



# Wealth management for executives of publicly traded companies



## One-size-fits-all wealth management is not an option

There are approximately 3,700 publicly traded companies in the U.S. according to 2023 data from the Center for Research in Security Prices. If we estimate that there are 6-10 executives at each company, then there are likely over 25,000 senior executives of publicly traded companies in the U.S.

This group has a unique set of wealth management needs:

- ▣ The majority of their wealth may be in a very concentrated equity position that raises liquidity issues and the need for diversification
- ▣ They may experience large liquidity events around the sale of a business or an IPO that require careful planning and consideration
- ▣ Their portfolio may include investments overseas or alternative assets that require special knowledge to manage and insure
- ▣ Exit planning, succession planning, and estate planning all require a team of professionals to coordinate on behalf of the family

Executives of public companies benefit from working with a wealth management firm with resources to meet their needs.



## Naviter Wealth is uniquely positioned to address the needs of senior executives and their families. We have proven experience:

- ▣ Managing both concentrated and control equity positions
- ▣ Consolidating and reporting of both restricted and unrestricted shares
- ▣ Navigating major liquidity events, including IPOs, distributions, and the sale of a company, etc.
- ▣ Analyzing and implementing hedging and monetization strategies

## We've built our network to support:

- ▣ Facilitating transfer and negotiability of securities for collateral and other related purposes through legend removal
- ▣ Planning and financial stock option exercises
- ▣ Compliance with SEC Rule 144, Rule 145, and Shelf-Registered Securities
- ▣ Rule 10b5-1 Trading Plan Programs in connection with sales and purchases for insiders and officers
- ▣ Non-purpose loans against certain publicly-traded securities
- ▣ Meeting liquidity needs with collateral loans against restricted and control securities
- ▣ Hedging and monetization strategies



Contact us today for a discussion of your specific situation. We deeply respect your time and your privacy.

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