SteelPeak
WEALTH MANAGEMENT

Committed to Success

For You and Your Clients

As you consider joining Steel Peak Wealth Management, it is important to understand the key elements of our culture.

Our clients' success is the reason for our firm's existence and continuing success. They are at the center of all that we do. But it is our advisors that truly set us apart in the wealth management industry–and that is why we support you with the same commitment and dedication with which we serve our clients.

We recognize that your ability and experience is critical to our success as a firm. At Steel Peak Wealth Management, we provide you with the world-class support and resources that will enable you to succeed for your clients and yourself.

Welcome to the Steel Peak family

At Steel Peak, we are united by a desire to help clients toward a goal that can not be measured by numbers: A confidence and peace of mind that allows them to live their best lives.

When you join Steel Peak, you become part of a family that is deeply committed to our clients and to each other.

DO YOU HAVE A SUCCESSION PLAN FOR YOUR BUSINESS?

Smart Succession Planning is important to both you and your clients.

But far too many advisors don’t have a clear plan in place. Transitioning your business to Steel Peak Wealth Management allows you to prepare for your clients’ futures as well as your own. Whether you are looking to retire in two years or grow your business for another 15 years, a good succession plan starts with a good partnership. We invite you to explore Steel Peak Wealth Management as your potential partner.

THE WIN-WIN-WIN OF PRACTICE CONTINUITY PLANNING

For You

- Preserves the value of your practice
- Fulfills the promises made to your clients
- Supports your family at retirement, death or disability
- Ensures the orderly transfer of your practice
- Increases revenue with new successor in your practice
- Enables you to enjoy more leisure time as you approach retirement with less involvement in day-to-day operations
- Improves stability of your practice building credibility with clients and prospects
- Persistency remains high

For Your Clients

- Promises that were made are kept
- Informs and helps them prepare for a transition ahead
- Orderly transfer of their personal information from one trusted advisor to another
- Continuation of the support and services necessary to meet their long-term financial goals

For Successor

- Increases probability of success
- Establishes a mentor relationship
- Successful systems and processes already in place

ABOUT STEEL PEAK

Steel Peak is an independent financial planning and investment advisory firm that seeks to empower private clients with the direction to build their wealth for every life stage, by turning complexity into clarity using a disciplined process

Our founding partners created the firm to fill a void in the marketplace. While many in the financial industry still rely on a “buy, hold, and hope” approach to investing, we saw that a new strategy was required to address the demands of today’s global technologically driven bubble-burst economy. That’s why we created our unique 6 step process of Wealth Management to help our clients manage risk and pursue building wealth.

While the 6 step process is at the core of our business model, we understand that not all advisors embrace a similar approach. In those situations, we can continue to manage the assets as they are through a transition phase.

We’ve also removed conflicts from the client-advisor relationship by offering unbiased, conflict-free wealth management. As fee-based advisors, we don’t sell proprietary products and don’t make recommendations based on enhanced commissions or other incentives. Finally, we’re committed to providing each of our clients with holistic wealth management services that can be adapted to their changing needs and goals.

ABOUT STEEL PEAK

At Steel Peak, we are:

- An independent wealth management firm
- Fee-based active risk and investment managers
- Conflict-free and unbiased, with no allegiance to any specific product or company
- Committed to technology-enabled efficiency, consistency, compliance, and security
- Partners with major custodians (Charles Schwab & TD Ameritrade)

STEELPEAK
WEALTH MANAGEMENT

INVESTMENT PHILOSPHY

At Steel Peak, we look beyond the conventional investment wisdom that has been disseminated by some in the financial services industry for far too long.

OUR CULTURE

Steel Peak was founded to stand apart from other wealth advisory firms.

With a dedication to providing a higher level of value to clients, we are creating one of the nation's leading providers of investment and advisory services. At the core of our success are our uniquely talented and dedicated advisors, providing the distinguished fiduciary service that makes Steel Peak special.

As you consider joining SPWM, you should understand the cornerstones of our unique culture. We pride ourselves on the world-class expertise and fiduciary care with which we help clients meet all of their financial goals. As an independent fiduciary, our clients' interests come first, without exception. We hold our clients at the center of everything we do, but we also recognize that in order to take care of our clients, we must also take care of members of our firm and our community.

For our advisors, we provide an environment where you are part of a team that works together toward a common goal, and where your individual success is recognized and rewarded. As a valued member of the Steel Peak family, we provide you with business and operational support to help you succeed.

As your clients' trusted advisor, you bear an important and often demanding responsibility. As a Steel Peak advisor, we are committed to providing you with all the resources and support you need to succeed.

OUR CORE BUSINESS

Our clients' success is the single driving force behind everything we do.

WEALTH MANAGEMENT

As a Steel Peak wealth advisor, you want to provide a holistic service model. With the assistance of our dedicated committees, we will assist you with the following services to your clients:

- Investment Management
  - SPWM model portfolios
  - SP Advisor (customized advisor) portfolios
  - Separately Managed Accounts
  - Alternative Investments
  - SP Dynamic Advisor (Robo)
  - Financial Planning
- Estate & Legacy Planning
  - Estate Analysis
  - Philanthropy and Family Foundations
  - Coordination with attorney
  - Managing Trust assets
- Risk Management
  - Steel Peak Estate & Insurance Agency
  - Life, Health, LTC and Disability insurance
- Alliance
  - Commercial & Residential lending
  - Real estate
  - Investment Banking

SUPPORTING OUR ADVISORS

Steel Peak is committed to supporting our talented advisors in all aspects of building and maintaining a successful advisory practice.

The best advisors wish to focus as much time and energy as possible on their clients. By providing extensive resources and support, we enable you to do just that.

BUSINESS DEVELOPMENT
Our Business Development Committee is designed to help you in the day to day management of your business growth by providing a think-tank type of resource to help you formulate implement new ideas attract new clients and retain current clients.

INVESTMENT MANAGEMENT
While we maintain a strict focus on our open architecture philosophy, we also offer you direct access to a wide range of SPWM model portfolios. The Investment Committee is designed to provide access to new products, resources, and development of your own model portfolios.

HOLISTIC WEALTH MANAGEMENT
As a dually registered advisor, you would have access to our broker/dealer affiliation and thus the ability to use variable type products for specific client needs. In addition, you would get the support of the Steel Peak Estate & Insurance Agency which will provide resources in areas of life, health, long term care, and disability insurance

ALLIANCE
Steel Peak has developed an “Alliance” program with member trusted firms that support our clients in areas such as lending and real estate transactions.

ADDITIONAL ADVISOR SUPPORT

- Human resources
- Educational assistance, seminars and licensing
- Compliance/Legal
- Operational & Administrative Support
- Technology
- Marketing

OUR TECHNOLOGY

We are committed to providing leading-edge technology and, with feedback from you, continually improving our resources and capabilities.

BACK OFFICE

Steel Peak enjoys robust back-office assets through our partnership with Charles Schwab Institutional and TD Ameritrade Institutional. Our firm benefits from best-in-class trading, brokerage and custody services.

Custodian Support

- Online client account access
- Technology and product support
- Cashiering tools including checks, wire transfers and Electronic Fund Transfers
- Transactional capabilities
- Training courses and workshops

SOFTWARE

Steel Peak provides the best technology in order to help our advisors stay efficient and maintain a competitive advantage. And we are adept at smoothly transitioning advisors from their current software.

Current Technology

- Tamarac
- Money Guide Pro (Financial Planning)
- Yodlee (integration of outside accounts)
- Morningstar Advisor
- Marketing Pro
- Personal Fund
- Microsoft Office 365 (Skype Business)
- Fonality (voice over IP system)

TAMARAC

The most comprehensive technology platform to better manage your entire business.

Advisor View
Advisors want a complete picture of their entire book of business. The powerful reporting capabilities of Advisor View show the full view of your assets under management, so you can make the most informed decisions and meet the individual needs of each client.

Advisor CRM
In a socially connected world, it has never been more important for advisors to deliver differentiated client experiences. Advisor CRM provides a user experience that is simple and intuitive, actionable intelligence at your fingertips, and an easy connection to people. It is a web-based client relationship management system designed specifically for independent advisors and built on the trusted Microsoft Dynamics CRM platform.

Advisor Rebalancing
Efficient portfolio management begins with disciplined and flexible portfolio construction. Whether you are using a passive or active management strategy, Advisor Rebalancing dramatically abbreviates the trading process while adhering to your investment strategies, custom account settings, restrictions, and tax sensitivity.

Billing & Administration
Account administration includes account setup, account funding, and back-office administration, as well as program billing that includes calculation, remittance, and processing of account fees.

STEEL PEAK
OPERATIONS

WEALTH ADVISOR

CLIENT SERVICE ASSOCIATE

DELIVER FOR YOUR CLIENTS

- Ultra high-net-worth services
- Comprehensive Investment Advisory & Financial Planning
- Expertise in legacy and estate planning, insurance, retirement planning and trust planning service

SMOOTH TRANSITION

- Clear, step-by-step process
- System conversion
- Transfer of assets/selling agreements and license/certification
- Office ready for your arrival
- Member protocol firm

EXCELLENT BENEFITS

- Competitive overall compensation
- Partner Plus
- Licensing fees cost covered
- Errors & Omissions included

CARE FOR THE COMMUNITY

- A culture of giving back through volunteering and donations
- Proud to support organizations working to strengthen our communities

GROW YOUR BUSINESS

- Business Development Committee
- Investment Committee
- Center of Influence partnerships

SUPPORT FOR YOUR PRACTICE

- Client services support
- Operations and Administrative support
- IT support
- Portfolio and performance reporting
- Legal, risk management and compliance support

TRANSITIONING TO STEEL PEAK

Take advantage of our experience in advisor succession planning

Steel Peak has experience in successfully transitioning clients from the purchase of another practice, thus optimizing the value of the practice in the transition process itself. If you choose to transition your firm to Steel Peak, we'll create a marketing plan to guide the transition, so that you can communicate the change to your clients in a comfortable, friendly way. We'll also host a series of events so that you can introduce Steel Peak to your clients, presenting our services and philosophy in an easy-going, no-pressure environment.

In addition, we are open to integrating existing staff into our organization, easing the transition for both clients and your employees. Finally, we provide a dedicated staff member who will coordinate all transition paperwork, minimizing the burden on you. We also embrace the concept of a gradual transition of a practice over a period of years, partnering with you to optimize the value and earn both your trust and the trust of your clients.

THE PARTNERS

Take advantage of our experience in advisor succession planning

Reza Zamani, CPM, CFS, CAS
Chief Executive Officer, Founding Partner

Maziar Esmailbeigi, CFS, CAS
Chief Investment Officer, Founding Partner

Ali Zamani, CFS, CAS
Chief Financial Officer, Founding Partner

TRANSITIONING TO STEEL PEAK

Take advantage of our experience in advisor succession planning

Steel Peak has experience in successfully transitioning clients from the purchase of another practice, thus optimizing the value of the practice in the transition process itself. If you choose to transition your firm to Steel Peak, we'll create a marketing plan to guide the transition, so that you can communicate the change to your clients in a comfortable, friendly way. We'll also host a series of events so that you can introduce Steel Peak to your clients, presenting our services and philosophy in an easy-going, no-pressure environment.

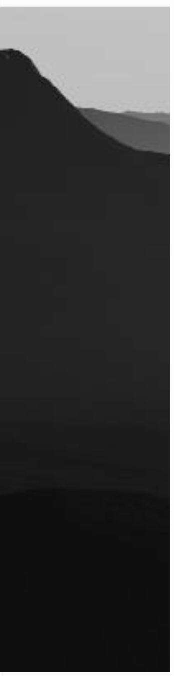
In addition, we are open to integrating existing staff into our organization, easing the transition for both clients and your employees. Finally, we provide a dedicated staff member who will coordinate all transition paperwork, minimizing the burden on you. We also embrace the concept of a gradual transition of a practice over a period of years, partnering with you to optimize the value and earn both your trust and the trust of your clients.

EXPLORE STEEL PEAK WEALTH MANAGEMENT

Interested in pursuing a partnership with Steel Peak Wealth Management?

To find out more about our firm and what we offer, please contact Reza Zamani:

818-835-8721
Reza.Zamani@spwm.com
www.joinspwm.com
www.steelpeakwealth.com
21650 Oxnard Street, Suite 2300
Woodland Hills, CA 913697



At Steel Peak Wealth Management, we invite you to become part of something revolutionary. A wealth advisor that treats our clients with the same fairness, transparency and excellence with which we ourselves would expect to be treated. A firm that is fully committed to supporting its advisors as they set the pace for the entire industry. A family known as Steel Peak Wealth Management.

Committed. Dedicated. Focused: On clients' success– and yours.

SteelPeak
WEALTH MANAGEMENT