



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.

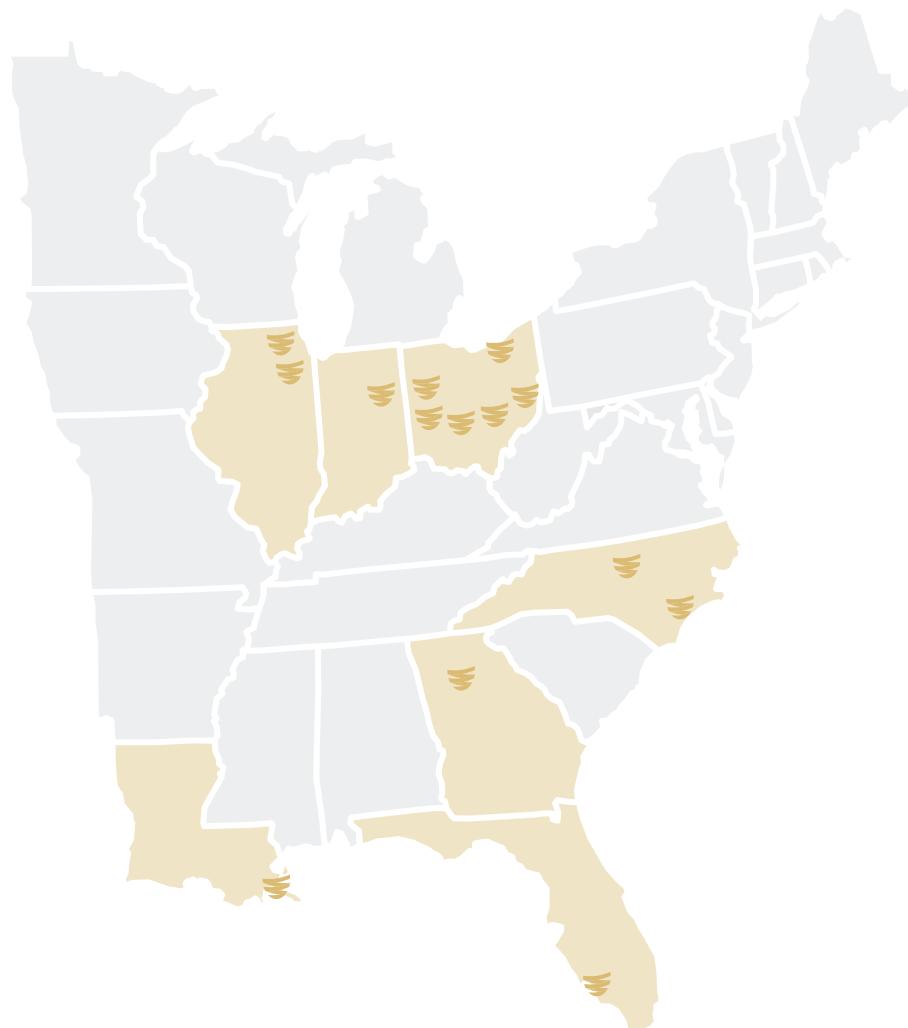
CERTIFICATIONS:

- 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)
- CMFC™ - 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.

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

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

	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)	✓		✓	



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

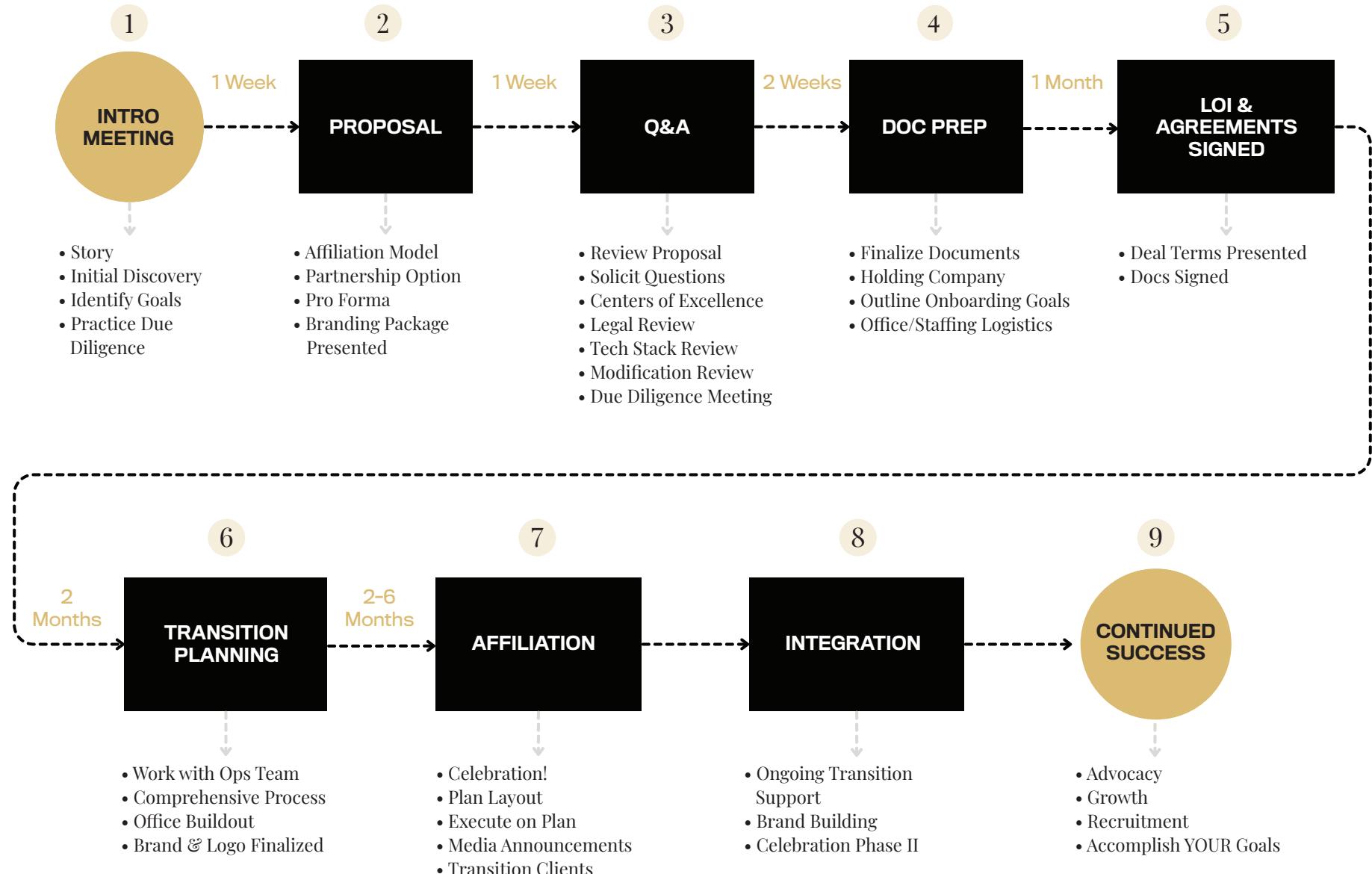
- Advanced and Personalized Lending*
- M&A Specialists*
- Trust Services*
- Ultra High Net-Worth Planning and Services*
- Insurance Analysis and Case Design
- Retirement Plan Specialists with Aggregated Fee Discounts

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



The NEST Transition Process





Practice Support

Your custom practice logo and branding

Collaboration and sharing of client events

Development seminars and team building

New FA Duties		Shown	Familiar	Fluent	Expert	Loves
ACCOUNT OPENING						
Retirement						
Individual/R						
Trust						
Simple/SEP						
401K						
Corporate						
UTMA/UGMA						
Advisory/Brokerage						
OUTSIDE CUSTODIAN						
\$39						
Advisories						
Permanent Life Insurance						
LTC						
ACCOUNT FUNDING						
Check						
ACAT Transfer						
MF Transfer						
Other Transfer (DRS)						
401K Rollover						
403B Pension Rollover						
Death Claim						
ACH/Wire						
ACCOUNT FUNDING						
Check						
ACAT Transfer						

Access to employee training resources



MOTIVATION MONDAY



HOW TO BE STRATEGIC

"a good strategy is a set of actions that is credible, coherent and focused on overcoming the biggest hurdle(s) in achieving a particular objective"

1.) Create alignment around what will succeed.
Ask yourself: Imagine your team is wildly successful, how does it look? Write down your answer and compare your vision to the reality.

2.) Understand which problem you're solving.
Understand the ecosystem around the problem and problems built with your unique strengths and weaknesses.

3.) Prioritize, and act.
Time, energy, and extension are not free. Focus is what lets you move faster on what matters most.

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Affiliate Spotlight

Quick Facts

Name:
FPL Financial Strategies of NEST Capital

Location:
New Albany, OH & Canton, GA

Date Affiliated with NEST Capital:
May 2023

Number of Advisors/Staff:
5 advisors/staff

Years of Combined Advisor Experience:
109 years

Website:
fa.wellsfargoadvisors.com/p/




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Advisors

	David Alspach Sr. Financial Advisor dalspach@wfafn.com
	Robert Kaufman Sr. Financial Advisor CMFC®, ADR® rkaufler@wfafn.com
	Kurt Fauer Sr. Financial Advisor kfauer@wfafn.com

Library of custom social media content

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



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NEST Capital



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The experiences discussed are specific to those associates listed and may not be representative of the experience of other associates.

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