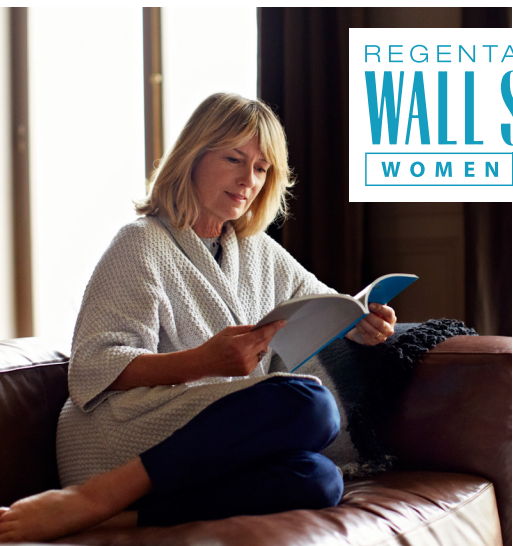


REGENT ATLANTIC
WALL STREET
WOMEN FORUM®



RECHARGING
In Times of Change

WEDNESDAY, APRIL 26, 2017
1:45PM - 7PM
10 ON THE PARK
TIME WARNER CENTER
COLUMBUS CIRCLE, NYC



Welcome!

Recharging in Times of Change, this year's theme, seems especially fitting given all the changes swirling around us - a new administration, potential shifts in regulatory policies, and disruptive innovation, with Wall Street firms growing and consolidating at the same time. Some of us see opportunities in such an environment. Others see the need to once again address the question of "what's next?" We embark together into this new and exciting, yet uncertain, era.

The change in seasons also signifies a transition, with Spring embodying the spirit of renewal. There are so many ways to recharge. Some of us are rejuvenated by interaction with people, while others prefer solitude. Some seek physical challenges, while others recharge with calmer activities. For each of us, our ability to move forward, change directions, overcome challenges, and shift gears — our theme from last year — is fueled by our renewed energy. Today is your opportunity to recharge and reset.

I'm delighted to welcome you here to the eighth annual RegentAtlantic Wall Street Women Forum®. The Forum – and today – is about you. It is about learning and benefiting from each other's experiences, supporting our fellow female colleagues across the industry, and making new connections. *Recharging in Times of Change* is a dialogue to help each of us propel ourselves forward in our professional and personal lives. We are so fortunate to have Elinor and Lissa with us today to share powerful insights and actionable advice from their respective journeys and the choices they've made along the way. Our breakout sessions, *Launch or Leverage: Start Your Own or Innovate from Within* and *Build Your Dream Network to Get Where You Want to Go*, dive into the questions most current on the minds of high-level women on Wall Street. What are the secrets to becoming a successful entrepreneur? Or perhaps you want to build something new from within your company. How can you tap into your entrepreneurial spirit to do that? We also know how critical relationships are. How do you create and nurture the most meaningful connections to get you where you want to go, now?

Today also marks eight consecutive years for the Wall Street Women Forum. I want to thank each of you for contributing to our incredible community. I am certain that we will all come away from this year's Forum with valuable insights, powerful connections, and a clearer plan to recharge and best position ourselves for ongoing success. Whatever path you choose, I know that all of today's speakers will share that having a destination is key, but enjoying the journey makes all the difference.

A handwritten signature in black ink, appearing to read 'Jane', with a stylized, flowing script.

Jane Newton
Managing Partner and Wealth Advisor
RegentAtlantic

A G E N D A

2:00 pm **WELCOMING REMARKS**

Jane Newton, *Managing Partner and Wealth Advisor*
[RegentAtlantic](#)

2:15 pm **OPENING KEYNOTE:** A Conversation with Elinor L. Hoover

Global Co-Head, Consumer Products Group
[Citi Corporate and Investment Banking](#);
Vice Chairman, Capital Markets Origination
[Citigroup Global Markets Inc.](#)

3:30 pm **CHOOSE ONE BREAKOUT SESSION**

SESSION A: Launch or Leverage:
Start Your Own or Innovate from Within

MODERATOR:

Julia Pimsleur, *CEO and Founder*,
Million Dollar Women; Creator, Million Dollar Women Summit; Author

PANELISTS:

Deborah Jackson, *Founder and CEO*
[Plum Alley](#)

Adam Quinton, *CEO*
[Lucas Point Ventures](#)

SESSION B: Build Your Dream Network to Get
Where You Want to Go

MODERATOR:

Heidi N. Moore, *Editor in Chief*
[Ladders](#)

SPEAKER:

Kelly Hoey, *Writer, Influencer and Professional Speaker*

4:45 pm **WHAT'S ON YOUR MINDS NOW**

5:00 pm **CLOSING KEYNOTE:** A Conversation with Lissa V. Young

Assistant Professor of Leadership and Management,
Department of Behavioral Sciences and Leadership
[United States Military Academy](#)

6:00 pm **RECEPTION:** Sponsored by BlackRock

7:00 pm **FORUM ADJOURNS**



Jane Newton

Managing Partner and Wealth Advisor
REGENTATLANTIC

Jane Newton advises individuals and families to help them realize their financial and personal objectives. Drawing on her Wall Street background, Jane has a particular focus on the unique planning and investment needs of women on Wall Street, extending to their career and personal issues. Her expertise includes addressing the challenges of employer stock-related compensation and evaluating career options in the context of each client's goals. Jane helps clients make sound, informed decisions to move towards their goals with well-designed investment portfolios and advice on critical planning needs and opportunities – all within each client's compliance constraints.

Jane joined RegentAtlantic in 2005. She has 17 years of prior experience on Wall Street in J.P. Morgan's investment banking and private banking groups. In June, 2015, Jane was named by Barron's to America's Top 100 Women Financial Advisors (#22)*. She was also named one of the "Best 50 Women in Business" in 2013 by NJBIZ*.

Jane received a BA from Tufts University in Economics and an MBA in Finance from New York University's Stern School of Business. She also holds the CERTIFIED FINANCIAL PLANNER™ designation. A member of the Women's Bond Club, 100 Women in Hedge Funds, and Stern Women in Business, Jane has been quoted and profiled in a number of publications, including *The Wall Street Journal*, *Fortune*, and *The New York Times*.

Jane conceived of and founded the RegentAtlantic Wall Street Women Forum in 2010 to help high-level women on Wall Street advance their careers. Forum events, which are by invitation only, bring together experienced women across all sectors of the industry to address their career challenges and opportunities in a rapidly changing industry and to foster strategic networking to further their professional success.

***Important Disclosure Information** | The Top 100 Women Financial Advisors ranking system is proprietary to Barron's. The ranking reflects the volume of assets overseen by the advisors and their teams, revenues generated for the firms and the quality of the advisors' practices as perceived by Barron's. The scoring system assigns a top score of 100 and rates the rest by comparing them with the winner.

Jane Newton did not pay a fee to participate in the Barron's rankings, however she completed a survey and provided the information needed to Barron's to participate in the ranking. Barron's did not disclose the number of advisors who submitted surveys.

Note that the Total Asset (\$mil) listed in the Barron's ranking is the Total Assets (\$mil) managed by RegentAtlantic as a firm and not by Jane Newton individually.

Best 50 Women in Business - An independent panel of judges selected the top 50 winners based on their dedication to business growth, professional and personal accomplishments, community involvement and advocacy for women. There is no ranking of the Best 50 Women in Business.

These rankings are not indicative of Jane Newton's past or future investment performance nor are they representative of any client's experience with Jane or endorsement of her service.

There was no fee to participate in these rankings.



A Conversation with Elinor L. Hoover

Global Co-Head, Consumer Products Group
CITI CORPORATE AND INVESTMENT BANKING;
Vice Chairman, Capital Markets Origination
CITIGROUP GLOBAL MARKETS INC.

Elinor L. Hoover is the Global Co-Head of the Consumer Products Group in Citi's Corporate and Investment Banking division. Her role includes advising corporations globally within the Food & Beverage and Household & Personal Care industries on a broad range of strategic and corporate finance issues. She also serves as Vice Chairman of Capital Markets Origination at Citi. In this capacity she has responsibility for originating the full range of capital markets based solutions, including equity and equity-related financings, debt financings, derivatives and other structured risk solutions. Additionally, she serves on the Management Committee of Citi's Corporate and Investment Banking group and co-heads the division's Diversity Committee. American Banker has selected Elinor for three years in a row as one of the "Most Powerful Women in Finance."

Elinor began her career in Finance in 1989 at CS First Boston in the Investment Banking division in New York. She then joined The Blackstone Group in Tokyo, where she worked for two years specializing in cross-border mergers and acquisitions. She joined Morgan Stanley in 1994 in the Fixed Income division, where she was responsible for building the firm's corporate derivatives business in the United States, Latin America and the Asia Pacific region. She was promoted to Head of Morgan Stanley's Corporate Fixed Income Capital Markets in 2005, to Co-Head of Fixed Income Capital Markets North America in 2007 and to Vice Chairman of Global Capital Markets in 2009. Elinor joined Citi in 2011 as Vice Chairman of Capital Markets Origination. In 2013, she was appointed Global Co-Head of Citi's Financial Strategy and Solutions Group, which is the corporate finance advisory and analytical team within Citi's Corporate and Investment Banking division.

Elinor graduated from Yale University with honors, receiving a Bachelor of Arts degree in music with a minor in molecular biophysics and biochemistry. She also received a Masters of Business Administration from the Harvard Business School. Elinor is an avid musician; during high school she studied piano and music performance, graduating from The Juilliard School of Music Pre-College Division.

Elinor currently resides in New York with her husband, Andrew, and their son, Philip. She serves as Vice Chairman of the Board of Directors of The Chamber Music Society of Lincoln Center and is actively involved with The Dalton School.

Launch or Leverage: Start Your Own or Innovate from Within

Are you wondering what it takes to start your own business? Or want to learn more about the entrepreneurial mindset and how you can be seen as an “intrapreneur” in your firm? Learn from our savvy panelists, who have been on Wall Street and built multi-million dollar companies, as they share their experiences becoming successful entrepreneurs and active supporters of female-led startups. What are the essential qualities of an entrepreneur? What skills do you already have that are transferable? Our speakers will address not only the challenges, but also the benefits, of going out on your own. Gain actionable advice to help you make the leap, including tips for forming a powerful network, building your team, and raising capital. Not ready to launch your own firm? We know the entrepreneurial mindset isn’t just for entrepreneurs. You’ll leave this session energized and inspired to innovate from wherever you are.



Julia Pimsleur, CEO and Founder

Million Dollar Women; Creator, Million Dollar Women Summit; Author

Julia Pimsleur is the CEO and founder of Million Dollar Women, creator of the Million Dollar Women Summit for high-growth women entrepreneurs, and the author of *Million Dollar Women: The Essential Guide for Female Entrepreneurs Who Want to Go Big* (Simon & Schuster, Amazon Top 20, Women & Business). Pimsleur's work with women entrepreneurs grew out of her own experiences as the founder and CEO of *Little Pim*, language teaching for young children, one of the few women-led venture capital backed companies in the U.S. Pimsleur has raised over \$26M in Angel, Venture and philanthropic dollars and blogs regularly about entrepreneurship, fundraising, and the “go big mindset.”

Pimsleur is the daughter of language teaching pioneer, Dr. Paul Pimsleur, as well as an award-winning filmmaker, trained NLP master practitioner coach, and mother of two. She founded Million Dollar Women to help one million women get their businesses to \$1M in revenues by 2020. When she is not speaking or coaching, Pimsleur can be found kicking a soccer ball in Central Park with her two amazing boys under the age of 12. She lives in Manhattan, speaks French and Italian and is an avid scuba diver.



Deborah Jackson, Founder and CEO **Plum Alley**

Deborah Jackson is a founder and entrepreneur, early-stage investor and former investment banker. She spent over two decades helping clients raise capital starting at Goldman Sachs when it was a small partnership. In the 1990s, she focused on raising private capital for some of the early health care related on-line sites and technology companies. Her private investments range from cloud based technology, consumer on-line services and mobile disruption technologies.

In 2012 Deborah founded Plum Alley to advance women entrepreneurs and strong teams of women and men, to build better products and companies that are positioned to outperform others. In 2015, Plum Alley launched Plum Alley investments and identifies opportunities for its members to be "future literate" as they invest in quality companies with high potential. Plum Alley forms syndicates and invests directly with other major investors and focuses on companies with transformative technology that will bring massive benefits to society.

Deborah's work has been featured in numerous publications including a feature story in the print edition of the *Washington Post*. She was selected by *Fast Company Magazine* in their cover story about 60 women worldwide who were selected for their "League of Extraordinary Women". Other articles have run in *Fortune*, *The Wall Street Journal*, *Forbes*, *The New York Times* and *Inc Magazine*.

Deborah's path to becoming an entrepreneur is a featured chapter in the 2014 book: *Innovating Women: The Changing Face of Technology*; and in two other books published in 2016 and 2017. In 2016, she was honored by Bpeace with the 2016 Leader of Economic Impact award.

Deborah has been on CNBC's Power Pitch and judges competitions at Harvard Business School, Startup Weekend and Columbia Social Entrepreneurs. She is recognized as one of *Forbes'* "Women Changing the World VCs/Entrepreneurs."

Deborah has been a featured speaker on entrepreneurship, venture funding and her own path at the: Texas, Massachusetts, and Pennsylvania Conferences for Women, Harvard Business School, Columbia Women in Business and the Family Office Association.

She has served on the Boards of numerous non-profit organizations and is a proud supporter of Columbia Business School and Columbia entrepreneurs. Deborah lives in Manhattan with her husband and spends time often with her adult daughters.



Adam Quinton, CEO **Lucas Point Ventures**

As the Founder/CEO of Lucas Point Ventures Adam invests in and advises early stage companies. He focuses on supporting diverse management teams. His investments include The Muse, Glassbreakers, Venuebook, Pinks and Greens, Snaps, Rapt Media, Hire an Esquire, and Validately. He is an Advisor/Mentor to San Francisco based Astia, Boulder based MergeLane and BeVisible, New York based 37 Angels, Menlo Park based Women's Startup Lab and LA based Vinetta Project.

In 2014 Adam was named by AlleyWatch one of "25 Angel Investors in New York You Need to Know" and also one of the "100 NYC Tech Influencers You Need to Know". In 2015 he was featured in Tech.co as "One of 8 VCs Making Waves" and in 2016 was named as one of "26 great people spearheading change in tech investment" by Silicon Republic. He is one of 15 founder VC backers for Ellen Pao's Project Include.

Adam sits on the Board of the Center for Talent Innovation (CTI) and is an Executive in Residence for Hewlett Consulting Partners. At International House, New York he is a Board member, sits on the Executive Committee and chairs the Development Committee. He is an Adjunct Professor at Columbia University, School of International and Public Affairs.

He has BA and MA degrees in Natural Sciences from Cambridge University and an MBA from Cass Business School in London.

Build Your Dream Network to Get Where You Want to Go

You know you can't, and shouldn't, do it all by yourself. Having the right network is the key to reaching your goals. In this interactive session, one of the best networkers around will share her practical Do's and Don'ts of networking – strategically and with intention. Who can you count on to help you continue to advance your career and how can you best leverage those relationships, in person and online? The people who got you where you are today may not be the ones to get you to the next step. Do you need to recharge your connections? Learn how you can position yourself so you are found for the opportunities you seek, decide thoughtfully which events and activities merit your time, and cultivate your network well before you need it. Walk away with valuable tips and suggestions of moves you can make today to build your dream network for tomorrow.



Heidi N. Moore, *Editor in Chief*
Ladders

Heidi N. Moore is the editor in chief of Ladders. She has consulted with international newsrooms on how to improve their journalism and increase their reach. Before joining Ladders, Heidi was the business editor at *Mashable*, where she revamped the business coverage, and started the business and personal finance sections for the *Guardian US*. Previously, she was the New York bureau chief for Marketplace Radio and a reporter at *The Wall Street Journal* covering the world financial crisis. Heidi has been a regular guest on TV and radio, including MSNBC, CNBC and NPR. Bylines in *The New York Times*, *The New York Times Book Review*, *The Wall Street Journal*, *The Guardian*, *the Financial Times*, *the Washington Post*, *Slate*, *Mashable* and *Fortune.com*. She enjoys photography, travel, and pictures of cute pets.



Kelly Hoey, *Writer, Influencer and Professional Speaker*

Kelly Hoey is the author of *Build Your Dream Network* (January 2017/Tarcher Perigee).

Kelly has been lauded from Forbes ("1 of 5 Women Changing the World of VC/ Entrepreneurship") to Fast Company ("1 of the 25 Smartest Women On Twitter") to Business Insider ("1 of the 100 Most Influential Tech Women On Twitter") and Inc. ("1 of the 10 Most Well-Connected People in New York City's Startup Scene"). EBW 2020 included her on their list of the "100 Most Influential Global Leaders Empowering Women Worldwide". She has appeared on CNBC's Power Pitch, contributed to publications such as Fast Company and Inc., and works with inclusive companies including Comcast and Capital One.

Kelly's career story is one of transformation, and can only be explained by her unique ability to tap into networks and make valuable connections. Her career started in corporate law, eventually transitioning to the management side of Big Law. A chance opportunity in 2009 to work with a visionary leader sparked her transition from earning a paycheck to seeking equity. Co-founding a startup accelerator then an interim CMO role with an emerging tech company are just part of her journey of reinvention as an author, influencer and investor. In addition to her portfolio of angel investments, she is a limited partner in two venture capital funds and an advisor to New Zealand Trade and Enterprise. On top of her professional pursuits, Kelly is the Chief Tech Ambassador for the YWCA of NYC's Girls Geek Club.



A Conversation with Lissa V. Young

*Assistant Professor of Leadership and Management,
Department of Behavioral Sciences and Leadership
UNITED STATES MILITARY ACADEMY*

Lissa Young is currently an Assistant Professor in the Department of Behavioral Sciences and Leadership, at the United States Military Academy in West Point, New York where she teaches in the Leadership and Management program.

Lissa is a 1986 graduate of the United States Military Academy, and a former Army aviator. She flew CH-47D "Chinook" cargo helicopters. During her Army career Lissa served at West Point on the faculty of the Department of Behavioral Sciences and Leadership, and was the course director for PL300, the Academy's core course in Leadership, from 1996-1999.

In 2002, after being discharged from the military, under the auspices of the now defunct Don't Ask, Don't Tell policy, Lissa served as Raytheon Company's lead sales representative for air traffic control systems in the Middle East. In 2007, Lissa was awarded a Presidential Fellowship by Harvard University, and in 2013 earned her doctorate there. Her research examines the effects of stereotyping and prejudice on interpersonal assessments of competence in high performance teams; how war has influenced the development and direction of the discipline of Social Psychology; and how scholars negotiate requests for their expertise to aid war efforts.

While at Harvard, Lissa served on Harvard's committee to design and implement a new doctorate in Education Leadership. Lissa has also served the U.S. Army by piloting curricula that teach deploying soldiers *Social Perspective Taking* in an effort to improve their ability to understand and communicate with host nation citizens.

Lissa holds a Bachelor of Science in Literature from the United States Military Academy (1986), a Master of Arts degree in Social Psychology from the University of Kansas (1996), a Master of Education degree from Harvard University (2009), and a Doctorate in Education Policy, Leadership and Instructional Practice from Harvard University (2013). Lissa also earned and was awarded a doctoral concentration certificate from Harvard University's Committee on Degrees in Studies of Women, Gender and Sexuality (2013).

Upon graduating from Harvard, Lissa joined a fellow Harvard classmate in an entrepreneurial start-up venture building a craft rum distillery in Ipswich, Massachusetts. The company, Privateer Rum, is now thriving.

After helping make rum for seven months, Lissa joined the faculty of the Department of Behavioral Sciences and Leadership at the United States Military Academy in West Point, New York. In the fall of 2014, Lissa kick-started an Entrepreneurial Leadership course, the students of which earned five category championships at the Mid Hudson Regional Business Plan competition in April of 2015. Those same cadets placed 2nd in the New York State Business Plan competition later that same month. She participated in that adventure again with another passel of cadet teams in April of 2016. They did well, again, and Lissa will continue to offer the course as an elective in the Leadership & Management major offered by her department.

Beyond academics, Lissa is the faculty leader of two cadet club activities. She is in charge of the cadet radio station, WKDT, and she is a faculty mentor for the Academy's LGBT cadet club, Spectrum. Additionally, Lissa serves as a faculty mentor for the women's NCAA varsity soccer team, for which she was the captain in 1985 and 1986, when she was a cadet.

In her free time, Lissa studies the roots of jazz and hip-hop music, and is both a Harley and a slam poetry enthusiast.

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Since its founding, BlackRock has sought to better serve clients by anticipating and responding to changes and advances in the investment industry, and we continually seek to broaden and deepen the firm's investment and risk management capabilities. Two significant steps in this process have been the mergers with Merrill Lynch Investment Managers ("MLIM") in 2006 and Barclays Global Investors ("BGI") in 2009. Today's BlackRock combines the history, experience, and innovation of each of these firms. MLIM began managing assets in the UK in 1946 as part of S. G. Warburg & Co. (later known as Mercury Asset Management), and in the US in 1976 under the Merrill Lynch name. BGI traces its roots back to 1922, when its predecessor organizations, Wells Fargo Investment Advisors and Wells Fargo Bank, began managing US institutional assets. BGI was formed in 1995 from the merger of Barclays de Zoete Wedd Investment Management and Wells Fargo Nikko Investment Advisors.

Other key events that have shaped BlackRock's current capabilities and structure have been our affiliation with The PNC Financial Services Group, Inc. ("PNC"), beginning in 1994; our acquisition of State Street Research & Management in 2005; and our 2007 acquisition of the fund of funds business of Quellos Group, LLC, which established the BlackRock Alternative Advisors platform. Most recently, BlackRock acquired MGPA, a private equity real estate advisory company operating throughout Asia-Pacific and Europe, making BlackRock a truly global real estate investment manager.

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MONICA RICH KOSANN

Monica Rich Kosann's collection of 18-karat gold and sterling silver lockets, charm necklaces, bracelets, and other fine jewelry is rooted in the idea that every woman has a story to tell.

Monica began her career as a fine art portrait photographer using black & white film and darkroom techniques that are wholly unique in our digital age. The personal nature and heirloom quality of her portraits informed her interest in jewelry design and led to the brand's singular creation and re-invention of lockets and charm oriented styles as modern heirlooms for a new generation.

For the *Monica Rich Kosann* brand, the jewelry design process is driven by one question: "Can a woman give this piece of jewelry to her daughter in 20 years?" Monica says, "I hope that my collection creates heirlooms for our generation while maintaining an enduring sense of contemporary fashion and timeless style. Living and cherishing stories is universal to us all. A locket depicts a moment unique to the wearer. A charm bracelet or necklace celebrates the story of that woman's life—in a way, it is like a fingerprint, totally unique to that woman."

Coveted by women across all generations – a distinction which the brand artfully captures in their marketing campaigns – the jewelry collections are offered in the brand's lifestyle luxury shop at Bergdorf Goodman, its newest location at the Shops at Columbus Circle, Neiman Marcus and over 100 fine jewelry and specialty stores.

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To learn more, contact Jane Newton at 973-425-8420, ext. 236 or jnewton@regentatlantic.com.

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Important Disclosure Information for the Following Page:

- The below rankings are not representative of any of RegentAtlantic's clients past experience nor are they a predictor of any client's future experience.
- These rankings are not indicative of RegentAtlantic's past or future investment performance.
- RegentAtlantic did not pay a fee to participate in the any of these rankings with the exception of the Best Places to Work in New Jersey.

Ranking specific information is listed below:

1. **Top 50 RIAs** – FinancialPlanning.com, Discovery Data compiled the rankings based on discretionary and non discretionary assets under management listed on SEC Form ADV, as of November 2016. To capture independent fee-only planning firms, every effort is made to exclude firms with broker-dealer and insurance company affiliations, and those with substantial outside ownership stakes held by private equity firms and some outside investors. The list does not include roll-ups, aggregators or turnkey asset management programs. To capture firms that provide true, holistic financial advice to individuals, only firms with more than 50% individual clients, as can be determined through Form ADVs, are included. Review of unusual cases may result in inclusion or exclusion, based on unique factors. As the RIA sector evolves, so do the criteria.
2. **Best 50 Women in Business** – An independent panel of judges selected the top 50 winners based on their dedication to business growth, professional and personal accomplishments, and community involvement, and advocacy for women. There is no ranking of the Best 50 Women in Business.
3. **REP's Top 100 RIA list** was assembled using data from Meridian IQ (in which Penton Media has a stake). Advisory firms are ranked by total assets under management. To land on the list, firms had to have at least 10 percent high net worth clients and at least 10 percent non high net worth clients for whom they do financial planning. None of the RIAs on the list operates a broker/dealer or bank, or is affiliated with an investment company. None of the firms are owned by banks. Finally, institutional clients do not make up a substantial portion of their businesses. High net worth clients are defined as those with at least \$1 million with the reporting advisor and/or \$2 million in total net worth.
4. **Investment News – Investment News** qualified 1,778 firms headquartered in the United States based on data reported on Form ADV to the Securities and Exchange Commission as of November 1, 2016. To qualify, firms must have met the following criteria: (1) latest ADV filing date is either on or after January 1, 2016, (2) total AUM is at least \$100M, (3) does not have employees who are registered representatives of a broker/dealer, (4) provided investment advisory services to clients during its most recently completed fiscal year, (5) no more than 50% of amount of regulatory assets under management is attributable to pooled investment vehicles (other than investment companies), (6) no more than 25% of amount of regulatory assets under management is attributable to pension and profit-sharing plans (but not the plan participants), (7) no more than 25% of amount of regulatory assets under management is attributable to corporations or other businesses, (8) does not receive commissions, (9) provides financial planning services, (10) is not actively engaged in business as a broker-dealer (registered or unregistered), (11) is not actively engaged in business as a registered representative of a broker-dealer, (12) has neither a related person who is a broker-dealer/municipal securities dealer/government securities broker or dealer (registered or unregistered) nor one who is an insurance company or agency.
5. **Best Places to Work in New Jersey** – This survey and awards program identifies, recognizes and honors the top places of employment in New Jersey that benefit the state's economy, workforce and businesses. The Best Places to Work in New Jersey program is made up of 100 companies split into two groups: 65 small/medium-sized companies (15-249 employees) and 35 large-sized companies (more than 250 employees). To qualify, companies had to fulfill the following eligibility requirements:
 - a) At least 15 employees working in New Jersey
 - b) A facility in New Jersey
 - c) A minimum of 1 year in business

Companies from across the state entered the two-part process to determine the 100 Best Places to Work in New Jersey. The overall registration and survey process was managed by Best Companies Group.

6. **Five Star Wealth Manager** – The Five Star Wealth Manager award, administered by Crescendo Business Services, LLC (dba Five Star Professional), is based on 10 objective criteria. Eligibility criteria – required: 1. Credentialed as a registered investment adviser or a registered investment adviser representative; 2. Active as a credentialed professional in the financial services industry for a minimum of 5 years; 3. Favorable regulatory and complaint history review (As defined by Five Star Professional, the wealth manager has not: A. Been subject to a regulatory action that resulted in a license being suspended or revoked, or payment of a fine; B. Had more than a total of three customer complaints filed against them [settled or pending] with any regulatory authority or Five Star Professional's consumer complaint process. Unfavorable feedback may have been discovered through a check of complaints registered with a regulatory authority or complaints registered through Five Star Professional's consumer complaint process; feedback may not be representative of any one client's experience; C. Individually contributed to a financial settlement of a customer complaint filed with a regulatory authority; D. Filed for personal bankruptcy; E. Been convicted of a felony); 4. Fulfilled their firm review based on internal standards; 5. Accepting new clients. Evaluation criteria – considered: 6. One-year client retention rate; 7. Five-year client retention rate; 8. Non-institutional discretionary and/or non-discretionary client assets administered; 9. Number of client households served; 10. Education and professional designations. Wealth managers do not pay a fee to be considered or placed on the final list of Five Star Wealth Managers. Award does not evaluate quality of services provided to clients. Once awarded, wealth managers may purchase additional profile ad space or promotional products. The Five Star award is not indicative of the wealth manager's future performance. Wealth managers may or may not use discretion in their practice and therefore may not manage their client's assets. The inclusion of a wealth manager on the Five Star Wealth Manager list should not be construed as an endorsement of the wealth manager by Five Star Professional or this publication. Working with a Five Star Wealth Manager or any wealth manager is no guarantee as to future investment success, nor is there any guarantee that the selected wealth managers will be awarded this accomplishment by Five Star Professional in the future. For more information on the Five Star award and the research/selection methodology, go to investastarprofessional.com. 3,868 New Jersey wealth managers were considered for the award; 664 (18 percent of candidates) were named 2017 Five Star Wealth Managers. 2016: 4,143 New Jersey wealth managers were considered for the award; 626 (16 percent of candidates) were named Five Star Wealth Managers. 2015: 26,955 New Jersey wealth managers were considered for the award; 672 (approximately 3 percent of the award candidates) were named Five Star Wealth Managers. 2014: 3,315 New Jersey wealth managers were considered for the award; 646 (approximately 20 percent of the award candidates) were named Five Star Wealth Managers. 2013: 4049 New Jersey wealth managers were considered for the award; 733 (approximately 19 percent of the award candidates) were named Five Star Wealth Managers.
7. **Bloomberg Markets** ranked active U.S. registered investment advisers that provide financial planning services based on the data they reported to the Securities and Exchange Commission as of June 2, 2014. Filings as of June 3, 2013 were used for year-over-year comparisons. The ranking excludes firms that operate as or are affiliated with broker-dealers, banks or thrifts, trust or insurance companies or firms with employees who are registered representatives of broker/dealers. Also excluded were firms that take commissions, sell financial products or operate as real estate agents, lawyers, insurance brokers or accountants. Not considered were multifamily offices. The RIAs obtained more than 75% of their assets under management from high-net-worth individuals and got up to 25% of those assets from any of the following sources: investment and business development companies, pooled investment vehicles, pension and profit-sharing plans, charitable organizations, corporations or other businesses, state or municipal government entities, other investment advisers or investors that the RIAs described in their filings as "other."
8. **FT 300 Top Registered Investment Advisors**. Methodology. In assembling the FT 300 list, we assessed registered investment adviser (RIA) practices from the perspective of current and prospective investors. The FT's methodology examines the database of RIAs that are registered with the US Securities and Exchange Commission and selects those practices reporting to the SEC that have \$300m or more in assets under management (AUM). This assures a list of companies with established and institutionalised investment processes. The RIA companies have no subjective input. The FT then invites those qualifying RIA groups, which amount to more than 2,000, to provide further information about their practices. That is augmented with our research, including data from regulatory filings. Some 650 RIA companies qualified, meaning 48 per cent of them made the list. The formula the FT uses to grade advisers is based on six broad factors and calculates a numeric score for each company. Areas of consideration include AUM, asset growth, the company's years in existence, industry certifications of key employees, SEC compliance record and online accessibility: • AUM: signals experience in managing money and client trust • AUM growth rate: growing assets is a proxy for performance, asset retention and ability to generate business • Company's years in existence: indicates reliability and experience in managing assets • Compliance record: provides evidence of past client disputes — a string of complaints can signal potential problems • Industry certifications (such as CFA and CFP): show technical and industry knowledge and a commitment to investment skills • Online accessibility: this illustrates commitment to a providing investors with easy access and transparent contact information. AUM and asset growth comprised roughly 80 to 85 per cent of each adviser's score. We present the FT 300 as an elite group, not a competitive ranking from 1 to 300. This identifies the industry's best advisers while accounting for the firms' different approaches and varied specializations.
9. **Barron's Top Women Financial Advisors**. The ranking reflects the volume of assets overseen by the advisors and their teams, revenues generated for the firms and the quality of the advisors' practices. The scoring system assigns a top score of 100 and rates the rest by comparing them with the top-ranked advisor.

It's time you get to know RegentAtlantic



"Top 50 RIAs"

-Financial-Planning.com, 2013 (#41), 2014 (#43), 2015 (#25), 2016 (#25), 2017 (#26)



"Best 50 Women in Business"

-NJBIZ, 2013 (Jane Newton)



"Top 100 Registered Investment Advisor in the Country"

-REP Magazine, 2013 (#23), 2014 (#32)



"Largest Fee-only RIA in the US"

-Investment News, 2013 (#48), 2014 (#62), 2016 (#72)



"Best Places to Work in New Jersey"

-NJBIZ, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017



"Five Star Wealth Manager"

-Five Star Professional 2013, 2014, 2015, 2016



"Top 50 Registered Investment Advisors"

-Bloomberg, 2014 (#4), 2015 (#6)



"FT 300 Top Registered Investment Advisors"

-Financial Times, 2015



"Barron's Top 100 Women Financial Advisors"

-Barron's, 2015 (Jane Newton)

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