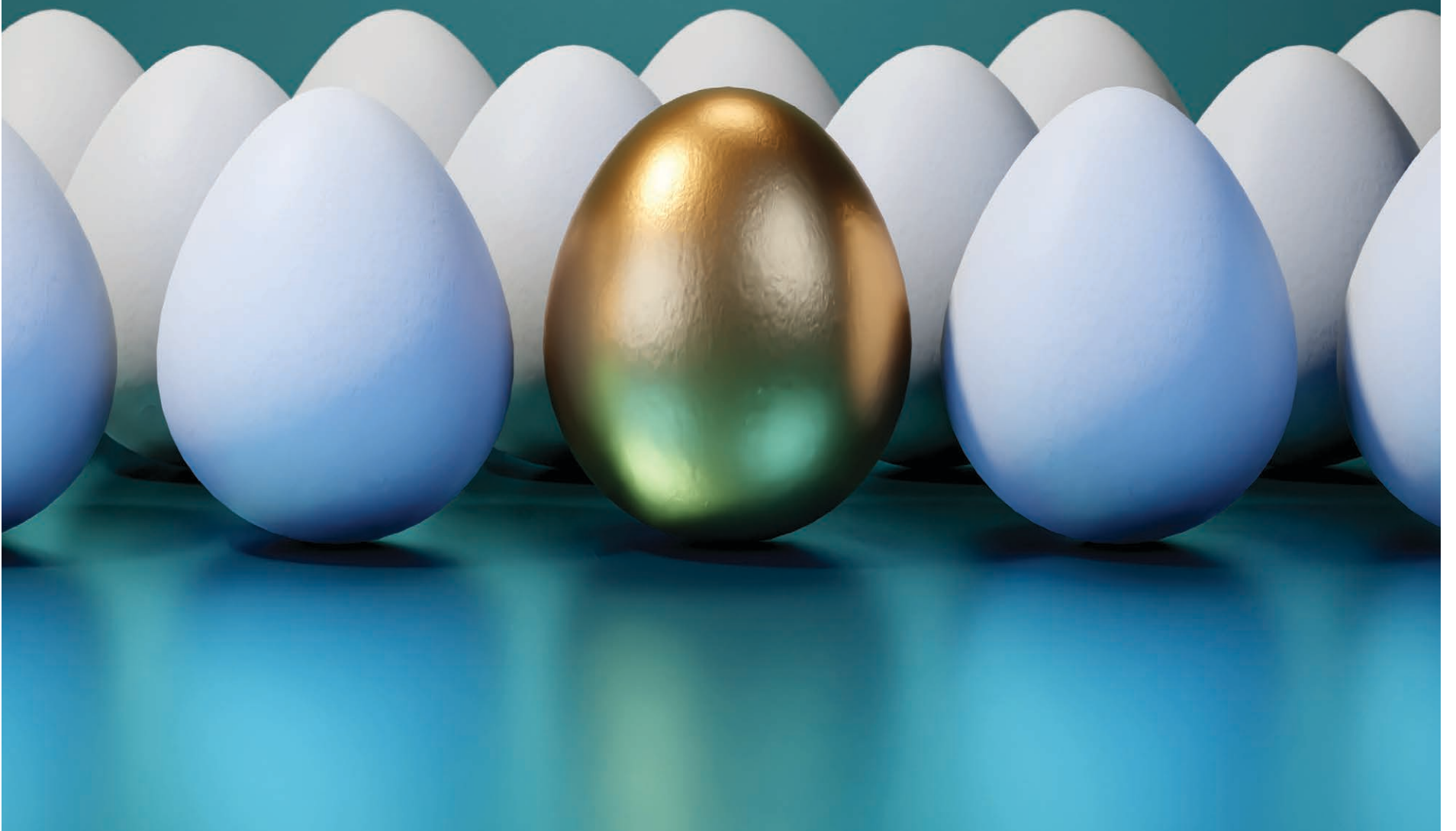


LEADERS OF INFLUENCE: Wealth Managers



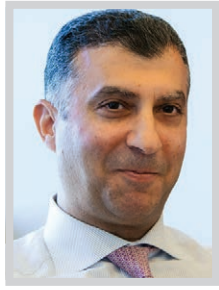
THE RIGHT WEALTH MANAGEMENT PROFESSIONAL DOES MORE THAN ADVISE YOU REGARDING HOW TO INVEST your money. He or she – and the financial institutions they represent – can genuinely prepare your entire family for financial stability and fiscal comfort for generations to come, and offer highly personalized plans for investing, charitable giving, and other specific needs.

There are some truly outstanding professionals making up the Los Angeles wealth management landscape. We've shone the spotlight on some of the very best of them here, along with information about their careers, practice and a quick look at what makes them so good at what they do.

Congratulations to the trailblazing professionals who made this list and thank you for your contributions to the local economy and the financial stability of the individuals and families that live here.

Methodology: The professionals featured in these pages did not pay to be included. Their profiles were drawn from nomination materials submitted to the Los Angeles Business Journal. Those selected for inclusion were reviewed by the editorial department. The professionals were chosen based on a demonstration of impact made on the profession and on the Los Angeles community.

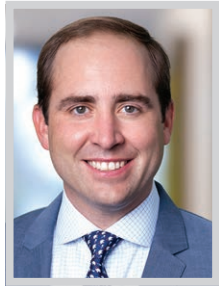
LEADERS OF INFLUENCE: WEALTH MANAGERS

**MIKE AMASH**

Partner; President
Westmount Partners

Mike Amash has distinguished himself as a trusted advisor among his clients and a respected leader behind the scenes. He has also played an important role in facilitating Westmount's transformation from a small independent advisor managing \$250 million in assets to one of Los Angeles' pre-eminent advisory firms overseeing over \$5 billion by the end of 2023.

Amash's career parallels the evolution of the broader financial industry. He started as a commission-based securities broker when the industry was on the cusp of shifting toward a fee-based model. He joined Westmount in 2002 as a senior portfolio advisor. Amash quickly emerged as a rising leader and was named one of Westmount's first equity partners and senior vice president in 2010. As further recognition of his many contributions over the years, he was named president in 2022, cementing his status as a next-generation leader of the firm.

**ZACHARY BAITER**

Managing Partner
Gerber Kawasaki Wealth and
Investment Management

Zach Bainter is a managing partner and founding member of Gerber Kawasaki Wealth and Investment Management, overseeing \$200 Million as of January, 2023. His career in wealth management began while he was completing dual undergraduate degrees at UCLA in 2009. Hired before graduation, he started studying for his series of license tests so he could begin his career immediately after graduating Magna Cum Laude.

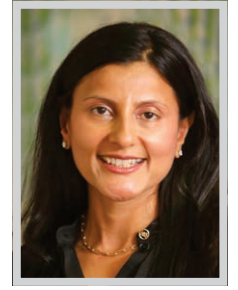
At the age of 23, he was quickly promoted to management. Helping start a wealth management firm taught him to be adaptable and dependable. By 28 he was promoted to managing partner, the youngest at the time. One of the things that makes Bainter unique is when he is all-in, he works tirelessly to do an exceptional job for his clients. His incredible attention to detail and ability to listen helped lead to his success.

**RICK BARRAGAN**

Managing Director, Head of Los Angeles
J.P. Morgan Private Bank

Rick Barragan is head of Greater Los Angeles for J.P. Morgan Private Bank in which he oversees a team of nearly 120 bankers, wealth advisors and support staff across five offices including Los Angeles, Pasadena, Santa Barbara, South Bay and Westlake Village, who deliver differentiated strategies that care for the unique requirements of significant wealth.

In his 30+ year career with J.P. Morgan, Barragan has amassed a strong track record in various senior leadership and mentorship positions, including serving as the founder and co-chairman of the Corporate Investment Banking Black Leadership Forum, an internal organization that promotes the recruitment, development and retention of Black leadership; and co-sponsor of The Fellowship Initiative. He has played a direct role in increasing the total headcount of bankers across the Greater Los Angeles business significantly over the last three years.

**SUPRIYA BATRA**

Partner
Bel Air Investment Advisors

Supriya Batra, partner at Bel Air Investment Advisors since 2015, has demonstrated an unwavering dedication to client service in the wealth management field. Her journey in wealth management spans over two decades, serving previous roles at institutions like J.P. Morgan, Sterling Stamos and Goldman Sachs, before joining Bel Air. At Bel Air, Batra has made a profound impact advising high-net-worth individuals, families and foundations. Her experience in portfolio management, financial modeling and navigating tax and estate issues is particularly noteworthy.

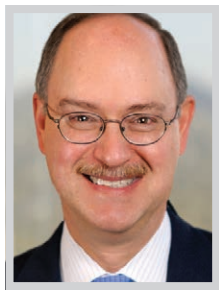
Batra has excelled in the preservation of financial capital across generations while unlocking new avenues for growth and investment. Her consistent performance, especially in navigating volatile financial markets and challenging economic cycles, highlights her long-term strategic thinking and resilience. Batra has been an integral part of Bel Air's growth over the past decade, culminating in the milestone of \$10 billion in total firm AUM surpassed in 2023.

**DARNEL BENTZ**

Senior Wealth Advisor
Kayne Anderson Rudnick

Darnel Bentz is a senior wealth advisor at Kayne Anderson Rudnick (KAR) and has 23 years of experience in the investment management industry. He is a member of the KAR Wealth Advisor Team that has ranked among Barron's Top 100 Independent Advisors for 2023. This is the tenth consecutive year the team has been recognized by Barron's, including a four-year stretch from 2017-2020 in which they were ranked first overall.

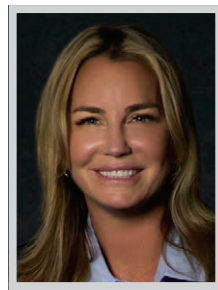
Bentz focuses on the integration of alternative investment strategies and the customization of client financial plans. In 2023, he continued to successfully grow his wealth management practice and brought in over \$41 million in new client assets. Bentz's professional priority is for clients to experience the highest-quality service, gain valuable peace of mind and have confidence that their life goals are obtainable and will be achieved.

**JIM BERLINER**

Chairman
Westmount Partners

Jim Berliner is a co-founder of Westmount Partners, currently serving as its chairman. Under his leadership, Westmount has grown into one of Southern California's premier wealth management firms, managing more than \$5 billion in assets.

Berliner began his career practicing law following his graduation from Harvard Law School. For most of this period, Berliner was a federal prosecutor in the US Attorney's Office. He went on to become a co-founder of Westmount in 1990. In the ensuing years, Berliner has played a pivotal role as the Chair of Westmount's Investment Committee and helped the firm distinguish itself in several unique ways from its peers. Notably, Westmount has firmly established itself as an expert in alternative asset classes that typically move out of sync with the traditional stock and bond markets. Westmount has implemented this allocation using both publicly traded and private investments.

**KARA BOCCELLA**

Partner
Certuity

Kara Boccella has successfully advised and managed her client's portfolios and affairs over her 30-year career. She currently manages approximately \$970 million and is continuing to grow organically through a robust referral base. She works to create a transparent relationship with all clients.

Boccella takes a holistic view of each client's situation and tailors her approach to suit their needs. She makes recommendations and executes strategies that provide cost-effective, balanced wealth solutions that are constantly monitored and adjusted as market conditions and lifestyle changes dictate. Her unique, all-encompassing approach covers planning and execution in such areas as investment management; tax, trust and estate, retirement, and insurance needs; employee benefits, company stock, and partnership plans; legacy divestment, charitable donations, and philanthropic pursuits; next-generation wealth transfers, education funding, mortgage financing, and debt structuring; automobile acquisitions, either through purchase or lease; as well as any other financial needs.

**JOSEPH BUI**

Managing Director,
Endowment and Foundation Specialist
Bank of America Private Bank

As a managing director and Endowment and Foundation Specialist at Bank of America Private Bank, Joe Bui offers strategic fiduciary investment management and philanthropic services to endowments, arts and cultural institutions, corporations, healthcare and faith-based organizations, foundations, families and individuals. As a leader in philanthropy, Bui serves as a trusted advisor to Boards of Directors, C-suite executives and Centers of Influence looking to achieve their financial goals through philanthropic investments. He also provides advice and consulting in areas of sustainable and impact investments, governance, fundraising, and ongoing education for clients.

Bui leads a team of nonprofit experts that reach clients in 11 states, and brings in over \$1 billion annually in new endowment and foundation assets. His 24 years of nonprofit experience grew out of his deep passion for making a positive, meaningful impact in his local community.

CONGRATULATIONS FOR INCLUSION IN THIS YEAR'S...

2024 Leaders of Influence: WEALTH MANAGERS



FOUNDER & CEO

CORY J. CHAPMAN



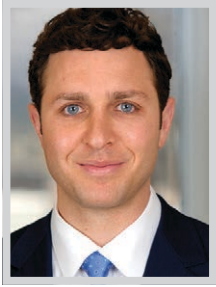
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Cory Chapman is an Investment Adviser Representative offering advisory services through EFC Wealth Management Firm, LLC, a California State Registered Investment Advisor. Insurance products and services are offered through EFC Insurance Agency, CA Ins. #0H87076, and EFC Wealth Group, Inc., CA Ins. #0B92957. EFC Wealth Management Firm, LLC is an independent financial services firm helping individuals create retirement strategies using a variety of investments and insurance products to custom suit their needs and objectives.

LEADERS OF INFLUENCE: WEALTH MANAGERS

**MIKE CANNONE**

Partner; Managing Director
Westmount Partners

Since his early days at Westmount, Mike Cannone has established himself as a leader both inside and outside the firm, guiding the business development strategy and serving on the boards of numerous non-profit organizations across Los Angeles.

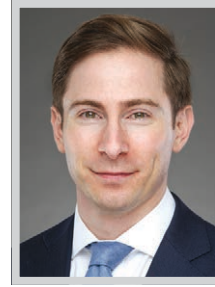
Cannone has been directly responsible for originating nearly \$600 million in new client assets, as well as for accelerating the pace of assets under management (AUM) growth at the firm, hiring additional team members, implementing mentorship programs, expanding the firm's business development and marketing efforts, and broadening its geographic footprint. Over Cannone's tenure, the firm's AUM has more than tripled, now over \$5 billion. He played an integral role in shaping Westmount's early marketing strategy and later architected Westmount's Growth Team, prioritizing both business development and marketing. He has also made additional key hires to scale up Westmount's outreach efforts and presence.

**CORY CHAPMAN**

CEO / Founder
EFC Wealth Management Firm, LLC

Under Cory Chapman's guidance, EFC transcended its initial status as an IA attached to a broker-dealer, evolving into an RIA in 2021. Chapman has independently mastered the intricacies of wealth management and retirement planning, culminating in a practice that amassed over \$100 million in total assets by 2023. Notably, as the senior producer in his office, Chapman's contributions have been instrumental in fostering the success of EFC's practice.

What distinguishes Chapman within the field is his holistic approach to planning. His methodology extends beyond mere investment counsel, encompassing factors such as taxes, risk management, income strategies, healthcare and legacy planning. Clients gravitate towards Chapman for his adeptness in minimizing their tax burdens during retirement, as well as his provision of meticulously crafted income plans, instilling confidence in their financial journey. Chapman's dedication to client education is evident through his monthly educational workshops, where clients gain insights into retirement strategies.

**HENRAY COHEN**

Senior Vice President;
Regional Senior Investment Officer
Northern Trust

Henry Cohen is a senior vice president of The Northern Trust Company and serves as the regional senior investment officer for the firm's Southern California Region. In this role, Cohen oversees the investment practice for the Los Angeles, Orange County, San Diego and Santa Barbara markets. Cohen is also a voting member of Northern Trust's Investment Advisory Committee (IAC), which is responsible for the approval, evaluation and monitoring of investment solutions used within Northern Trust's Wealth Management business.

Cohen has spent the past decade managing investment portfolios and providing holistic financial advice for wealthy families and individuals. Prior to joining Northern Trust, Henry worked in public accounting as a member of Deloitte & Touche's auditing practice. He obtained his CPA license in 2011, and currently holds this license active.

**BRIDGET COSTELLO**

Wealth Advisor
Kayne Anderson Rudnick Wealth Advisors

Boasting a retention rate of 100%, Bridget Costello is a wealth advisor whose 16 years of experience in the investment management industry have helped finely tune the client service experience and create the foundation for success. As a member of the Kayne Anderson Rudnick Wealth Advisor Team, Costello has been recognized for contributions earning her team a Top 10 spot among Barron's Top 100 Independent Advisors.

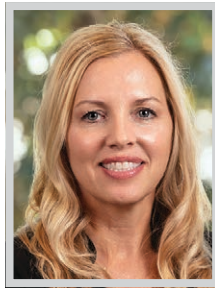
Costello's approach to wealth management concentrates on the quality of her client relationships. She honors the delicate process of earning clients' complete trust and relishes her ability to provide the financial peace of mind clients need for major transitions in life such as marriage, childbirth and retirement. Being the voice of reason that helps guide people through moments of uncertainty and turns lack into abundance is rewarding, not just for clients, but for Costello who aspires to be a pillar in their lives.

**OLIVIER DE GIVENCHY**

Managing Director, West Region Head
J.P. Morgan Private Bank

Olivier de Givenchy is the West Region head at J.P. Morgan Private Bank. In this role, de Givenchy leads more than 630 bankers, investors, wealth advisors and support staff across 15 offices covering clients throughout 10 states. Within California, he oversees approximately 440 employees managing nearly \$170 billion in client assets. In support of J.P. Morgan Private Bank's ambitious growth strategy, under de Givenchy's leadership the California market has grown in terms of headcount by 140% over the past five years.

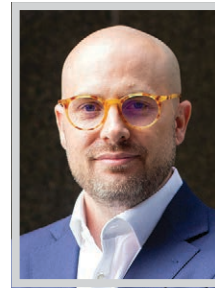
Based in Los Angeles, de Givenchy leads the West region and its teams in offering innovative solutions and advice to help clients grow and preserve their wealth over generations. With a career in the financial services industry that began in 1985 in Citibank's training program, de Givenchy joined Bankers Trust in 1989 where he managed the European private banking business.

**KATHLEEN DELONG**

Managing Director,
West Los Angeles Senior Market Executive
Merrill Lynch Wealth Management

Kathleen DeLong has quickly risen within Merrill from her start as a financial advisor helping clients achieve their investment and retirement planning goals, to being appointed to executive leadership roles. She was recently brought to Los Angeles to lead one of the largest and top-producing Merrill regions in the country: three key Merrill offices in the West LA Area – Beverly Hills, Century City and Santa Monica.

The flagship Los Angeles market consists of 120 financial advisors and 85 support staff, serving high-net-worth individuals, families and businesses with current combined assets under management of \$26 billion (a nearly 14 percent increase since she was named to her new position). Under DeLong's leadership the team strives to create a culture of sharing and innovation in the market, helping clients manage both sides of the balance sheet to achieve their goals through a tax-efficient strategy.

**TYRONE DINNEEN**

Financial Advisor
Northwestern Mutual

Tyrone Dinneen's mission is to provide professionals, families and business owners with goal-based, wealth-building financial plans that stand the test of time. By aligning knowledge of employer benefits with strategies around tax efficiency, wealth building and wealth preservation, Dinneen and team create value for clients.

Dinneen's goal at Northwestern Mutual since he started there has been to continue helping professionals working in the non-profit space (Dinneen has a background from earlier in his career serving and growing non-profit organizations). Dinneen has expanded his client base to begin working with business owners and tech professionals. Not only does he serve clients, but he also serves as a formal mentor for new advisors joining the firm. Since the beginning of his time at Northwestern Mutual, his practice has grown from a one-man team to a team of seven professionals uniquely placed to provide clients with the highest level of service.

**DANA GRAY**

Senior Vice President & Senior Trust Advisor
Northern Trust

Dana Gray is a senior trust advisor in the Century City office of Northern Trust. She is responsible for advising clients on estate planning, wealth transfer techniques and the administration of trusts.

Prior to joining Northern Trust, Gray was a director of strategic planning at Quintile Wealth Management in West Los Angeles, working with high net worth individuals to design their gifting vehicles and comprehensive estate plans. Prior to that, she was a director of strategic planning at myCFO in the Los Angeles office. Gray also worked at Deloitte & Touche, LLP in the Estate, Gift and Trust Group. She also practiced as an attorney specializing in estate planning, drafting and implementing living trusts and representing clients in probate court. She is the co-chair of the Estate Counselors Forum in West Los Angeles.

LEADERS OF INFLUENCE: WEALTH MANAGERS



SHANE HALL

*Managing Director; Private Client Advisor
Bank of America Private Bank*

Shane Hall is a managing director, private client advisor with Bank of America Private Bank in Los Angeles. He recently received the title of managing director due to his tenure as a trusted and proven advisor to some of the most high-profile and complex relationships in Greater LA. His clients include billionaires, CEOs, business owners, multi-generational family offices, public charities, private foundations, household names, high-net-worth women, investment professionals and many more than \$5 million net worth families and individuals.

With a business of \$3.4 billion in client balances, Hall has the fourth largest book of business in Greater Los Angeles within B of A's Private Bank line of business. He oversees recurring client revenue of \$22 million, and \$2.7 billion of his client balances are in investment management and trust. Hall's expertise across wealth management topics is clearly demonstrated by measurable revenue generated from the Private Bank and enterprise.



JULIE HAYES

*Managing Director; Senior Wealth Advisor
Truist Bank*

Julie Hayes is a managing director and senior wealth advisor for Truist Wealth. She brings over 21 years of wealth management experience advising and working with a select group of high-net-worth families. Her practice focuses on business owners and multi-generational families. Hayes builds trusting relationships with her clients. This starts by listening and working to understand their priorities, goals and family dynamics. She then custom tailors a team of specialists, who systematically manage and implement the plan. The plan may include financial and estate planning, risk and investment management, and strategic credit.

Outside her work on behalf of her Truist Wealth clients, Hayes is dedicated to giving back to the communities she serves. She serves on the Central Coast and Southern Central Valley Board of the Make A Wish Foundation. She also volunteers for Girls Inc., Santa Barbara and Hope Gardens, Los Angeles.

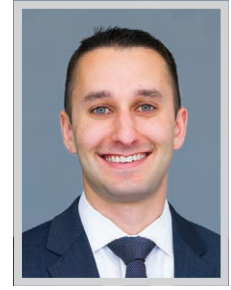


BRIAN HOLMES

*President, CEO
Signature Estate & Investment Advisors, LLC
(SEIA)*

Brian D. Holmes, MS, CFP, AIF is the president and CEO of SEIA. As of December 31, 2023, SEIA and its affiliates manage \$19.1 billion of assets. He is one of SEIA's four founding partners, who have shared over two decades of teamwork together and he currently sits on SEIA's investment committee. Holmes has been in the investment management business for over 35 years, maintaining a successful independent private practice with his team for over 300 clients.

Holmes was named to the Barron's Hall of Fame in 2019, as one of 145 advisors nationwide. He is a past member of the Schwab Institutional Advisory Board and served on the UCLA Department of Economics Board of Visitors to enhance the curriculum of the Business Economics major. Many notable clients, executive groups, corporations and universities have retained Holmes for lectures, including guest lectures at UCLA's undergraduate Economics and Investments classes.



MATTHEW IANTOSCA

*Managing Partner; Director of Wealth Management
Gerber Kawasaki Wealth and
Investment Management*

Matthew Iantosca is a managing partner at Gerber Kawasaki Wealth and Investment Management. Recently, Iantosca was honored as GK's Advisor of the Year after having the largest AUM growth in 2023, which reached 275 Million (as of 1/19/2023).

After a stint at Morgan Stanley as an analyst, Iantosca moved to Gerber Kawasaki in 2010 and developed an impressively diverse clientele. Initially, his business was built on an astute observation: he noticed that many divorced or widowed women had no one to look after their finances. His retired or nearly retired clientele are continuously drawn to Iantosca's patient explanations, personable approach and seemingly inexhaustible attention to detail. Clients quickly learn how hard Iantosca works and how deeply he cares for them. Client queries are typically met with lightning-fast responses directly from Iantosca. Iantosca will fight for his clients if the result will save them money or improve returns.

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Congratulations to **Kara Boccella** and **Mark Udis** on this prestigious recognition!

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Mark Udis
Partner
mudis@certuity.com
(310) 698-8100
Manhattan Beach

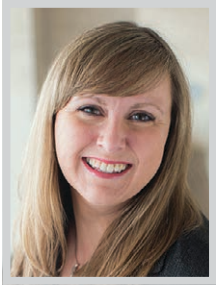
Kara Boccella
Partner
kboccella@certuity.com
(310) 727-0740
Santa Monica

Certuity provides a holistic approach to wealth management, legacy planning, and family office services. Our advisors always put your best financial interests first, ensuring your peace of mind.

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The period to which the recognition applies is from March 2024 to March 2025.

LEADERS OF INFLUENCE: WEALTH MANAGERS

**MOLLIE KAISER**

Private Wealth Advisor
Strategic View Advisors

Mollie Kaiser is responsible for providing advice and guidance to Strategic View Advisor's clients. She also sits on several committees, including the financial planning and investment committees, and contributes to our broader organizational strategy.

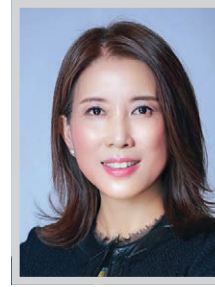
Kaiser brings with her extensive experience from both Bernstein Global Wealth Management and Credit Suisse, where she handled a broad range of advising, planning, investment management and client service responsibilities. After several years of working in social service at the beginning of her career, Kaiser decided to take her expertise in finance and passion for helping others and channel it into the world of financial planning. Kaiser is a member of the South Bay Estate Planning Council, Financial Planning Association, Estate Planning and Trust Council of Long Beach, C-Sweet, ProVisors and the Northwestern Mutual Women's Field Association.

**OLGA KAPITSKAYA**

AVP; Financial Advisor
RBC Wealth Management

Olga Kapitskaya has been working in the financial industry since 1995 and joined RBC Wealth Management in 2022 following more than a decade of professional experience as a financial advisor at Merrill Lynch Bank of America. Her professional background includes wealth advisory, institutional equity research with the concentration in medical devices, private equity roles at other leading wealth management firms in New York City and Los Angeles. She chose a financial services career due to her desire to help others. This passion stems from witnessing the challenges faced by people that need a caring professional to help define goals, establish a wealth management strategy centered on their priorities, and help them adjust the strategy as needed.

Kapitskaya has also spent time as adjunct faculty at Pepperdine's University Graziadio School of Business applying her practical knowledge to teaching disciplines like equity valuation and mergers and acquisitions.

**MARLYNN YUXIA MA**

Managing Director; Wealth Management Advisor
Merrill Wealth Management

Marlynn Yuxia Ma is a managing director and wealth management advisor with Merrill Wealth Management in Pasadena. Fluent in Mandarin, Marlynn Yuxia has depth serving the area's Asian American community, helping wealth creators, entrepreneurs, privately-owned businesses and multiple generations of client families to preserve, grow and transfer wealth more effectively. With more than 20 years in the industry, Ma brings her business optimization, pre- and post-transaction planning, tailored portfolio management, trust and estate planning services, custom lending, and philanthropic services and insights to clients.

Overseeing \$850 million in AUM, Ma specializes in multi-generational estate planning and helping entrepreneurs within the local Asian American community prepare for retirement. Concurrent with this role, Ma also oversees retirement benefit assets for corporate clients, including 401(k), profit sharing, defined benefit and deferred compensation plans. She works closely with plan sponsors and administrators to enhance education, participation and talent recruitment.

**JOSH MARKMAN**

Partner
Bel Air Investment Advisors

Josh Markman's career at Bel Air Investment Advisors, which began in 2008, exemplifies excellence in wealth management and investment advisory services. As a partner at the firm, Markman has consistently demonstrated a deep and nuanced understanding of investment dynamics, which is critical for advising private clients, organizations and endowments.

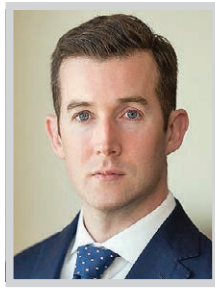
Markman utilizes a comprehensive approach to investment to set investment objectives, lead portfolio construction, and conduct risk analysis. His experience in next-generation and estate planning underscores his holistic approach to wealth management. As a voting member of the firm's Executive Committee, Markman plays a pivotal role in the firm's management. Before his Bel Air tenure, Markman served at Goldman Sachs & Co. in Los Angeles, where he was vice president in the Investment Management Division. His specialization in fixed income, equity and alternative investing for wealthy families and institutional investors laid a strong foundation for his current role.

**ROGER RECUPERO**

Senior Managing Director
Northern Trust

Roger Recupero is the senior managing director of the Century City Wealth Management team, focused on helping high net worth individuals and their families achieve financial goals through wealth planning, private banking, investment management, and trust and estate planning solutions. Prior to his current role, he was a senior portfolio manager. Recupero has worked to serve the needs of foundations, entrepreneurs, corporations and pension plans, in addition to private clients.

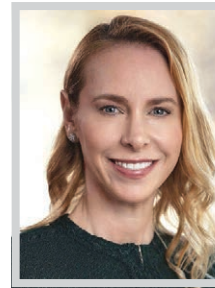
Recupero is an alumnus of Class 46 of the Riordan Leadership Institute, a program of the Los Angeles Junior Chamber of Commerce focused on service to LA-based nonprofits. He served as the national co-chair of the Northern Trust United Way Campaign, raising over \$3.8 million for United Way. He holds a CFP designation issued by the Certified Financial Planner Board of Standards Inc. and a Certified Private Wealth Advisor designation issued by the Investment Management Consultants Association.

**DAVID REGAN**

Managing Director; West Region Head of Investments & Advice
J.P. Morgan Private Bank

David Regan is head of investments and advice for the West Region at J.P. Morgan Private Bank overseeing nearly 60 investment specialists across 15 offices, covering clients across 10 states who work with institutional clients, families and foundations to address the unique requirements of significant assets. Within the Greater Los Angeles metro area, Regan oversees nearly 20 investors who manage approximately \$60 billion of client assets. Regan is responsible for developing and managing relationships with clients, offering a highly attentive experience while addressing their investment needs.

Throughout his 25-year-long career at the firm, Regan has held various roles working with clients from around the world. He has served on the firm's Strategy and Solutions team specializing in manager selection. Regan expertly guides his team to accomplish the overall mission of providing clients with a coordinated approach across their investments and broader wealth picture to meet their complex financial goals.

**ROSEMARY RINGWALD**

Managing Director; Wealth Strategies Advisor,
Head of Art Planning, Planning Center of Excellence
Bank of America Private Bank

Rosemary Ringwald is a managing director and wealth strategies advisor based in Los Angeles, and the head of art planning for Bank of America Private Bank nationally – overseeing a multi-billion-dollar portfolio.

In her unique role as head of art planning, Ringwald provides in-depth analysis and strategic advice to clients looking to leverage their collections of art and collectibles for estate planning and investment purposes. She advises clients on a range of strategies, including navigating art and collectibles charitable donations to museums, establishing private museums, and assisting clients seeking to lend collections to arts and cultural institutions. She is also a wealth strategist and advisor for Bank of America Greater Los Angeles Private Bank. As part of the larger Los Angeles Private Wealth team, she offers her expertise in planning for the management and disposition of luxury goods such as jewelry, sports paraphernalia and classic cars for her clients.

**DANIEL ROONEY**

Managing Director
Northwestern Mutual

An expert in wealth preservation and retirement planning, Daniel Rooney and his team are passionate about helping others achieve a fulfilling and fruitful life. They work with clients entering each chapter of life, helping them to realize their goals and make progress towards a financially sound future. Rooney's specialty is in working with medical device professionals, physicians, attorneys and business owners to uncover the tailored solutions best suited to each party's needs. Naturally a creative thinker, Rooney's unique approach to planning is defined by choice and optionality.

Rooney and his team's focus is rooted in financial security for private wealth clients. From investments, risk management, paying down student loans, funding college for kids or buying a home, and everything in-between, Rooney works to educate and empower his clients to take action on building a holistic and comprehensive plan that fits their needs.

LEADERS OF INFLUENCE: WEALTH MANAGERS



JOE SEETOO

Senior Vice President and Partner
Morton Wealth

Over Joe Seetoo's 25 year career, he has been a leader as a trusted advisor to many high net worth families and business owners having sourced and advising on nearly \$400 million during this time. He is a chartered financial analyst, a certified financial planner and a certified exit planning advisor. In 2020, Seetoo formed the Exit Planning Institute Conejo Valley Chapter and has acted as its president for the last four years. In 2023, he was named "Member of the Year" from among nearly 10,000 EPI members.

In 2023, Seetoo formed collaborated with the LABJ and the EPI to conduct the 1st State of Owner Readiness Survey in the greater Los Angeles area to understand how resilient and transition ready these businesses are. The survey which was completed by over 300 owners culminated in a white paper that was released earlier this year.



ELIJAH SOUZA

Managing Partner
Gerber Kawasaki Wealth and Investment Management

Recently, Elijah Souza was promoted as the newest partner at Gerber Kawasaki Wealth and Investment Management. Souza has built an extremely impressive roster of clients completely from scratch. He now manages \$108 million (as of 1/19/2023) with his clientele being based mostly in entertainment and sports. Souza credits much of his success to the mentorship he received from the managing partners at Gerber Kawasaki who pushed him to hone his skills as an advisor and become a certified financial planner. Receiving a designation that is only achieved by 20% of all financial advisors, vividly displayed his dedication to helping his clients in the most efficient way possible.

Souza's professional achievements demonstrate that anything is possible. Not only has he reached heights that most financial advisors aspire to, he became a GK partner managing over \$100 million in less than thirteen years.

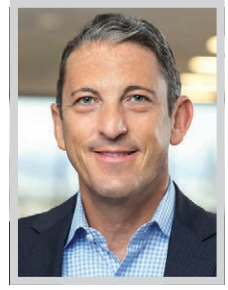


MARK UDIS

Partner
Certiuty

Mark Udis is a partner of Certiuty. He focuses on individuals and families of significant financial resources and is actively involved in the family office practice. He is an active member of Certiuty's investment strategy team.

Udis' client base is made up of technology entrepreneurs and executives, professional athletes, attorneys, doctors and prominent families. Udis has taken this unprecedented environment in the markets as an opportunity to prove the strength of his clients' portfolios, strengthen communication with his clients and discuss how he has positioned their portfolios to be prepared for market volatility and gradual shifts in underlying market and economic fundamentals. Udis takes pride in establishing trusted and long-lasting relationships. He understands that clients rely on his expertise and guidance, and he is dedicated to providing a consistent and exceptional level of service. Udis believes that honesty, integrity and authenticity are the core of the client experience.



MICHAEL WAXBERG

Private Wealth Advisor
Northwestern Mutual - Fortify Capital

Mike Waxberg is the founder and private wealth advisor of Fortify Capital, which is a member firm of the Northwestern Mutual Private Client Group. Waxberg is a certified financial planner and has spent over two and half decades building a nationally recognized investment and financial planning practice. He is deeply rooted in the legal, entertainment and business communities, advising on comprehensive retirement, investment and estate planning strategies. He has in-depth knowledge of tax and business planning, working with both individuals and businesses, helping to navigate the ever-changing financial landscape.

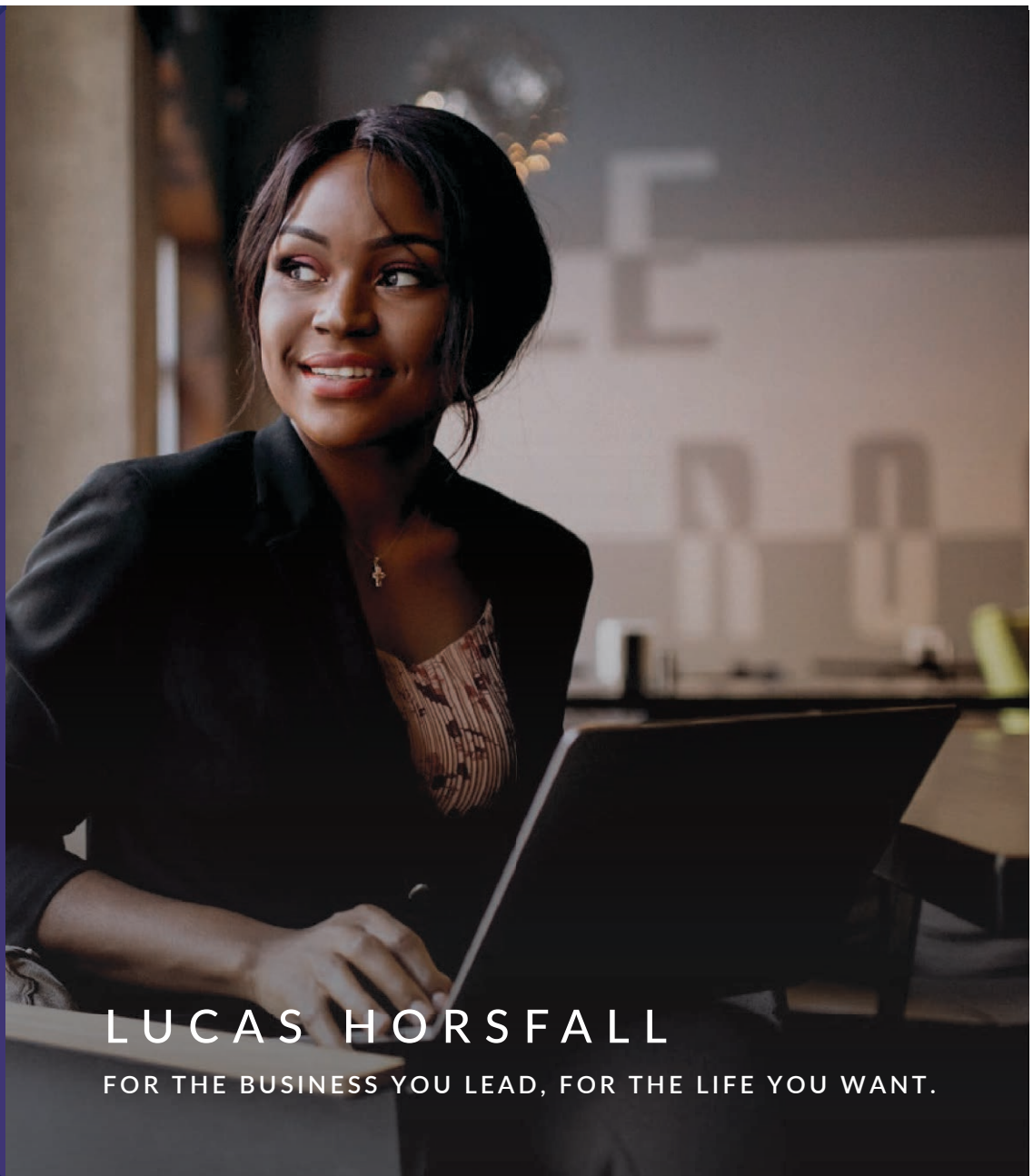
Waxberg and the Fortify Capital team lead with integrity, focusing on client needs, always seeking to provide transparency and education. Clients can expect timely and responsive communication, thoughtful care, and agile planning. Waxberg and the Fortify Capital team are committed to bringing simplicity and clarity to those individuals and businesses whose finances can be complex and multi-layered.

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LEADERS OF INFLUENCE: WEALTH MANAGERS

How Wealth Management Firms will Reinvent Themselves to Thrive in the Future

Study reveals how firms are preparing for the future as investor demographics and expectations shift worldwide

New analysis from a research coalition comprised of wealth management experts from ThoughtLab, Deloitte, FNZ, AWS, and Genesys shows that by 2028, the investment industry will look very different. Senior executives around the world believe that technological, regulatory, competitive, demographic, and economic shifts will redefine investor expectations and reshape the industry:

- 69% of executives believe AI will significantly change the way their firms work. And 47% say blockchain and related technologies will reduce the need for intermediaries, such as custodians and clearinghouses.
- 55% of executives say born-digital firms will transform the wealth industry, and 51% of wealth management firms leading in digital transformation expect a dramatic industry shakeout.
- 52% of executives say that most products will become commoditized, forcing providers to offer value-added services to defend fees. And 39% believe lines between wealth management, banking, and insurance will be blurred as investors demand more holistic

products and services.

The study highlights the need to accelerate digital and process transformation as Generation X moves to center stage, Generations Y and Z become more influential, and wealth grows in emerging markets:

- 68% of investors—and 74% of Gen Y/Z and 71% of Gen X—want their providers to offer digital experiences on par with leading born-digital companies.
- 60% of investors want their providers to supply them with better digital tools so that they can manage their investments directly.
- 51% of investors would invest through big brand retailers or tech companies if given the opportunity.

These results are from a ground-breaking study, “Building a Future-Ready Investment Firm.” The study included two worldwide surveys fielded in October-November 2023: a benchmarking survey of senior executives from a cross-section of 250 wealth management firms and a survey of 2,000 investors across countries, wealth levels, ages, lifestyles, occupations, and other characteristics. To gain qualitative insights, the study included an advisory panel of leading wealth industry experts, as well as in-depth interviews with senior industry practitioners from 11 wealth management firms.

“To thrive in the next era of investment, industry executives need a clear view of the future expectations and behaviors of worldwide investors and what providers plan to do to keep them happy,” said Louis Celi, CEO of ThoughtLab and director of the study. “Our research shows how firms need to rethink their products, services, processes, business models, and digital strategies to become future ready.”

FIVE KEY TAKEAWAYS

The research uncovered five important steps that wealth management firms are taking to become future ready:

- **Make client diversity a business opportunity.** Firms are going upmarket, down market and across global markets—and deeper into client niches—to find growth. They are using data to understand their clients as individuals, not investor segments, and personalize solutions. They are also diversifying their advisor base to serve a more heterogeneous clientele.
- **Digitally transform client advice and experience.** Technological advances are transforming advisor roles and client experiences. Over the next three years, 60% of advisors expect to use AI tools and 67% will rely on hybrid, tech-driven approaches. Firms are behind in meeting investor preferences for engagement through mobile devices and video conferences.

- **Rethink offerings for the next investing era.** Over the next three years, investors will want higher-value products and services—from alternatives (62%), annuities (50%), ESG investments (39%), and custom index funds (25%) to discretionary investment (60%), tax planning (44%), and private banking (41%). To deliver, firms will use digital solutions to drive down the cost to serve.

- **Adapt business models and market positioning.** A new playing field will emerge as digital entrants trigger market shifts and firms reinvent themselves and consolidate. Investor churn will add to the disruption: 56% of investors say they are considering changing providers over the next three years, with fees being the top reason. To respond, firms are lowering or capping fees, while others are building value by adding holistic and specialized planning services.

- **Drive performance through AI and digital innovation.** Firms have made huge progress in digital transformation, with 8 out of 10 advanced or midway in implementing their plans. Firms are seeing high returns on their digital investments: 44% report lower costs, 41% higher shareholder value, and 40% increased revenue. Over the last three years, AI was the top tech investment, which will continue over the next three years.

Learn more at thoughtlabgroup.com.

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