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Baird’s Mission, Vision and Culture are at the heart of the Baird experience. They define who we are and how we do business, and drive our passion for helping clients achieve great outcomes.

Introduction to Baird
Since 1919, Baird has been a trusted partner to businesses, individuals and families across generations. We have earned that trust and have been successful by staying true to our mission: “To provide the best financial advice and service to our clients and be the best place to work for our associates.”

While we have consistently grown to meet the evolving needs of our clients, we have preserved the core values that keep us strong and stable through every imaginable market environment:

- Clients come first
- Integrity is irreplaceable
- Quality is our measure of success
- The best financial advice is the result of expertise and teamwork
- How we succeed is as important as if we succeed

These tenets create a culture that is unique in our industry — a place where the best professionals want to come and build lasting partnerships with each other and clients like you.
About Baird

Baird is a full-service, international wealth management, equity capital markets, asset management and private equity firm with over $150 billion in client assets, as of March 31, 2016.

History
Founded in 1919; headquartered in Milwaukee, Wisconsin, with offices and affiliates in the United States, Europe and Asia.

Member NYSE
Robert W. Baird & Co. has been a member of the New York Stock Exchange since 1948.

Ownership
Baird is employee-owned and fully independent.

Revenues
$1.3 billion in 2015, a firm record and a 7% growth from 2014.

Financial Strength
Baird is conservatively leveraged and well capitalized. Baird Holding Company’s total capital well in excess of the minimum net capital requirement.

Financial results do not reflect the consolidation of certain private equity partnerships.
Research Recognition
In 2016, Baird ranked as the No. 1 overall “important small-/mid-cap research advisory firm” and No.1 overall in the Top 5 research/advisory firms for importance for the eleventh consecutive year in a Greenwich survey of U.S. small- and mid-cap fund managers.¹

Asset Protection
In addition to protection through the Securities Investor Protection Corp. (SIPC), Baird offers additional security for your assets with coverage in excess of SIPC limits through Lloyd’s of London.²

¹Greenwich Associates U.S. Equity Investors – Small-/Mid-Cap Funds, April 2016. Survey conducted with 96 small-cap and mid-cap fund managers. Rankings for qualitative metrics are based on leading research firms in survey.

²Aggregate coverage limit of $250 million for all claims of Baird customers eligible for distributions under the Securities Investor Protection Act of 1970. The policy has a sublimit of $1.9 million per customer for cash awaiting reinvestment.
Structured for Success

Through challenging and good markets, we have made significant investments in our team and global reach while maintaining substantial capital and a strong balance sheet.

675+ employees added in past 5 years
22 new offices opened in past 5 years

All data as of September 2016

Baird’s Five Complementary Business Lines

Private Wealth Management
- $113 billion in client assets overseen or managed by more than 870 highly skilled Financial Advisors and their teams
- 85 locations in 28 states
- Barron’s Top Wealth Managers list, 2007–2015

Equity Capital Markets
- 710 companies under research coverage
- Ranked No. 1 for research and analyst service quality in Greenwich survey
- Advised on more than 180 financing and global M&A transactions in 2015 with a total value of $43 billion

Baird Capital
- $3.3 billion in capital raised since inception and investments made in more than 298 portfolio companies
- 55 investment, operating, and support professionals in the United States, Europe and Asia
- Dedicated global resources to help portfolio companies accelerate growth

Fixed Income Capital Markets
- A leading U.S. municipal underwriter: in 2015, No. 1 in issues of $100 million or less, based on number of issues, according to Ipreo Muni Analytics
- More than 160 professionals in Sales, Trading and Public Finance, up 25% in past 5 years

Asset Management
- $43.1 billion in fixed income portfolios and mutual funds managed by Baird Advisors
- $3.6 billion in equity portfolios and mutual funds managed by Baird Investment Management

113 billion dollars in client assets
No. 1 For research and analyst service quality in Greenwich survey
3.3 billion dollars raised and managed
No. 1 municipal bond underwriter nationwide
46.7 billion dollars in assets under management

1Greenwich Associates U.S. Equity Investors – Small-/Mid-Cap Funds, April 2016. Survey conducted with 96 small-cap and mid-cap fund managers. Rankings for qualitative metrics are based on leading research firms in survey.

2Based on number of issues each year since 2009, according to Ipreo Muni Analytics
At Baird, we understand the unique challenges that come with managing wealth. For more than 95 years, we have served as a trusted partner of individuals and families, providing customized wealth management solutions based on a thorough understanding of each clients’ finances, objectives and values.

Wealth Management Overview
Our Clients

Our clients are investors who understand the value of true financial partnership, appreciating the difference between chasing a hot tip and thoroughly vetting a company poised for long-term growth.

Who We Serve:
- Affluent individuals and families
- Business owners and corporations
- Institutions and nonprofit organizations
- Governments and public entities

Our Mutual Priorities:
- Safeguard and prudently grow investments
- Manage and transfer wealth with an eye toward tax efficiency
- Fund anticipated liquidity needs
- Plan and execute philanthropic goals

Robert W. Baird & Co. does not provide tax or legal advice. Please consult with your tax or legal advisors.
Investment Management

Baird provides a full range of investment and account management services to help you achieve your goals and objectives.

**Investment Services:**
- Investment and asset allocation planning
- Research on individual stocks, bonds and money managers
- Brokerage services including individual stocks, corporate bonds, government and agency securities, ETFs and alternative investments.
- Investment Advisory programs including ongoing investment selection, oversight and portfolio re-balancing.
- Cash management services including direct deposit, e-bill, checkwriting and debit card access.

**Account Management Services:**
- Quarterly performance reporting – Baird OneView™ reports
- Regular account statements
- Online account management and access to account information through BairdOnline
- Asset protection through the Securities Investment Protection Corporation (SIPC).

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1SIPC covers most types of securities, such as stocks, bonds, mutual fund shares and variable annuities, but it does not cover commodities (including commodity futures contracts and options), fixed annuity contracts, currency or investment contracts (such as limited partnerships) that are not registered with the SEC under the Securities Act of 1933. SIPC and the excess SIPC policy do not protect against losses caused by a decline in the market value of a client’s securities.
Financial and Estate Planning

Our Financial and Estate Planning Services are designed to help individuals manage their investment portfolios to achieve their long-term financial goals.

**Comprehensive Financial Planning:** A customized review of your investment portfolio with an eye on tailoring it to best meet your needs, be they a secure retirement, funding education or other significant future expenses.

**Estate Tax Analysis:** Providing an ongoing legacy for your heirs is a key component of any comprehensive financial plan. Our estate planning experts will review your estate documents, explain the intricacies of the estate tax system and assess the impact of taxes on your wealth transfer goals.

**Retirement Distribution Planning:** We can help you optimize distributions from your retirement accounts, including strategies for taking early distributions, modeling how to meet IRS minimum distribution requirements and advising you on the long-term impact of proper retirement account registrations.

**Income Tax Specialists:** While we don’t prepare tax returns, we will work closely with your outside tax advisor to ensure the tax implications of your investment strategy are understood and integrated into your overall wealth management plan.

**Employee Stock Option Strategies:** Our planning department can work with you to develop a multi-year exercise strategy for your executive stock options that looks at the impacts of income tax, cash flow and diversification on your plan.
Baird Private Wealth Management Services

Financial and Estate Planning

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Robert W. Baird & Co. does not provide tax or legal advice. Additionally, these products or services may not be offered by all Baird Financial Advisors or available in all jurisdictions or to all persons/entities.
“What’s important to you?”

For many firms, that question is an afterthought, if it’s asked at all. At Baird, it’s the foundation for our partnership with you.
Our Process

We begin the Wealth Management process with an in-depth discovery meeting to discuss what you want your assets to accomplish for you and your family. We work with you to identify priorities that are important to you and unique to your circumstances. Together, we develop a step-by-step, long-term strategy that we will monitor and adjust to ensure that the plan consistently reflects your goals.

1. Establish a personal investment strategy based on key factors such as your risk tolerance, time horizon and financial needs.

2. Recommend an appropriate asset-allocation plan based on your objectives.

3. Select specific investments to implement the asset allocation strategies for you.

4. Monitor your investments through ongoing, detailed statements, performance reports and regular meetings with us.
Minimizing exposure to risk is a key component to sound investing, especially in a volatile stock market. That’s why we emphasize an appropriate mixture of traditional and nontraditional assets, as well as diversification within each asset class across sectors, industries and countries.

Importance of Diversification and Asset Allocation
The Importance of Process
The Average Investor
The lack of a disciplined investment process hinders investment results

Average Annual Total Returns, 1994 - 2013

Average Equity Fund Investor | Average Market Timer | Average Fixed Income Fund Investor | Inflation | Diversified Portfolio
---|---|---|---|---
5.02% | 0.67% | 0.71% | 2.37% | 7.45%

This material is for illustrative purposes only and is not meant to represent any specific investment allocation.

1 Average stock investor, average bond investor and average asset allocation investor performance results are calculated using data supplied by the Investment Company Institute. Investor returns are represented by the change in total mutual fund assets after excluding sales, redemptions and exchanges. This method of calculation captures realized and unrealized capital gains, dividends, interest, trading costs, sales charges, fees, expenses and any other costs. After calculating investor returns in dollar terms, two percentages are calculated for the period examined: total investor return rate and annualized investor return rate. Total return rate is determined by calculating the investor return dollars as a percentage of the net of the sales, redemptions and exchanges for each period.

2 The Average Market Timer return is calculated by subtracting the Systematic Equity Investor return (an investment made in equal monthly increments for the 20-year period, using S&P 500 performance) from the Average Equity Fund Investor return.

3 Inflation is based on the U.S. Consumer Price Index.

4 The Diversified Portfolio is represented by the following allocation: 17.5% Russell 1000® Growth Index (Large Cap Growth), 22.5% Russell 1000® Value Index (Large Cap Value), 2.5% Russell 2000® Index (Small Cap), 7.5% Russell Midcap® Index, 10% MSCI EAFE Index (International stocks) and 40% Barclays US Govt/Credit Intermediate (Fixed Income securities). The Russell Indices are a trademark of the Frank Russell Company. Russell® is a trademark of the Frank Russell Company. Indices are unmanaged and one cannot invest directly in an index. Past performance is no guarantee of future results and diversification does not ensure a profit or protect against loss. All Risk/Return data is based on a 20-year period ending December 2013. Portfolio is rebalanced on an annual basis.
### Rolling Asset Class Returns (Last 20 Years)

**ANNUAL RETURNS**

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<tr>
<td>Large Cap Growth</td>
<td>23.1%</td>
<td>Large Cap Growth</td>
<td>35.2%</td>
<td>Large Cap Growth</td>
<td>36.7%</td>
<td>Large Cap Growth</td>
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<td>20.7%</td>
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<td>Small Cap</td>
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<td>3.3%</td>
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<td>Satellite</td>
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Source: Morningstar Direct; Standard & Poor’s. As of December 31, 2014. Annualized return, volatility (as measured by standard deviation) and Risk-Adj. Return (as measured by Sharpe ratio) are calculated as of the most recent quarter-end. Large Growth is represented by Russell 1000® Growth Index. Large Value is represented by Russell 1000® Value Index. Mid Cap is represented by Russell Midcap® Index. Small Cap is represented by Russell 2000® Index. Taxable bonds is represented by Barclays Intermediate Govt/Credit Bond Index. Municipal bonds is represented by the Barclays 7-Year Municipal Bond Index. International is represented by The MSCI EAFE Index. Cash is represented by Cit 3 month T-bills. Satellite is an equally-weighted return of the following indices, rebalanced monthly: BoA ML High Yield Master II (High Yield), DJ US Select REIT (Real Estate), DJ UBS Commodity (Commodities), and MSCI Emerging Markets (Emerging Markets). Indices are unmanaged and are used to measure and report performance of various sectors of the market. Past performance is no guarantee of future results and diversification does not ensure against loss. Direct investment in indices is not available. The Russell Indices are a trademark of the Frank Russell Company. Russell® is a trademark of the Frank Russell Company.
U.S. Stocks are represented by the S&P 500 Index, which includes a representative sample of 500 leading companies in leading industries of the U.S. economy. Bonds are represented by the U.S. Intermediate Government Bond Index, which is an index of U.S. Treasury Bonds with maturities between one year and 10 years. The Combined Portfolio consists of 50% of the S&P 500 Index, 50% of the U.S. Intermediate Government Bond Index. The portfolio is rebalanced to a 50/50 mix on an annual basis.


An investment cannot be made directly in an index. Past performance is not indicative of future results and diversification does not ensure a profit or protect against loss.
Baird’s Financial Advisors have the deep resources and breadth of knowledge and experience to create your comprehensive wealth management plan – plus, as employee-owners, a personal stake in seeing that plan achieve great outcomes.
At Wealth Management Group of Scottsdale, we are dedicated to providing a holistic alignment of relationships and investments by embracing trust, commitment, accountability, and quality of life. Positioned as a high-net-worth wealth advisory team, we create and implement sophisticated financial solutions for affluent families through a comprehensive approach to wealth management. Our group assists clients in articulating their vision and mission statements, educating key decision-makers, and creating wealth management plans aimed at prolonged life and legacy. We practice a truly concierge-driven approach to wealth management based on process, education, and partnering with the leading legal, tax, and luxury purveyors from around the globe.

**Vince R. Hawley, CIMA®**
Director

**James Chandler**
Senior Vice President

**Joseph E. Christ, CFP®, MBA**
PWM Financial Planner

**Jessica Leggette**
Client Specialist

**Genny Bacharach**
Marketing Specialist & Client Assistant
WMGS Vision
We envision a holistic alignment of relationships and investments by embracing trust, commitment, accountability, and quality of life.

WMGS Mission

To Carry Forth our Vision, We:

- **Listen** intently and with care
- **Educate** families, individuals, and organizations
- **Evaluate** the magnitude of options
- **Contribute** as members of the global community
- **Build** trust among quality relationships
- **Align** objectives with proactive solutions
- **Measure** pertinent and precise results
- **Prepare** future generations through education and enlightenment
- **Aspire** for excellence and improvement

In addition to their private client duties, the Wealth Management Group of Scottsdale believes strongly in the financial education of the investing public; consequently, the team teaches a 6-week wealth management course for affluent investors at universities across the Southwest. Additionally, the group volunteers time to work with local and national non-profit organizations in an effort to educate foundation executives, communities, and donors regarding the benefits and methods of transferring wealth.
Vince Hawley, CIMA®
Private Wealth Management

Vince has been helping affluent investors manage their wealth since 1987. As a founding member of the Wealth Management Group of Scottsdale, he guides clients on goal setting, risk management strategies, asset allocation, and investment policies. Upon completing finance and economics courses at the International Institute in Madrid, Vince graduated with honors from the University of Wisconsin with a Bachelor of Science degree in International Finance and a minor in Spanish. He later earned the Certified Investment Management Analyst® (CIMA®) designation from the Wharton Business School.

Vince has been recognized by the Winner’s Circle as a Top-Ranked Advisor in the U.S. for leadership, integrity and exceptional client service. Vince is a lecturer at various forums regarding the investment process, modern portfolio theory, and investment management strategies. He also teaches wealth management courses at universities throughout the Southwest, providing high-net-worth investors with educational tools and practical savvy.

Vince is also a Board of Director and active member of K2 Adventures Foundation, assisting families around the world with special educational and medical needs.

In his free time, Vince enjoys scuba diving, sailing, and traveling with his wife and two children.

Arizona Insurance License #0D96471

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Jim began his career as a financial consultant in 1985. His years as a successful advisor have been complemented by his leadership roles and his intimate knowledge of industry rules, regulations, and procedures; having served both as a Branch Manager and as a Business Risk Officer for a multi-state region. His vast knowledge and experience in the financial services industry make Jim an essential partner of the Wealth Management Group of Scottsdale. Specializing in strategic wealth planning, he focuses on the areas of stock options issues, business succession planning, charitable gifting, and building custom designed tax-free income portfolios for high-net worth families, executives and small business owners.

Jim earned his Bachelor of Science degree in Finance from Arizona State University. He also holds his NASD Series 3, 7, 8, 24, 63, and 65 licenses, as well as his annuity, life, and health insurance licenses.

During his spare time, Jim enjoys traveling, scuba diving, and spending time with his wife, their two adult children and three grandchildren.
Joe assists clients with realizing and implementing their financial visions. His expertise include financial planning, environmental, social, and governance (ESG) investing, retirement planning, investment selection, portfolio construction, and multi-generational estate planning.

Joe holds his Series 7, 66, 31 licenses; as well as life, health, and variable insurance licenses. He completed Bachelors of Science Degrees, with Honors, from both Northern Arizona University and The Netherlands Institute of Tourism and Transport Studies. He also earned an MBA in Finance from ASU’s prestigious WP Carey School of Business in 2013; and more recently in 2016, he obtained the CERTIFIED FINANCIAL PLANNER™ certification. Joe is a well-received public orator. In addition to giving countless investment seminars across the Southwest, Joe is often requested to speak at business luncheons, charitable functions, and retirement seminars statewide.

In his free time, Joe enjoys reading the literary classics, writing poetry, mountain biking Arizona’s trails and fly-fishing the high country streams. Joe and his wife Lisa also volunteer their free time to their Church, as well as many of Arizona’s most integral non-profit organizations.

Arizona Insurance License #0G53931

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Jessica Leggette
Private Wealth Management

Jessica has over 9 years of experience in the financial industry, where she specializes in client service. She has made it a commitment to support and strengthen client relationships through her service expertise and mastery of contact management.

Jessica earned her Bachelor of Science in Economics of Global Sustainability and a minor in Business Administration from Arizona State University. She holds the FINRA Series 7 and FINRA 66 licenses. Jessica is also a Notary Public (NNA) for the State of Arizona.

When Jessica is not in the office, she enjoys traveling and hiking around the beautiful state of Arizona and watching her husband play baseball for the Milwaukee Brewers organization. She lives in Paradise Valley with her Brussels Griffon, Sprout. In her free time, she gives back to the community by volunteering with children and horses at Hunkapi Programs Inc., a program specializing in equine therapy. In the past, Jessica assisted the North Scottsdale Farmers’ Market in order to help local farmers and businesses connect with the community and improve sustainability, which is a passion of hers.
Genny Bacharach  
*Private Wealth Management*

Genny has over 12 years of experience serving as the point woman for some of the largest, most high maintenance financial firms in the country and building and fostering relationships with premier investment advisors and internal business partners. Genny manages WMGS’s marketing, social media, website and events, as well as various administrative and client needs. She takes great pride in providing outstanding service.

Genny attended the San Francisco Fashion Institute of Design and Merchandising, later transferring to Platt College – School of Design, studying graphic design, marketing and communication.

Originally spending the majority of her formative years in Livingston, Montana, she later moved to the Bay Area in northern California before settling in Scottsdale in 2004. In her spare time, Genny enjoys taking in the arts, mid-century modern architecture and design, biking, and volunteering at local animal organizations.

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