



NEST
CAPITAL

Your Brand

Your Goals

Your Business

Our Support



Investment Professionals Only

BE A PART OF SOMETHING BIGGER



Our Mission & Values

Mission: To help financial advisors find a better path to independence; to customize the client experience; and to provide more optionality to their own business, continuity, or succession plans.



Growth Mindset



Lead with integrity.
Move forward relentlessly.
Dream. Believe. Achieve.



The Forever NEST



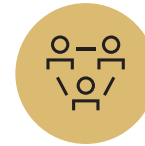
Enjoyment



Empathize with heart.
Celebrate moments.
Elevate humanity.



**Better Work,
Better World**



Teamwork



Choose team over self.
Commit to diversity.
Communicate to connect.



Service Excellence



Meet the Team



ERIC J. HAUBERT

OWNER
SENIOR FINANCIAL ADVISOR
REGISTERED PRINCIPAL
CA INSURANCE #0D68746



LISA KATTERHENRY HOWE, CFP®

OWNER
SENIOR FINANCIAL ADVISOR
CA INSURANCE #0D65744



TIM IRWIN, CIMA®

DIRECTOR OF GROWTH



RUTH HAMILTON

DIRECTOR OF DEVELOPMENT



KASEY MASSIE-YEAGLE

CHIEF OPERATIONS OFFICER



KATELYN HOUCHIN

OPERATIONS TRANSITIONS
MANAGER



MOE ZAYED

COMPLIANCE
COORDINATOR



TRISH SUCHLAND, AAMS®, CMFC™

DIRECTOR OF AFFILIATE
SOLUTIONS & STRATEGY



LESLIE ARNOLD

DIRECTOR OF CLIENT
SERVICES & EXPERIENCE



MARISA BRADLEY

CLIENT SERVICE
ADVOCATE



POLINA NOCERA

SENIOR REGISTERED CLIENT
SERVICE ADVOCATE,
PLANNING LEAD



IAN LYONS

CLIENT MARKETING &
ENGAGEMENT COORDINATOR



By the Numbers

Our team is not only constantly growing in size, but also growing personally through continuous education. (Figures as of March 2025)

700+

Years
of combined
experience

18

Certifications &
Designations

\$3.2B

AUM
in total

14

Locations
around the U.S.

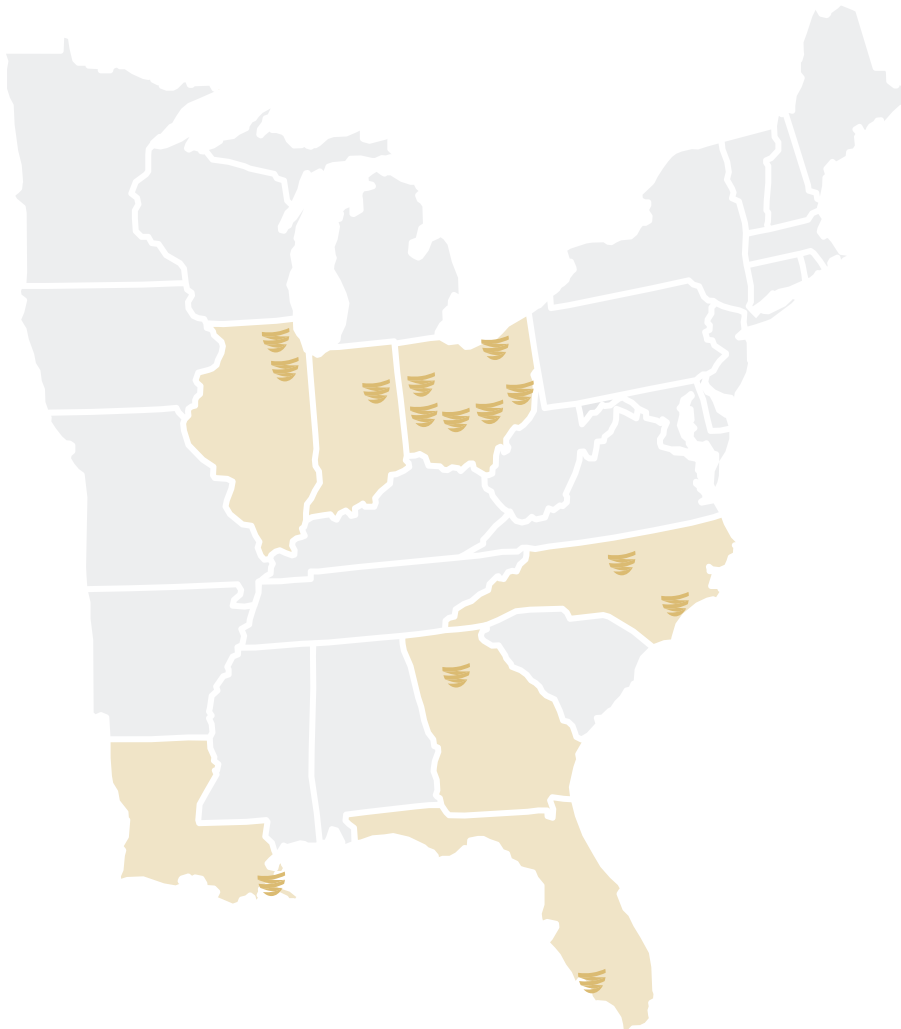
CERTIFICATIONS:

- AAMS® - Accredited Asset Management Specialist
- ADPASM - Accredited Domestic Partnership Advisor (3)
- CDFA® - Certified Divorce Financial Analyst*
- CFP® - CERTIFIED FINANCIAL PLANNER® Exam (3)
- CIMA® - Certified Investment Management Analyst (2)
- CMFCTM - Chartered Mutual Fund Counselor (3)
- CRPCSM - Chartered Retirement Planning Counselor
- SE-AWMASM - Sports & Entertainment Accredited Wealth Management Advisor
- Masters in Financial Planning
- Masters in Business Administration (2)

*The use of the CDFA® designation does not permit Wells Fargo Advisors or its Financial Advisors to provide legal advice, nor is it meant to imply that firm associates are acting as experts in this field.



An Ever-Expanding Team



14
Total Locations

FLORIDA

Venice

GEORGIA

Canton

ILLINOIS

Itasca
St. Charles

INDIANA

Ft. Wayne

LOUISIANA

New Orleans

**NORTH
CAROLINA**

Greensboro
Wilmington

OHIO

Bellefontaine
Brunswick
Dublin
New Albany
New Philadelphia
Troy



Affiliation Options

As an affiliate of Wells Fargo Advisors Financial Network, we are able to provide support for advisors who affiliate as their own branded practice with NEST Capital. Review to see which affiliation most aligns with your interests.

	Lite Affiliation		Full Affiliation	
	NEST Covers	Advisor Covers	NEST Covers	Advisor Covers
Compliance and Supervision*	✓		✓	
Audit Assistance	✓		✓	
Licensing Support	✓		✓	
Licensing Expenses		✓	✓	
Platform Fees	✓		✓	
Production Grid Expenses (minimized through NEST)		✓	✓	
Human Capital Management Guidance	✓		✓	
Human Capital Management Decisions and Expenses		✓	✓	
Staff Compensation		✓	✓	
Business Operations Guidance	✓		✓	
Junior FA Compensation (if applicable)		✓		✓
Business Operations Support		✓	✓	
Talent Acquisition Guidance	✓		✓	
Office Space Expenses		✓	✓	
Vendor Sourcing Guidance	✓		✓	
Vendor Sourcing, Management, and Expenses		✓	✓	
Local/Enterprise Tech Support and Expenses		✓	✓	
Branding and Marketing		✓	✓	
Client Outreach Design		✓	✓	
Managing Book of Business		✓		✓
Advising Clients		✓		✓
Client Relationship Management Guidance	✓		✓	
Premier Client Service Framework	✓		✓	
Backup Your Team	✓		✓	
CSA and FA Team Calls (optional)	✓		✓	
Portfolio Management Options (custom pricing)	✓		✓	

- Compliance and Licensing**
- Business Operations and Expenses**
- Client Service and Marketing**

*Select support services provided through affiliation with Wells Fargo Advisors Financial Network



Supported Independence with NEST Capital

- ✓ Scale your practice
- ✓ Enhanced client experience
- ✓ Payouts
- ✓ Remove roadblocks
- ✓ Option for partnership
- ✓ Own your brand and practice
- ✓ Dedicated transition support
- ✓ Key advantages versus retire-in-place programs
- ✓ Access to capital
- ✓ Increased business valuations



Our Commitment to Excellence

Business Growth and Efficiency

- Team Building and Human Development
- Intern Training Plans
- Outsourcing of Portfolio Management

Strategic Relationships

- Advanced and Personalized Lending*
- M&A Specialists*
- Trust Services*
- Ultra High Net-Worth Planning and Services*
- Insurance Analysis and Case Design
- Retirement Plan Specialists with Aggregated Fee Discounts

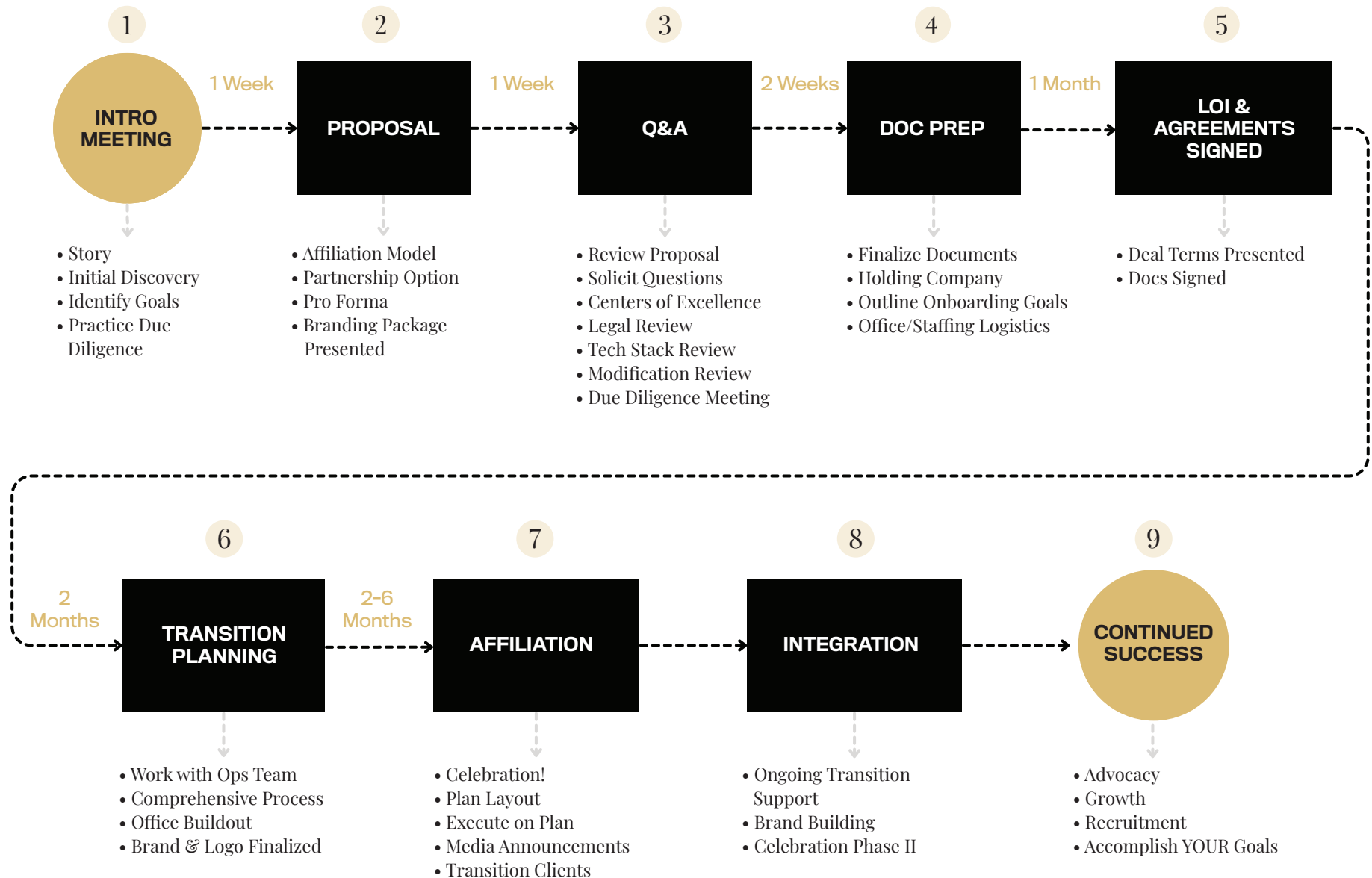
Curated Thought Leadership

- Weekly FA Calls with Market Updates, Guest Speakers, and More
- Multi Practice Collaboration with All NEST Advisors
- Super CE Events
- Webinars and Lunch & Learns
- Book Review

*Bank products and services are available through Wells Fargo Bank, N.A.



The NEST Transition Process



The image displays several examples of business cards and letterheads for Northwest Financial, demonstrating different branding options. The cards and letterheads are arranged in a layered, overlapping fashion. Some versions include the NEST logo, while others do not. The text on the cards and letterheads includes contact information such as phone numbers, email addresses, and website URLs. The overall design is clean and professional, with a focus on the company's branding elements.




KICK OFF 2025 BY JOINING US FOR THE HABIT HACKS WEBINAR

Guest Speaker
Christy Shell, Owner of Zeal Coaching for Life and Career

WEDNESDAY, JANUARY 15, 2025

from 6:00 - 7:00 PM ET

Learn tips and tricks to power your plan for 2025



IMPORTANT PARTICIPANT INFORMATION: The webinar you will be registering for will be hosted by Wells Fargo on a platform, but will be delivered via a third-party platform and may include third-party affiliated third sponsors. Other participants will be able to see your name or email address on the platform. We will not share your name or email address with any third party. For more information, please visit <https://www.wellsfargo.com/privacy-policy>.

The website representing the Webinar Shell are their own and do not necessarily reflect the opinion of Wells Fargo Advisors Financial Network or its affiliates.

Event ID: <https://wellsfargo.com/us/9471774281/1765w/95050579e164d9-0a4e17b/262p.1>. Please also review the agenda and confirm the third-party website hosting the event. We have provided this link for your convenience, but do not endorse and are not responsible for the content, text, privacy policy, or security policy of this website. If you have any questions or concerns please contact the member of this Financial Network.

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Our Strengths and Love Languages

Executing	Influencing	Relationship Building	Strategic Thinking	Love Languages
Responsibility*	Maximizer, WOO, Communication, Achiever	Developer, Relator, Empathy, Positivity		Words of Affirmation, Receiving Gifts
Achiever, Restorative		Adaptability*, Relator	Strategic	Words of Affirmation, Physical Touch
Achiever*, Discipline, Peers		Connectiveness	Context Input, Learner, Intuition	Words of Affirmation, Quality Time, Physical Touch
Arranger	WOO*, Communication	Harmony	Futuristic	Words of Affirmation, Quality Time
		Positivity	Strategic	Acts of Service, Quality Time, Words of Affirmation
Achiever, Responsibility		"Simpler, Integrity, Connectiveness, Relator, Harmony"		Acts of Service, Words of Affirmation
Achiever, Responsibility, Peers		Relator*	Analytical, Learner	Acts of Service, Quality Time
Discipline, Consistency	Communication	Harmony*	Analytical, Futuristic	Acts of Service, Quality Time
Responsibility*, Achiever		Adaptability, Empathy	Input	Physical Touch, Quality Time
Achiever*, Restorative			Input, Learner, Intuition	Acts of Service, Quality Time
Restorative		Developer, Individualization, Relator, Include		Quality Time, Acts of Service
Debativeness, Restorative			Input, Analytical, Intuition	Words of Affirmation, Quality Time, Physical Touch, Quality Time

Access to employee training resources

Library of custom social media content



Testimonials

Chuck Clutter

RETIRED SENIOR FINANCIAL ADVISOR | COLUMBUS, OH

Once I made the decision to move my practice, I spent a great deal of time doing research for the “right fit”. They say in real estate it’s “Location, Location, Location”. For me, as an advisor joining another practice, it was “Culture, Culture, Culture”. When I met with Lisa and Eric, it was clear that we shared the same priorities and philosophies for our clients and associates. They have created that successful culture and joining Katterhenry Investment Group [NEST Capital] has been one of the best investment decisions of my career!

Michael Leonard

SENIOR FINANCIAL ADVISOR | CANTON, GA

We have been quite impressed with the level of expertise within the group. While we were familiar with Eric Haubert [Owner, Senior Financial Advisor, Registered Principal] and Lisa Katterhenry Howe [CRPC®, CMFC®, CDFA®, ADPA™, Owner, Senior Financial Advisor, Certified Financial Planner™ practitioner], we have found their level of commitment has permeated through their staff as well. Essentially, they delivered on their promise as a strategic partner.

Craig Weeks

RETIRED SENIOR FINANCIAL ADVISOR | ST. CHARLES, IL

Through NEST Capital, I was able to plug into a practice with the resources, experience, and human capital needed to transition my clients without any concern about the advice or service my clients would get moving forward. The team’s deep bench of talent, experience, and specialties help to ensure my clients receive our highest level of care and service...I didn’t want to move toward retirement until I was certain that my clients would be in great hands. I believe they are certainly here at NEST. My only regret is not joining forces sooner.

David Alspach

SENIOR FINANCIAL ADVISOR | NEW ALBANY, OH

There was first a good conversation about my business and goals. Once an initial fit was identified, we got to the details and I found that they had all thought through the process of adding advisors to the practice that answered the key questions of how it would work and who would be doing all the support...NEST is a practice that has committed assets and effort to quality growth of advisors that are a fit for their culture. I feel part of the team and have the best support in my career.



Contact Us Today!

Tim Irwin

Director of Growth
Tim@NESTCapital.com

Ruth Hamilton

Director of Development
Ruth@NESTCapital.com

Trish Suchland

Director of Affiliate Solutions & Strategy
Trish@NESTCapital.com



www.NESTCapital.com



NEST Capital



(800) 366-5384

The experiences discussed are specific to those associates listed and may not be representative of the experience of other associates. Investment products and services are offered through Wells Fargo Advisors Financial Network, LLC (WFAFN), Member SIPC. NEST Capital is a separate entity from WFAFN. PM-10222026-7886339.1.1