THE THIRD
COAST GROUP

140+
Years of Experience

3,011
Experienced Professionals

964
Financial Professionals

92
Branch Offices

38
Research Analysts

$113.2B
Assets Under Administration

As of June 30, 2023

Third Coast Group
of Oppenheimer & Co. Inc.
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Phone: (312) 360-5502
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OPPENHEIMER | THE THIRD COAST GROUP

Who We Are?

We help high-net-worth business owners, professionals, and their families plan for a successful retirement by offering customized, creative strategies backed by meaningful financial guidance.

Our team is comprised of industry veterans and next-generation Financial Advisors that have been recognized in recent years in **Forbes|Shook® Top Next-Gen Wealth Advisors** list, and in **Chicago Magazine's list of Five Star Wealth Managers**.

Assets Under Management

$571,292,687 as of 12/31/23

Depth

3 Financial Advisors

3 Support Staff

Designations

2 Hold the Certified Financial Planner

Our Team

Joseph Guttilla

Managing Director – Investments
(312) 360-5602
loe.guttilla@opco.com

With over 26 years of experience, Joe Guttilla, a proud graduate of Loyola University in 1997, has dedicated his career to assisting individuals and small businesses in achieving their financial objectives with Oppenheimer & Co. Inc. Joe's approach revolves around aligning each client's unique goals, values, and needs through comprehensive planning and customizing investment and insurance strategies. He has consistently earned the distinction of being listed in Chicago Magazine's Five Star Wealth Managers from 2010 through 2023.

Joshua Hayes, CFP®

Executive Director – Investments
(312) 360-5929
joshua.hayes@opco.com

Since joining Oppenheimer in 2008, Josh has been dedicated to assisting individuals, families, and business owners in effectively managing their investments and planning for retirement. A Cum Laude graduate of Wheaton College, Josh holds a degree in Business and Economics with a minor in History. Josh's commitment to excellence is evident through his achievement of the Certified Financial Planner™ designation from the Certified Financial Planner Board of Standards Inc. Josh has been recognized by Forbes | Shook as one of America's Top Next Generation Wealth Advisors annually since 2017.

Nicholas Hunt, CFP®

Executive Director – Investments
(312) 360-5502
nicholas.hunt@opco.com

A Summa Cum Laude graduate of Columbia College Chicago, Nicholas joined Oppenheimer & Co. Inc. in June 2014 and holds the Certified Financial Planner designation as designated by the Certified Financial Planner Board of Standards Inc. in 2020. In collaboration with both his team and the leadership at Oppenheimer Asset Management, Nicholas delivers a confident and comprehensive wealth management service to a diverse clientele focusing on assisting clients to interpret and effectively pursue their financial goals.

Suzanne Sweetwood

Senior Financial Associate
(312) 360-5521
suzanne.sweetwood@opco.com

In 2016, Suzanne became a part of the Oppenheimer Private Client Division as Senior Financial Associate, officially joining the Third Coast team in 2021. Renowned for her keen insight, Suzanne excels in resolving intricate issues for both teammates and clients. She brings a creative approach to streamline processes, placing a strong emphasis on dedication, service, and personalized client support. Suzanne's exceptional communication skills and commitment to financial literacy make her a trusted and valuable colleague for the team.

Jeffrey Smith

Registered Client Service Associate
(312) 360-5647
jeffrey.smith@opco.com

Jeff started with the Third Coast Group in the summer of 2023 and aids the Team with daily operations as well as longer-term projects all in support of client-oriented needs.

He attended Northern Illinois University, where he graduated with a Bachelor's degree in Marketing and a minor in History, he also played on the lacrosse team as a midfielder. Jeff holds his SIE, Series 7, and Series 63 licensing.

Katherine Baumann

Client Service Associate
(312) 360-5889
katherine.baumann@opco.com

Katie became an official member of The Third Coast Group in September 2023. Her primary responsibility is to support the Team in day-to-day operations both strengthening relationships and growing the wealth management practice.

Katie graduated from the University of Wisconsin – Madison with a Bachelor of Science in Personal Finance – Financial Planning and certificates in Entrepreneurship and Business Fundamentals.

Our full services and capabilities are integrated and designed to be customizable for you.

Financial Planning

We provide personalized financial guidance throughout all financial stages of life including wealth accumulation, wealth management, or wealth transfer strategies. We offer a high-touch, high-tech approach to financial planning that integrates the clients' objectives into a personalized plan that grows and changes as their needs and goals do.

Joshua Hayes, holds the Certified Financial Planner designation

Nicholas Hunt, holds the Certified Financial Planner designation

Capital Markets

- Our Investment Banking group assists emerging growth and middle market companies raise the capital they require; our Public Finance Department works closely with cities, states and public authorities to help develop efficient financing plans
- Experienced equity research team with 40 senior analysts deliver independent and recognized research
- Sales and trading teams have efficient order execution capabilities and superior client service

Oppenheimer Asset Management Inc. (OAM)*[2]

- Founded to help individual and institutional investors build customized investment plans based on strategic asset allocation; supported by over 100 experienced professionals
- Provides customized professional money management through the Consulting Group, Oppenheimer Investment Advisers and the Alternative Investments Group of Oppenheimer Asset Management Inc.[3]

Oppenheimer Trust Company of Delaware[1]

- Established to help address the important issues of control and continuity of service, extending the substantial relationships that high net worth clients and families have built over the years with the Firm
- Provides you with access to fiduciary services

1. Trust services are provided by Oppenheimer Trust Company of Delaware. 2. OAM is the name under which Oppenheimer Asset Management Inc. does business. OAM and the Oppenheimer Trust Company of Delaware are wholly owned subsidiaries of Oppenheimer Holdings Inc., which also wholly owns Oppenheimer & Co. Inc. (Oppenheimer), a registered broker/dealer and investment adviser. Securities are offered through Oppenheimer. 3. The Consulting Group, Oppenheimer Investment Advisers and the Alternative Investments Group are divisions of Oppenheimer Asset Management Inc. (OAM), a registered investment adviser.

*This material is not a recommendation as defined in Regulation Best Interest adopted by the Securities and Exchange Commission. It is provided to you after you have received Form CRS, Regulation Best Interest disclosure and other materials.