



ROCKEFELLER FINANCIAL

ROCKEFELLER WEALTH ADVISORS | ROCKEFELLER ASSET MANAGEMENT | ROCKEFELLER CAPITAL PARTNERS
ROCKIT® SOLUTIONS, INFORMATION MANAGEMENT
10 ROCKEFELLER PLAZA, 3RD FLOOR, NEW YORK, NY 10020 | 212.549.5300

Our Firm

Rockefeller Financial is a leading wealth management firm providing sophisticated solutions to wealthy individuals, families, family offices, foundations, endowments and other institutions. The firm's focus on a select clientele, our ability to customize solutions, and the quality of our professionals are a few attributes that make us unique.

Our history dates back to 1882 when John D. Rockefeller established one of the world's first family offices. The firm was formally incorporated in 1979, became an SEC-registered investment adviser in 1980, and then started managing money for other clients. We established Rockefeller Trust Companies in New York in 1985, in Delaware in 1997 and converted our New York charter to a national charter in 2009. In 2000, we introduced Rockit®, our proprietary wealth-information management technology solution.

Our Strengths

Objectivity: We are a private and independent firm that is structured to provide long-term results and unbiased advice to a select clientele.

Access: Our legacy and highly qualified professionals allow us to offer best-in-class financial strategies to our clients.

Innovation: We have a history of crafting forward-thinking solutions and investment strategies for our clients whenever the available options won't do. Examples include our history of global investing and experience with a broad range of asset classes and strategies, as well as our commitment to technology and reporting through the development of Rockit® Solutions, our proprietary integrated wealth information management solution.

Our Typical Client

At Rockefeller Financial, we have a sophisticated and long-standing client base that includes individuals, families, trusts, charitable foundations and institutions of all sizes. We are proud to serve diverse clients with a wide variety of asset levels and needs.

AT A GLANCE

Contact: Austin V. Shapard, President and Chief Operating Officer, 10 Rockefeller Plaza, 3rd Floor, New York, NY 10020, 212-549-5300

Locations: Headquartered in New York City, with offices in Boston, Washington DC, Wilmington, Del. and Stamford, Conn.

Year Founded: 1882

Total Assets Under Administration: Approximately \$25 billion as of Dec. 31, 2009

Currently, the majority of our assets under administration are from ultra high net worth families based in the United States. We also manage assets for a growing number of international institutions.

Some Little-Known Facts About Our Firm

While we trace our history back to being the Rockefeller family office, our firm today has multiple, complementary businesses, including:

- **Rockefeller Wealth Advisors:** Objective advice and comprehensive service to meet the wealth management and trust company needs of successful individuals, families and family offices.
- **Rockefeller Asset Management:** Internally managed global equity and fixed income strategies that have demonstrated strong performance against benchmarks over the long term.
- **Rockefeller Capital Partners:** Tailored advice and portfolios of hedge funds, private equity and other alternative investments.
- **Rockit® Solutions, Information Management:** Proprietary technology and highly qualified service professionals to provide timely, accurate and accessible reporting on complex portfolios.

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