jason Maxwell Katz, CIMA® | Investment management, portfolio strategy, market commentary | 212-713-9201 | jason.m.katz@ubs.com |
| Alex Smith, CFP®, CIMA®, CEPA®, CPWA® | Portfolio strategy, fixed income and lending capabilities, corporate executive solutions | 212-713-9204 | alex.smith@ubs.com |
| Kenji Yoshikawa, CRPS®, CEPA® | Portfolio strategy, corporate retirement solutions, deferred compensation, cash balance plans | 212-713-9248 | kenji.yoshikawa@ubs.com |
| Evan Kresman, CFP®, CIMA® | Portfolio strategy and implementation | 212-713-9207 | evan.kresman@ubs.com |
| John Decker | Relationship and investment management | 212-713-2166 | john.decker@ubs.com |
| Michael Zangoglia, CFA | Portfolio strategy and implementation, alternative investment due diligence | 212-713-9205 | michael.zangoglia@ubs.com |
| Ryan Pratt, CFP® | Portfolio strategy, fixed income and lending capabilities | 212-713-9202 | ryan.pratt@ubs.com |
| Tommy Karavas, CFA, CFP®, CIMA® | Financial planning, portfolio strategy, Insurance, annuity reviews | 212-713-8465 | tommy.karavas@ubs.com |
| Ryan Rosegarten, CFP® | Portfolio strategy and implementation, next-generation, athlete and entertainer clients | 212-713-2580 | ryan.rosegarten@ubs.com |
| Joshua Levine | Portfolio strategy and implementation, next-generation clients | 212-713-9206 | josh.levine@ubs.com |
| Sean Quinn, CFP® | Portfolio strategy, Insurance, annuity reviews | 212-713-6246 | sean.h.quinn@ubs.com |
| Jordan Ricciardi, CIMA® | Portfolio strategy and implementation, next-generation clients, women's segment | 212 713-9280 | jordan.ricciardi@ubs.com |

## Financial Planning

| Contacts | Services | Phone | E-mail |
|---|---|---|---|
| Tommy Karavas, CFA, CFP®, CIMA® | Financial planning | 212-713-8465 | tommy.karavas@ubs.com |
| Sean Quinn, CFP® | Financial planning | 212-713-6246 | sean.h.quinn@ubs.com |
| Evan Kresman, CFP®, CIMA® | Financial planning | 212-713-9207 | evan.kresman@ubs.com |

## Markets and Research

| Contacts | Services | Phone | E-mail |
|---|---|---|---|
| Ryan Pratt, CFP® | Trade requests, investment analysis, alternative investment due diligence | 212-713-9202 | ryan.pratt@ubs.com |
| Lamar Remy, CFP® | Trade requests, investment analysis, alternative investment due diligence | 212-713-7836 | lamar.remy@ubs.com |

## Client service

| Contacts | Services | Phone | E-mail |
|---|---|---|---|
| Grace Wingerter | Client operational requests, transfers, account opening | 212-713-9278 | grace.wingerter@ubs.com |
| Ella Weider | Client operational requests, transfers, account opening | 212-713-6172 | ella.weider@ubs.com |
| Layla Shapiro | Client operational requests, transfers, account opening, portfolio Reports | 212-713-8756 | layla.shapiro@ubs.com |
| Zachary Mazur | Client operational requests, transfers, account opening | 212-713-9504 | zachary.mazur@ubs.com |
| Jake Prussian | Client operational requests, transfers, account opening | 212-713-4530 | jake.prussian@ubs.com |
| Esther Wintner, CRPC™ | Client operational requests, transfers, account opening | 212-713-3016 | esther.wintner@ubs.com |
| Kathryn Sheridan | Client scheduling/meetings and events, operational requests, transfers | 212-713-2600 | kathryn.sheridan@ubs.com |

## General Inquiries

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|---|---|---|
| OLS help: 888-279-3343 | KWM E-mail: katzgroup@ubs.com | KWM Phone: 212-713-9201 |

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