



The ESOP Group

Private Wealth Management



Experience makes all the difference – Since 1989

The Partners



Keith A. Mericka, FOC
Managing Director—
Wealth Management
Private Wealth Advisor
Senior Portfolio Manager

Keith joined UBS in 1987 after starting his career with Morgan Stanley in 1983. In 1990, Keith co-founded UBS's national employee stock ownership plan (ESOP) practice and

has since advised hundreds of private and family business owners helping create more than \$6 billion in value. In 2008, he and his team transitioned to Private Wealth Management, the firm's ultra high net worth division, with a focus on providing holistic wealth management advice to owners of private companies seeking to monetize a lifetime of hard work as tax efficiently as possible. Keith and his team are advisors to about 60 exceptional families, responsible for managing \$3.2 billion of family wealth—all resulting from liquidity events.

Life

- Keith and his wife of 36 years, Cathy, now live on the Gulf of Mexico, splitting time between Florida and Atlanta.
- His personal interests include golf, cooking, fly fishing, hunting, conservation and studying financial markets.
- Keith is an active supporter of his church, family, friends and clients.

Industry achievements

- *Barron's* Top 1,000 Financial Advisors, 2009 – 2013
- *Barron's* Top 1,200 Financial Advisors, 2014 – 2020
- *Financial Times* 400 Top Financial Advisers, 2013 – 2018
- *Forbes* Best-In-State Wealth Advisors, Georgia, 2018 – 2021
- *Forbes* Top 250 Wealth Advisors, 2020
- *Barron's* Top 100 Private Wealth Management Teams, 2021

Leadership

- Respected nationally for his knowledge of Section 1042 tax-deferred sales and ESOP cash and investment management
- The ESOP Association—longstanding member and member of the Finance Committee
- National Center for Employee Ownership—longstanding member
- Current member of UBS Pinnacle Council
- Recognized in UBS Global Circle of Excellence, 2007

Education

- Series 7 and 66 securities licenses
- Life, health, variable annuity, variable life and long-term care licenses
- B.B.A., risk management and insurance, Georgia State University

“ We are in the advice business. Our aim is to make the complex simple, the unknown known and the hidden transparent.”



Leslie A. Lauer, CFP®, ChFC®, CEPA®, FOC
Managing Director—
Wealth Management
Private Wealth Advisor
Portfolio Manager

Early in her career and just five days after entering the employee benefits field, Leslie attended her first national ESOP conference—she was immediately “hooked” on the idea of business

owners selling to their employees. Since then she has dedicated her career to advising business owners on their succession options, specifically employee stock ownership plans (ESOPs). Today, as a multi-credentialed member of The ESOP Group, Leslie continues to work closely with business owners and their families. With more than 30 years of expertise, she and her team are qualified to assist clients on all aspects of tax, estate and retirement planning, asset allocation, insurance solutions, lending and strategic philanthropy. Leslie advises a number of corporate client relationships as well, providing them with cash management, executive compensation and captive insurance company asset management.

Life

- Leslie and her husband, Bruce, reside in Columbus, OH and Los Angeles, CA.
- Her personal interests include traveling (46 countries and counting), golf, swimming and venture capital investing.
- Leslie actively supports the Mid-Ohio Food Bank, the Leukemia and Lymphoma Society and the American Cancer Society.
- Leslie is an active board member of two 100% ESOP-owned companies (Fleetwood Group and Intervine Inc.).

Industry achievements

- *Barron's* Top 1,200 Financial Advisors, 2018 – 2021
- *Barron's* Top 100 Women Financial Advisors, 2016 – 2021
- *Financial Times* 400 Top Financial Advisers, 2017, 2018
- *Forbes* Best-In-State Wealth Advisors, Georgia, 2018 – 2021
- *Forbes* Top 250 Wealth Advisors, 2021
- *Forbes* Top Women Wealth Advisors, 2020, 2021
- *Forbes* Top 200 Women Advisors, 2017 – 2020
- *Barron's* Top 100 Private Wealth Management Teams, 2021

Leadership

- Frequent instructor and speaker on ESOPs whose notable engagements include teaching the Exit Planning Institute (EPI) masterclass and M.B.A. capstone class at University of Oxford
- The ESOP Association—board of governors member for nine years and previous chairman of the Finance Committee
- National Center for Employee Ownership—board member for six years and previous chairman for two years
- Ohio Captive Insurance Association—treasurer for six years
- Columbus Foundation—advisory board member
- The Association for Corporate Growth—member
- Women for Economic and Leadership Development—member

Education

- Series 7 and 66 securities licenses
- Life, health, variable annuity, variable life and long-term care licenses
- B.A., finance, University of Toledo

“Being part of a team that helps owners pass the torch to the next generation of leaders, managers and employees has been one of my life's greatest joys.”



Curt Rubinas, CEPA®

Senior Vice President–
Wealth Management
Private Wealth Advisor

Curt started his career 18 years ago on a trading floor in New York, where he used his background in economics and derivatives to develop investment solutions for wealthy investors. However, his life changed when he

started working more exclusively with business owners. His love for problem solving was a natural fit to help business owners and their families navigate some of life’s more difficult financial decisions.

Life

- He and his wife, Alison, and their three children, Emma, Holden and Bennett, reside in Atlanta.
- Curt’s personal interests include tennis, golf, philosophy and football.
- Curt is an active supporter of the Inclusion Program at Peachtree Presbyterian Pre-School, Warren T. Jackson Foundation and Doctors without Borders.

Leadership

- Georgia Center for Employee Ownership—Steering Committee
- The ESOP Association—member
- National Center for Employee Ownership—member

Education

- Series 7 and 66 securities licenses
- Life, health, variable annuity, variable life and long-term care licenses
- B.A., economics, Vanderbilt University

Industry achievements

- *Barron's* Top 100 Private Wealth Management Teams, 2021

“Earning our clients’ trust through integrity and creativity is how we want to be remembered.”



Rebecca T. Glasgow, CFP®, CEPA®

Senior Vice President–
Wealth Management
Private Wealth Advisor
Portfolio Manager

Rebecca has spent her career advising business owners, wealthy families and institutions. She has always focused her practice on helping clients with long-term investment planning and wealth transfer solutions. However, upon

joining UBS, Rebecca found her niche in ownership transition and specifically employee stock ownership plans (ESOPs). Today, as a partner of The ESOP Group, she works closely with business owners and their families.

Life

- Becca and her husband, Steve, and their two girls, Whitney and Lydia, reside in Atlanta.
- Originally from Boston, she enjoys spending time in the Northeast.
- Becca is an avid skier and fair-weather golfer, and loves to bake and travel.
- She is an active supporter of the E. Rivers Foundation, Peachtree Presbyterian Inclusion Program and global clean water initiatives.

Leadership

- The ESOP Association, New South Chapter—chapter officer, speaker
- The ESOP Association—Finance Committee member, speaker
- National Center For Employee Ownership—member, speaker
- Georgia Center for Employee Ownership—participant
- Atlanta ProVisors—host member
- Leukemia & Lymphoma Society—Man & Woman of the Year Campaign
- UBS All Bar None—member

Education

- Series 7 and 66 securities licenses
- Life, health, variable annuity, variable life and long-term care licenses
- B.A., economics, Cornell University

Industry achievements

- *Forbes* Top Women Wealth Advisors, 2021
- *Barron's* Top 100 Private Wealth Management Teams, 2021

“As a trusted advisor to my clients, helping others is one of the most satisfying and rewarding opportunities life has given me.”

Comprehensive planning,
portfolio management
and sell-side advisory



Kurt S. Hirshman, CFA
Senior Wealth
Strategy Associate



Catherine A. Mericka,
CFP®, CRPC®, CEPA®
Senior Wealth
Strategy Associate



Eric Warters, CFA
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