



**Comprehensive Wealth  
Management Consultants**

**Independent and Objective Advice from Experienced Professionals**



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Investment products & services are offered through Wells Fargo Advisors Financial Network, LLC (WFAFN). Member SIPC.  
The Regan Group, Inc. is a separate entity from WFAFN.

## **The Regan Group's Mission**

Achieve superior results for our clients by providing institutional level investment management and consulting services.

We will assist you in creating a **prudent investment process** to help you and your family realize your vision of the future, achieve your goals, and meet your needs.

# Who is The Regan Group?

We are a privately held,  
independent, investment management consulting practice  
located in Omaha, Nebraska.

Our team is comprised of four  
professionals with over 75 years of combined  
investment consulting experience.



**Investment consulting is ALL we do.**

# The Regan Group's Senior Consultants

## **Patrick G. Regan, CIMA®**

**Managing Principal – The Regan Group, Inc.**

I have been in the financial services industry for over 23 years as a Managing Principal with The Regan Group, Inc. Through my independent affiliation with Wells Fargo Advisors Financial Network, I have been recognized as a Platinum Council member from 2011-2022.

After extensive graduate-level coursework and examination, I earned the Certified Investment Management Analyst® (CIMA®) designation in 2005. Maintenance of this designation requires adherence to a professional Code of Ethics and fulfilling rigorous ongoing education to remain aware of current planning strategies and financial trends. I am also a member of the Investment Management Consultants Association.

I received a Master's of Business Administration from The University of Texas, San Antonio and I am also a graduate of Trinity University, San Antonio, Texas, with a BS Engineering Science / Electrical. I spent eleven years in electrical engineering management.

I spent my childhood in Omaha where I now reside with my wife, Cindy, and where we enjoy visits from our two children.

As a passionate and committed runner, I have completed several full and half marathons over the years. I also enjoy golf and can often be found in the summer months on the course, spending quality time with clients.

I am also very active in the Omaha community:

- Investment/Finance Committee Member – Omaha Archdiocese ACD
- Finance Committee Member – Marian High School
- Past Chair of Marian High School Endowment Board of Trustees
- Endowment Committee Member for St. Vincent de Paul Church
- Member of Men's Club of St. Vincent de Paul Church
- Past Trustee of St. Vincent de Paul Church
- Past Member and Chair of the Finance Committee – St. Vincent de Paul Church
- Member Omaha Chamber of Commerce
- Director & Treasurer – Estates of Huntington Park Homeowners Association



The Platinum Council distinction is held by a select group of Financial Advisors within Wells Fargo Advisors Financial Network as measured by one or more of the following: completion of educational components, business production from the previous year, and professionalism. Additional consideration may have included best practices and team structures.

# The Regan Group's Senior Consultants

## **Edward T. Regan, CIMA®**

Managing Principal – The Regan Group, Inc.

I have been in the financial services industry for over 54 years. I was the Omaha Branch Manager of the EF Hutton office for five years.

As a member of the first certification class at The Wharton School in 1988, I earned the CIMA® (Certified Investment Management Analyst®) designation after extensive graduate level coursework and examination. Maintenance of this designation requires adherence to a professional Code of Ethics and fulfilling rigorous ongoing education to remain aware of current planning strategies and financial trends. I also chaired the continuing education classes for CIMA's for many years. I am a member of the Investment Management Consultants Association, as well.



I am a graduate of Creighton University with a BS in Business Administration. Also, I was a Certified Public Accountant for ten years, currently non-practicing.

My wife Rose and I raised our six children in Omaha. Outside the office, I enjoy golf, fishing, and photography.

I am also very active in the Omaha community:

- Member of the Catholic Archbishop of Omaha's **Continuing Development Committee**
- Past member of the Omaha **Archdiocesan Investment Committee**
- Past member of the **Missionary Society of St. Columbian Investment Committee**
- Past president of the board of directors of **Mount Michael High School**
- Past Board member of **Mercy High School**
- Past president and board member of the **Serra Club of Omaha**
- Past Parish Council president and trustee of **St. Joan of Arc Church**
- Past treasurer of **Highland Country Club**
- Past chair of the **Archbishop's Educational Dinner for Scholarships**

# The Regan Group Difference

## ■ **Experience:**

We have worked through many varied and difficult periods in the financial markets. During these times, we believe experience counts.

## ■ **Depth:**

Our collaborative approach to managing relationships utilizes the collective intelligence of the entire Regan Group team, but a senior member of our team will manage the specifics of your investment plan.

## ■ **Singularity of Focus:**

Investment consulting is all that we do.

## ■ **Comprehensive Strategies:**

We provide our clients with knowledge that is used to help add value to their investment process through our consulting services, asset management alternatives, in-depth research, and extensive analysis of the financial markets and asset-class behavior.

## ■ **Objectivity:**

We are completely objective and offer no proprietary products. Our compensation arrangement will provide you with access to our advice, which is focused solely on assisting you in achieving your financial goals.

## ■ **Custom Strategies:**

We recognize that we are in a relationship with our clients. We need to fit our consulting services to their needs, not the other way around.



# The Regan Group Investment Process



\*Following client review and consent



# Our Commitment to Advisory Clients

## ■ **Effective Communication**

- ◆ Ongoing Performance Reports
- ◆ Periodic Review Meetings

## ■ **Process Driven Analysis**

- ◆ A Disciplined, Methodical Process

## ■ **Objectivity**

- ◆ We use non-proprietary investment products. We are independent.

## ■ **Competitive Fees for Our Service**

- ◆ Our fee is based on our services, the amount of assets, and is disclosed

## ■ **Privacy**

- ◆ We do not share the names of our clients without permission

## ■ **Availability**

Advisory accounts are not designed for excessively traded or inactive accounts and are not appropriate for all investors. Please carefully review the Wells Fargo Advisors' Advisory Disclosure Document for a full description of our services, including fees and expenses. Minimum account size for these programs range from \$10,000 - \$250,000.



## Case Study

**A physician and his wife, now in their 80's**, transferred their investments to us almost 30 years ago. Previously, they had a single manager making all of their investment decisions for all asset classes and styles (bonds and stocks, both domestic and international). We helped them select **several managers, each with expertise in a specific class and style** (municipal bonds, large company growth stocks, mid-size growth stocks, value-oriented stocks, etc.) Over the years they added to their investments and added additional third-party money managers as well. We have overseen their portfolios during these years, reporting quarterly, making suggestions and changes in the managers as needed.

In addition to their personal investments, we provide consulting services for their family partnerships. Recently the adult children have become more involved with management of the investments as age and illness have required their help. **As times and situations change, so must the investments and our services.** We have assisted in their wealth transfers and strategies for the future.

This case study is hypothetical in nature and is provided for informational purposes only regarding the services we are able to offer. Please note that actual services provided may vary since each client situation is unique.

## Case Study

A few years ago, a **successful business man and his wife** asked us to assist them **consolidate their investments and plan for their future retirement**. We conducted a comprehensive review of their financial situation, which included all of their varied investments (business ownership, real estate, municipal bonds, stocks, and mutual funds). We also included their investments in their business' 401K Plan; a plan for which we provide consulting services.

We used a **goal-focused process to develop an investment strategy**. This process was designed to analyze the delicate balance needed to move toward their goals, without undue compromise to their current lifestyle or unnecessary investment risk. Multiple possible outcomes were reviewed to help evaluate the likelihood of achieving their goals. We also explored the impact of adjusting their goals to include desired as well as required items.

An output of the process was a **target asset allocation**, used to determine how their existing investments fit in the new strategy and identify where adjustments were required. The clients hired style specific, third-party managers based on our suggestions to complement their existing investments. The combination of investments was designed to seek the diversification and balance needed.

**Their strategy is continuously updated** to address changing goals, health and market performance, or some currently unknown events.

This case study is hypothetical in nature and is provided for informational purposes only regarding the services we are able to offer. Please note that actual services provided may vary since each client situation is unique. Asset allocation cannot eliminate the risk of fluctuating prices and uncertain returns.

## **Disclaimers and Affiliations**

- **No securities are held in custody by The Regan Group, Inc.**
  - ◆ **Most, but not all, of our client's securities are held in custody by Wells Fargo Clearing Services LLC, which is an affiliate of WFAFN.**
  - ◆ **Wells Fargo Clearing Services LLC is a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.**
- **The Regan Group, Inc. and Wells Fargo Advisors Financial Network does not provide legal or tax advice.**
- **WFAFN Provides regulatory compliance oversight and audits The Regan Group, Inc.**

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