

# FINANCIAL SERVICES AND INVESTMENT MANAGEMENT ASSOCIATIONS, ORGANIZATIONS, AND COMPANY INFORMATION

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## ASSOCIATIONS AND ORGANIZATIONS

**American Association of Finance & Accounting (AAFA)** - <http://aafa.com>  
**Financial Planning Association of Colorado (FPA)** – <https://cofpa.org/>

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## INVESTMENT AND ASSET MANAGEMENT

**361 Capital** – <http://361capital.com/>

361 Capital is a leading boutique asset manager focused on alternative and behavioral-based equity solutions that seek to deliver meaningful alpha, manage risk and offer diversification potential to investor portfolios. Founded in 2001, we offer a suite of investment products including, Long/Short Equity, Managed Futures, Macro, as well as Small, Mid and Large Cap Equity.

**AMG National Trust Bank** – <http://www.amgnational.com/>

Founded in 1972 as a division of a private investment bank, AMG National Trust Bank evolved into a separate corporation under the leadership of the founding partners, Chairman Earl L. Wright and Senior Executive Vice President Michael D. Bergmann, Ph.D. Now a national financial services organization with offices in Denver, Boulder, Chicago, Morristown and Virginia Beach, AMG National Trust Bank has over \$4.2 billion of assets under management.

**Baird** – <http://www.rwbaird.com/>

Baird is an employee-owned, international wealth management, capital markets, private equity and asset management firm with offices in the United States, Europe and Asia. Established in 1919, Baird has more than \$200 billion in client assets and more than 3,400 associates serving the needs of individual, corporate, institutional and municipal clients. A great place to work, Baird has been recognized on FORTUNE's 100 Best Companies to Work for fifteen consecutive years. Baird's principal operating subsidiaries are Robert W. Baird & Co. in the United States and Robert W. Baird Group Ltd. in Europe. Baird also has an operating subsidiary in Asia supporting Baird's investment banking and private equity operations.

**BOK Financial Private Wealth** – <https://www.bokfinancialprivatewealth.com/>

BOK Financial Private Wealth, Inc. is a subsidiary of BOK Financial Corporation. At BOK Financial Private Wealth, we believe the investment objective is the single most important decision in building a relationship with you. From innovative, customizable financial solutions to ongoing analyses and reporting to our highly personalized approach, we are able to maintain a clear focus of your goal, so you can be at ease with your financial future. BOK Financial Corporation also offers wealth management and trust services through various affiliate companies and non-bank subsidiaries including advisory services offered by BOKF as well as additional investment services and products through its subsidiary BOK Financial Securities, Inc.

**BSW Wealth Partners** – <https://bsw.com/>

BSW Wealth Partners is a Boulder, Colorado-based independent wealth advisor that works every day to make life better for its clients. The firm provides financial and investment advice, goal-setting and plan implementation on a fee-only basis to private investors. Our clients are primarily successful individuals and families – sometimes spanning multiple generations – who are wealthy enough to need a sophisticated partner to assist them with protecting and growing their wealth over the long term. Our clients choose BSW as their partner either because they do not have the time, the skills or the inclination to manage the many facets of their personal wealth on a day-to-day basis, or because they want an experienced, reliable and trusted advisory to guide them and their other professionals through the process. They rely on us to understand the fundamental questions that flow from their wealth and to provide the resources that will yield the best solutions. Through experience, we understand that financial peace of mind creates freedom for clients to pursue their most heartfelt goals.

**Cambiar Investors LLC** – <http://www.cambiar.com/>

Cambiar Investors is an award-winning, Denver-based investment management firm. Founded in 1973, we utilize a 'Relative Value' investment philosophy across a wide range of strategies including International Equity, Domestic Large Cap Value, SMID Value, Small Cap Value, and Global. Our disciplined, research-driven investment approach coupled with being a 100% employee-owned organization creates a corporate culture that shares a common pursuit of excellence with our clients.

**Charles Schwab** – <https://www.schwab.com/>

Charles Schwab is a different kind of investment services firm – one that strives to disrupt the status quo of the traditional Wall Street approach on behalf of our clients. We believe today, as we did on Day 1, that when you find ways

to improve the investing experience for your clients, then business results will follow. The Charles Schwab Corporation provides a full range of brokerage, banking and financial advisory services through its operating subsidiaries. Its broker-dealer subsidiary, Charles Schwab & Co., Inc. (member SIPC), and its affiliates offer investment services and products. Its banking subsidiary, Charles Schwab Bank (member FDIC and an Equal Housing Lender), provides deposit and lending services and products. Access to Electronic Services may be limited or unavailable during periods of peak demand, market volatility, systems upgrade, maintenance, or for other reasons. The Charles Schwab Corporation does not endorse third-party comments.

**Colorado Financial Management** – <http://www.colofinancial.com>

Colorado Financial Management is a fee-only financial advisor, offering customized investment management strategies and financial planning for individuals, families, and institutions. We are based in Boulder with offices in Denver and Northern Colorado, serving clients throughout Colorado and the United States. Our clients have counted on us for sound financial advice for over 27 years as they navigate through life's most important decisions. Additionally, we provide consulting services for retirement and estate planning, real estate analysis, and a wide variety of other financial matters. Our philosophy is to establish a well-defined plan, identify high-quality investments, reduce risk at each step of the process, and pay attention to details. We are currently managing and supervising over \$1 billion in securities.

**Crestone Capital Advisors** – <https://www.crestonecapital.com/>

Crestone Capital, LLC, based in Boulder, Colorado, with offices in Denver and San Francisco, is a leading multi-family office for ultra-high net worth entrepreneurs and executives. Crestone provides fully integrated investment management and wealth advisory services to a select group of clients nationwide. We help clients protect and enhance their wealth, simplify their financial lives and achieve their evolving personal and financial goals. Our services include global investment access, strategy and management, estate and philanthropic planning, income tax planning and reporting, financial and cash flow planning, personal financial statement maintenance, and investment portfolio reporting. Crestone has been recognized by Outside Magazine as One of America's Best Places to Work (2014 and 2015). Crestone currently advises on approximately \$1.8 billion of client assets and serves 75 clients.

**Edward Jones** – <https://www.edwardjones.com/index.html>

Edward Jones is a financial services firm headquartered in Des Peres, Missouri and serves investment clients in the U.S. and Canada, through its branch network of more than 12,000 locations and \$914 billion assets under management worldwide. The firm focuses solely on individual investors and small-business owners. Edward Jones serves nearly 7 million investors from more offices than any other investment firm in America. We attribute a great deal of our success to our principles and personal, long-term approach to investing. We have consistently been ranked among the best companies to work for by FORTUNE magazine, and our employees tend to stay with us for years. As a privately owned company, Edward Jones has a very personal feel that's almost like family. And we're very proud of that.

**Fidelity Investments LLC** – <https://www.fidelity.com/>

Fidelity Investments is an American multinational financial services corporation. It is the fourth largest mutual fund and financial services group in the world. Founded in 1946, the company has since served North American investors. Fidelity Investments manages a large family of mutual funds, provides fund distribution and investment advisory services, as well as providing discount brokerage services, retirement services, wealth management, securities execution and clearance, life insurance and a number of other services.

**First Financial Equity Corp.** – <https://www.ffec.com/advisors/denver/>

First Financial Equity Corporation (FFEC) is one of the largest independently owned, full-service brokerage firms in the southwest. The Denver office is proud and committed to providing the same outstanding customer service that FFEC has provided clients around the United States since 1985. FFEC is a full-service brokerage firm with no proprietary products to sell clients, so our advisors act in the best interest of our clients. Our clients are our greatest asset. We provide personalized customer service and offer comprehensive financial solutions by designing portfolios to meet each client's special needs. Our goal is the success of each client's investing and economic endeavors. We create an environment where Financial Advisors have the freedom to brand their business so they can set themselves apart from the competition and provide personalized customer service. By providing a flexible platform to a diverse group of Financial Advisors, we are able to meet clients' special needs and help them reach their financial goals.

**First Western Trust** – <http://www.myfw.com/>

At a growing company like First Western and in a constantly evolving industry like financial services, there's a great deal of potential for career growth and development. With our community focus, positive culture, and opportunities for learning, First Western encourages new ideas and helps every member of the team grow as we work to achieve a

compelling future together. In return, the company is committed to helping our associates grow as well so they can experience rewarding professional development at First Western.

**GHP Investment Advisors, Inc.** – <http://www.ghpia.com/>

At GHP Investment Advisors, we focus on “life wealth,” not just financial wealth, and that is different for everyone. It could mean financial security, preserving your capital, enhancing your personal net worth, or giving you the freedom to live your life to its fullest. Wherever you want to go with your wealth, we try to help you get there. We pull together all of the pieces of your financial life – offering comprehensive and integrated wealth management strategies. Enhance your wealth, and your life, with GHIPA.

**Gill Capital Partners** – <http://www.gillinvest.com/>

At Gill Capital Partners, we want you to understand the Capital Difference. It's about unique product offerings — not the product that every other registered financial advisor is pushing, but the kinds that turn your dreams into plans into results. It's about better service — forming lasting relationships with Colorado clients and doing business the way you want to do business. It's about knowing that when it comes to our success, we are only as good as your word. As a Gill Capital Partners client, you will have a single relationship financial manager. One person who knows you and understands your goals. Whether you want to talk to your relationship manager every quarter or every day, you are guaranteed the same, single point of contact.

**Great-West Financial** – <http://www.greatwest.com/>

At Great-West Financial® and Empower Retirement, our more than 5,700 associates are dedicated to helping millions of Americans plan for their financial futures. Headquartered in metro Denver, we serve customers nationwide through offices around the country. Our offerings range from life insurance, annuities and executive benefits products marketed under our Great-West brand to retirement savings products and services provided by our Empower brand.

**GVC Capital LLC** – <http://www.qvccap.com/>

GVC Capital LLC (GVC) is an innovative boutique investment banking firm headquartered in the Denver suburb of Greenwood Village, Colorado with additional offices Boulder, CO, Omaha, NE, and Spokane WA. GVC offers financial advisory services to underexposed private companies and undervalued micro- and mid-cap companies (generally defined as having market capitalizations below \$500 million). GVC's mission is to provide exceptional emerging growth companies with the financial and professional resources necessary to achieve full potential and maximize shareholder value. GVC's operating philosophy is defined by a reputation for professional excellence and the highest standards for ethical behavior and fiduciary responsibility. GVC was formerly known as Bathgate Capital Partners. GVC and its predecessor have proudly served a growing base of long-term and repeat clients since 1995.

**ICON Advisors, Inc.** – <http://www.iconadvisers.com>

ICON Advisors, Inc. is a privately owned Investment firm headquartered in Greenwood Village, Colorado. It is a boutique investment company offering sector-based portfolio solutions to help clients reach their financial goals. Since 1986, ICON has used its value-based investment system to rotate among ten sectors and more than 150 industries to look for leading market themes. ICON features domestic and international products in 18 mutual funds, eight tactical allocation portfolios, and separately managed accounts. There are risks involved with mutual fund investing, including the risk of loss of principal. There is no assurance that the investment process will consistently lead to successful results. Consider the investment objectives, risks, charges, expenses, and share classes of each ICON Fund carefully before investing.

**Invesco Ltd.** – <https://www.invesco.com/corporate>

Invesco is a global company headquartered in Atlanta, Georgia with regional offices in 25 countries. Invesco is an independent investment management firm dedicated to delivering an investment experience that helps people get more out of life. We are privileged to manage \$1,195.2 billion in assets on behalf of clients worldwide (as of October 31, 2019). We have specialized investment teams managing investments across a comprehensive range of asset classes, investment styles and geographies. Over 8,000 employees focused on client needs across the globe, proximity to our clients with an on-the-ground presence in 25 countries and solid financials, an investment grade debt rating, and a strong balance sheet.

**Janus Henderson Investors** – <https://en-us.janushenderson.com/>

Formed in 2017 from the merger between Janus Capital Group and Henderson Global Investors, we are committed to adding value through active management. For us, active is more than our investment approach – it is the way we translate ideas into action, how we communicate our views and the partnerships we build in order to create the best outcomes for clients. We are proud to offer a highly diversified range of products, harnessing the intellectual capital of some of the industry's most innovative and formative thinkers from both the Janus Henderson investment teams as well

as sub-advisors Perkins, INTECH and Geneva. Our expertise encompasses the major asset classes, we have investment teams situated around the world, and we serve institutional, intermediary and individual investors globally. We have \$330.8 B in assets under management, more than 2,000 employees and offices in 27 cities worldwide\*. Headquartered in London, we are an independent asset manager that is dual-listed on the New York Stock Exchange and the Australian Securities Exchange.

**LPL Financial** – <https://lplfinancial.lpl.com/>

LPL Financial is a leader in the retail financial advice market and the nation's largest independent broker/dealer\*. We serve independent financial advisors and financial institutions, providing them with the technology, research, clearing and compliance services, and practice management programs they need to create and grow thriving practices. LPL enables them to provide objective guidance to millions of American families seeking wealth management, retirement planning, financial planning and asset management solutions.

**Marsico Capital Management, LLC** – <http://www.marsicofunds.com/>

Marsico Capital Management is a Denver, Colorado-based investment management firm founded in 1997 by Thomas F. Marsico. The firm manages assets for mutual funds, insurance funds, corporate retirement plans, endowments, foundations, family offices, separately managed wrap programs, and other clients. For over 17 years, Marsico's singular active investment approach has provided the foundation for building and managing concentrated domestic, international, and global growth equity portfolios. By following a disciplined approach that combines both top-down macroeconomic analysis and bottom-up stock selection, we are able to help our investors achieve their long-term goals.

**Merrill Lynch Bank of America Corporation** – <https://www.ml.com/>

Founded in 1914, Merrill Lynch is one of the largest wealth management businesses in the world. Merrill Lynch financial advisors combine financial knowledge and experience with a deep understanding of their clients' needs to help their clients achieve the lives they want. With a deep commitment to placing their clients' interests first, Merrill Lynch financial advisors draw upon the investment insights of Merrill Lynch and the banking of Bank of America to unlock opportunities tailored to their clients' needs in all areas of their financial lives. The solutions our financial advisors offer go beyond investment management to include college savings strategies, retirement planning, eldercare, philanthropy, estate planning services, small business services, and access to cash management and banking solutions.

**M.J. Smith and Associates** – <http://www.mj-smith.com/>

Since 1983, M.J. Smith and Associates has pursued a well-reasoned and rational approach to investment planning and wealth management during every market cycle and through each swing of the economic pendulum. We like to think we're a source of respite for our clients, a place where they are reminded that the most rewarded financial virtues are patience, vigilance and intelligence – even as they confront some of life's biggest financial challenges like navigating a divorce, selling a business or managing an inheritance. Calling on more than 90 years of combined investing experience, we strive to be your voice of financial reason. Our job is to mute hype, to temper emotion, to share knowledge and to help exceptionally successful people become especially successful investors.

**Morgan Stanley Wealth Management** – <http://www.morganstanley.com/>

Morgan Stanley mobilizes capital to help governments, corporations, institutions and individuals around the world achieve their financial goals. For over 75 years, the firm's reputation for using innovative thinking to solve complex problems has been well earned and rarely matched. A consistent industry leader throughout decades of dramatic change in modern finance, Morgan Stanley will continue to break new ground in advising, serving and providing new opportunities for its clients. Morgan Stanley is committed to maintaining the first-class service and high standard of excellence that have always defined the firm. At its foundation are four core values — putting clients first, doing the right thing, leading with exceptional ideas and giving back — that guide its more than 55,000 employees in 1,200 offices across 43 countries.

**Northern Trust, Corp.** – <http://www.northerntrust.com>

Northern Trust Corporation (Nasdaq: NTRS) is a leading provider of wealth management, asset servicing, asset management and banking to corporations, institutions, affluent families and individuals. Founded in Chicago in 1889, Northern Trust has offices in the United States in 19 states and Washington, D.C., and 20 international locations in Canada, Europe, the Middle East and the Asia-Pacific region. As of March 31, 2018, Northern Trust Corporation had: \$10.8 trillion in assets under custody/administration, \$8.1 trillion in assets under custody, \$1.2 trillion in assets under management, \$130 billion in banking assets. For over 129 years, Northern Trust has earned distinction as an industry leader for exceptional service, financial expertise, integrity and innovation.

**Northwestern Mutual Investment Services, LLC** – <http://www.northwesternmutual.com>

Northwestern Mutual has been helping families and businesses achieve financial security for 161 years. Through a distinctive, whole-picture planning approach including both insurance and investments, we empower people to spend life living. We combine the expertise of our financial professionals with a personalized digital experience and leading-edge technology to best serve our clients. With \$265.0 billion in assets, \$28.1 billion in revenues, and more than \$1.8 trillion worth of life insurance protection in force, Northwestern Mutual delivers financial security to more than 4.5 million people who rely on us for life, disability income and long-term care insurance, annuities, brokerage and advisory services, trust services, and discretionary portfolio management solutions. The company holds more than \$125 billion of client assets as a part of its wealth management company and investment services. We are strong supporters of our financial workforce nationwide as well as our home office professionals in Milwaukee, WI. We're continuing to grow, and we believe diversity makes us stronger as we help shape the future of financial security.

**NTB Financial Corp.** – <http://www.ntbinc.com/>

Neidiger, Tucker, Bruner, Corp. has a longstanding tradition of integrity, expertise and commitment to our clients. Founded in 1977, Denver-based NTB is one of the oldest independent securities, asset management and investment banking firms in the region, providing individual, institutional, and corporate clients a full complement of financial services including investment banking, brokerage services, asset management as well as equity and fixed income sales and trading. NTB is registered in all 50 states. Today, Neidiger, Tucker Bruner upholds over 35 years of tradition that is rarely found among our competitors.

**Obermeyer Investment Counsel, LLLP** – <http://www.obermeyerwood.com/>

Obermeyer Wood Investment Counsel, LLLP, is dedicated to thoughtfully investing its clients' assets and partnering with them as they navigate life's financial decisions. We leverage our team's experience and resources to support the unique financial goals of our clients, their families, and the foundations and corporations they lead. As one of Colorado's largest independent investment advisory firms, our team serves clients across the United States through our offices in Aspen and Denver.

**Raymond James Financial Services, Inc.** – <http://www.raymondjames.com/>

Founded in 1962 and a public company since 1983, Raymond James Financial, Inc. is a Florida-based diversified holding company providing financial services to individuals, corporations and municipalities through its subsidiary companies engaged primarily in investment and financial planning, in addition to capital markets and asset management. The firm's stock is traded on the New York Stock Exchange (RJF). Through its three broker/dealer subsidiaries, Raymond James Financial has approximately 7,600 financial advisors in 3,000 locations throughout the United States, Canada and overseas. Total client assets are \$730 billion. Raymond James has been recognized nationally for its community support and corporate philanthropy. The company has been ranked as one of the best in the country in customer service, as a great place to work and as a national leader in support of the arts.

**RBC Wealth Management** - <http://www.rbcwealthmanagement.com>

RBC Wealth Management has provided trusted advice and wealth management solutions to individuals, families and institutions for more than a century. As part of Royal Bank of Canada (RBC), Canada's largest bank and a leading global bank, we serve the needs of high net worth and institutional clients worldwide through private banking, credit, investment management, asset management, estate and trust and other services. By offering the breadth of our global reach, our deep capabilities, and an integrated team of experts, we aim to bring the best possible solutions to our clients. RBC Wealth Management is a business name used by various affiliates of Royal Bank of Canada and in Canada, includes RBC Dominion Securities Inc.\*, RBC Phillips, Hager & North Investment Counsel Inc., RBC Global Asset Management Inc., Royal Trust Corporation of Canada and The Royal Trust Company. \*Member – Canadian Investor Protection Fund. Each of these companies, their affiliates and Royal Bank of Canada are separate corporate entities which are affiliated.

**Sharkey, Howes & Javer Inc. (SHJ)** – <http://www.shwj.com/>

Sharkey, Howes & Javer is one of Denver's oldest Financial Planning and Investment Management firms. At SH&J, our team of Certified Financial Planner™ professionals will help you create a personal financial plan geared towards meeting your goals. We are a non-commissioned / no product sales firm, which allows us to offer genuine advice to our clients, and make their best interests our top priority. Our experienced and unbiased Investment Advisors are here to guide you on your financial path.

**Teachers Insurance and Annuity Association of America (TIAA)** – <http://www.tiaa.org/>

TIAA is dedicated to helping those who teach, heal, and services achieve financial well-being. We are the leading provider of financial services in the academic, research, medical and cultural fields, serving more than 5 million people. We support our customers every step of the way as they plan for and reach financial milestones, just as we have for nearly 100 years.

With a nonprofit heritage and award-winning investment performance, we were created to serve and we are built to perform.

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## **FINANCIAL SERVICES COMPANIES**

### **S&P Global** – <https://www.spglobal.com/en/>

At S&P Global, we don't give you intelligence—we give you essential intelligence. The essential intelligence you need to make decisions with conviction. We're the world's foremost provider of ratings, benchmarks and analytics in the global capital and commodity markets. Our divisions include S&P Global Ratings, which provides credit ratings, research and insights essential to driving growth and transparency. S&P Global Market Intelligence, which provides insights into companies, markets and data so that business and financial decisions can be made with conviction. S&P Dow Jones Indices, the world's largest resource for iconic and innovative indices, which helps investors pinpoint global opportunities. S&P Global Platts, which equips customers to identify and seize opportunities in energy and commodities, stimulating business growth and market transparency.

### **Visa USA** – <http://usa.visa.com>

Visa Inc. (NYSE: V) is the world's leader in digital payments. Our mission is to connect the world through the most innovative, reliable and secure payment network - enabling individuals, businesses and economies to thrive. Our advanced global processing network, VisaNet, provides secure and reliable payments around the world and is capable of handling more than 65,000 transaction messages a second. The company's relentless focus on innovation is a catalyst for the rapid growth of connected commerce on any device, and a driving force behind the dream of a cashless future for everyone, everywhere. As the world moves from analog to digital, Visa is applying our brand, products, people, network and scale to reshape the future of commerce.

### **Western Union Company** – <http://corporate.westernunion.com>

With a 160+ year history of connecting people when it matters most, Western Union continues to shape the world in which we live. Western Union offers one of the easiest ways for families, friends and businesses to send money and stay connected almost anywhere in the world. It all comes down to the relationships we've established over many years. Together with our Agents, we speak our consumers' languages and live in our consumers' neighborhoods. And we share our consumers' cultures. We are a significant part of each other's lives. As a result, our Agents and employees are more like ambassadors. They are ambassadors of trust. Ambassadors of responsibility. And ambassadors of hope. They are the living, breathing manifestation of who we are as a company and everything we stand for. We are inspired, driven, responsible, connected, and game-changers. And we're moving forward with other new ventures too! Western Union has launched WU Digital in San Francisco, CA. This technology-driven division will focus on mobile and online services. Wherever our customers go and however they want to connect—we'll be there! We didn't become the worldwide leader in money movement services overnight. The employees of Western Union have been the backbone of our innovative spirit—and continued success—since our beginnings in 1851. And it's a proud tradition that continues today with the next dedicated, enterprising individual that joins our team—hopefully, you!