FINTRX

INDUSTRY SPOTLIGHT

Women-Led Independent RIAs

Exploring the Powerful Female Leaders Driving Growth for Highly-Successful Independent Investment Advisory Firms Across the United States

2024

FINTRX

Contents

Introduction

The financial services industry has long been a cornerstone of the global economy, facilitating wealth creation, preservation, and management for individuals, families, and institutions. Among the various players in this vast ecosystem, registered investment advisors (RIAs) have emerged as pivotal figures, offering personalized financial advice, comprehensive portfolio management, and fiduciary responsibility to their clients. Independent RIAs, in particular, have gained prominence due to their client-centric approach and autonomy from larger financial institutions, allowing them to provide unbiased and tailored financial solutions.

Despite the critical role RIAs play in the financial landscape, the industry has historically been dominated by male professionals. This gender disparity is evident across various levels of financial services, from entry-level positions to executive roles. The underrepresentation of women in finance, particularly in leadership and entrepreneurial positions, is a persistent issue that reflects broader societal and structural barriers.

However, the narrative is gradually shifting as more women establish themselves as leaders within the industry, including founding and managing independent RIA firms. These trailblazing women are not only breaking the glass ceiling but are also setting new standards of excellence and innovation in financial advisory services. Their presence is pivotal in fostering diversity of thought, which is essential for addressing the varied needs of a diverse client base.

We are pleased to highlight independent registered investment advisory firms across the United States that are managed and led by women. Despite the historically male-dominated reputation of the greater financial services industry, these women-led firms continue to achieve remarkable success with their respective firms. By leveraging FINTRX-proprietary data, we aim to showcase the accomplishments of these female trailblazers and highlight the impact of their leadership in the RIA space.

Introduction CONT.

The women highlighted in this report represent firms across ten different states and an estimated total of $10.5B+ in assets under management (AUM). Of the fifteen women featured, twelve of them founded or co-founded their respective firm, and thirteen currently serve as their firm's Chief Executive Officer. Each of these RIAs have been hand-selected for their clear representation of female inclusion and leadership within the industry as well as significant (20%+) year over year AUM growth.

Sharon Allen

Sterling Wealth Management

Co-Founder & CEO

Northern Illinois University   University of Illinois, Urbana-Champaign

Sharon Allen is the CEO and co-founder of Sterling Wealth Management, a fee-only firm established in 2004 that specializes in managing wealth for successful families and individuals. As a personal CFO for her clients, she provides tailored financial plans for significant life transitions and emphasizes elevating discussions on true wealth, client service, and technical excellence in financial services. Sharon teaches in the CFP program at the University of Illinois, is involved in the Family Wealth Advisors Council and co-authored a white paper addressing the challenges and solutions for ‘sandwich generation’ women. Deeply committed to her community, she serves as Board Chair for the University of Illinois Community Credit Union and participates in various non-profit activities. Sharon is also actively involved in her children's activities and local school community, and she dedicates time to supporting and mentoring entrepreneurs.

View FINTRX Profile

About Sterling Wealth Management

Location	Year Founded	Estimated AUM	Total Accounts
Champaign, IL	2004	$360.6M	203

Sterling Wealth Management is a registered investment advisor managing $360.6 million in assets primarily on a discretionary basis, with a focus on high net worth individuals, individuals, and charitable organizations. The firm, which also handles foreign assets, has seen a significant 27% growth in assets under management over the past year, totaling an increase of $77.6 million, and their client base has increasingly shifted towards high net worth individuals, growing from 81% to 86% of total AUM. The firm's investments span a variety of asset classes including exchange-traded equity securities, government and corporate bonds, and cash equivalents. Additionally, Sterling invests in alternative investments like real estate and corporate debt, and utilizes mutual funds. Asset custody is handled by Charles Schwab and TD Ameritrade.

Sherri Daniels

SlateStone Wealth

Founder & Co-CEO

Texas State University

Sherri Daniels is a seasoned executive in the financial services industry with over 25 years of experience in business development, sales, and marketing. As Co-CEO of SlateStone Wealth, Sherri manages day-to-day operations, investment management, wealth advisory, client engagement, and strategic initiatives. Her leadership is characterized by extensive executive and operational expertise, bringing valuable industry knowledge to her firm. Before founding SlateStone Wealth, Sherri was instrumental at Boston Private Wealth Management, overseeing the acquisition and integration of Banyan Partners LLC to form a multi-billion dollar wealth management firm with nationwide reach. Outside of work, Sherri enjoys long walks with her dogs, reading, traveling, and gourmet cooking. She is also involved in various charitable efforts, including Easter Seals and animal rescue organizations.

View FINTRX Profile

About SlateStone Wealth

Location	Year Founded	Estimated AUM	Total Accounts
Jupiter, FL	2017	$1.4B	1,426

SlateStone Wealth is a registered investment advisory firm offering financial planning, portfolio management, and selection of other advisers. The firm also maintains affiliations with accountants and insurance companies to enhance the comprehensive financial services it provides to clients. SlateStone manages a significant portfolio with $1.34 billion in discretionary assets and $29.9 million in non-discretionary assets, and has seen a 44% increase in total AUM over the past year. Investment strategies at SlateStone include a mix of private equity, venture capital, hedge funds, private placements, real estate, REITs, and separately managed accounts, as well as annuities and mutual funds. SlateStone manages about $209.3 million in foreign assets and holds its domestic and foreign assets with multiple custodians including Charles Schwab, National Financial Services, and RBC Capital Markets.

FINTRX

Dorie Fain

&Wealth Partners

Founder & CEO

The Ohio State University

Dorie Fain is the founder and CEO of &Wealth, a boutique financial advisory firm tailored to assist women in managing their finances through major life events. Dorie, a board-certified CFP, founded the firm in 2009 after a 12-year tenure at Smith Barney, where she was the youngest woman hired into their training program. Dissatisfied with the generic financial planning approaches, she aimed to provide a more personalized and comprehensive service through &Wealth, particularly for women facing complex financial situations. As CEO, Dorie leads her team in offering detailed financial planning, investment management, and risk management, emphasizing a simplified, client-paced approach to wealth management. Beyond her professional life, she dedicates time to volunteer work, serving as the Vice President of the Kennedy Krieger Women's Initiative Network and contributing to the Baltimore Women's Giving Circle and the CollegeBound Foundation.

View FINTRX Profile

About &Wealth Partners

Location	Year Founded	Estimated AUM	Total Accounts
Baltimore, MD	2009	$399.1M	256

&Wealth Partners is a Baltimore, MD-based registered investment advisor serving primarily high-net-worth individuals, with an additional office in New York, NY. The firm manages $230.8 million in discretionary assets and $168.2 million in non-discretionary assets, totaling nearly $400 million, up 20% from the previous year. &Wealth Partners operates with a small team of three employees, two of whom are directly involved in advisory roles, and custodies their assets with Charles Schwab. The firm offers financial planning and portfolio management and assists in external advisor selection. Investment strategies at &Wealth Partners encompass a diverse range of options including hedge funds, real estate, corporate debt, annuities and mutual funds. The firm's mission is centered on assisting their clients, especially women, in navigating complex and pivotal life changes such as divorce, setting them up for future financial stability and success.

FINTRX

Stacy Francis

Francis Financial

President & CEO

Middlebury College

New York University

Stacy Francis is the President and CEO of Francis Financial, a fee-only wealth management and financial planning firm specializing in assisting individuals, couples, and women in transition, such as those undergoing divorce or widowhood. Stacy has over 20 years of experience in the financial industry and holds CFP, CES, and Certified Divorce Financial Analyst (CDFA) designations. Beyond her role at Francis Financial, Stacy is dedicated to empowering women financially and founded Savvy Ladies, a nonprofit providing free financial counseling, workshops, and retreats to women. She is a nationally recognized financial expert who has been featured in several major media outlets including Forbes, The Wall Street Journal, and CNBC's Digital Financial Advisor Council. Stacy's commitment extends to philanthropy, as a portion of her firm’s proceeds supports Savvy Ladies, helping over 20,000 women gain financial independence.

View FINTRX Profile

About Francis Financial

Location	Year Founded	Estimated AUM	Total Accounts
New York, NY	2003	$509.7M	884

Francis Financial, based in New York, specializes in aiding women through significant financial transitions, such as divorce or the loss of a spouse, focusing on long-term financial stability. The firm manages $509.7 million in assets under management--marking a 22% increase over the past year--and primarily serves high-net-worth individuals, who now represent 97% of the total AUM. Francis Financial offers a variety of services including financial planning, portfolio management, educational seminars, and the selection of other advisors, alongside managing both domestic and foreign assets. The firm utilizes multiple custodians including Charles Schwab, Pershing, and Shareholders Service Group. Investment strategies include a mix of private placements, corporate debt, funds of funds, separately managed accounts, and mutual funds.

FINTRX

Stephanie Hughes

Wiss Private Client Advisors

Chief Executive Officer

AUP The American University of Paris

Stephanie Hughes is the Chief Executive Officer of Wiss Private Client Advisors, based in Florham Park, NJ. With over a decade in the finance space, Stephanie has refined a comprehensive wealth management approach, drawing on her deep knowledge of capital markets and personal wealth transition. As CEO of Wiss Private Client Advisors, she delivers full-spectrum financial services to families, entrepreneurs, and executives, taking a concierge approach to address every aspect of her clients' financial lives. Stephanie aims to serve as both CFO and CIO, personally tailoring her services to meet the unique needs of her clients as if they were her own family. Stephanie is also actively involved in professional and alumni organizations, including the Women's President Organization's NY Chapter, the Association for Corporate Growth's Women's network, and The President's Alumni Advisory Council of The American University in Paris, where she contributes to strategic planning.

View FINTRX Profile

About Wiss Private Client Advisors

Location	Year Founded	Estimated AUM	Total Accounts
Florham Park, NJ	2017	$539.7M	486

Wiss Private Client Advisors is a registered investment advisory firm managing approximately $539.7 million in assets and primarily catering to high-net-worth individuals, offering services like financial planning, portfolio management, and external manager selection. Over the past year, the firm has experienced substantial growth, increasing their AUM by approximately 119%, adding $292.9 million in assets. The firm is part of a larger network, allowing it to offer integrated financial services encompassing accounting and insurance. Investment strategies at Wiss include private equity, hedge funds, and private placements, along with separately managed accounts focusing on exchange-traded equities, state and local bonds, and other securities. The firm also incorporates annuities and mutual funds into its investment portfolios and utilizes Fidelity Brokerage Services as its sole custodian.

Jennifer Kenning

Align Impact

Co-Founder & CEO

Southern Methodist University

Jennifer Kenning is a leading figure in impact investing and the CEO and co-founder of Align Impact, an independent fiduciary and impact specialist. She began her career in 2002 at Aspiriant as a wealth manager, later serving on its Board of Directors and as a partner. In 2014, she founded Align Impact to help clients incorporate impact strategies into their wealth management. Jennifer is a prominent advocate for impact investing, frequently sharing her knowledge as a speaker, moderator and guest lecturer. Her industry contributions have earned her notable recognition, including being named on the "40 under 40" list by Investment News, selected for Private Asset Management's "50 Most Influential Women in Private Wealth" and recognized as an Investment News Icon and Innovator. Additionally, Jennifer is committed to community service, volunteering with organizations like the Downtown Women's Center and the American Lung Association.

View FINTRX Profile

About Align Impact

Location	Year Founded	Estimated AUM	Total Accounts
Santa Monica, CA	2015	$728.4M	47

Align Impact is an independent investment advisor based in Santa Monica, CA. Founded and predominantly staffed by women, the firm specializes in co-creating and implementing impact investing strategies for individuals, families, foundations, institutions, and advisors. They provide a range of services, including financial planning and portfolio management for individuals, small businesses and pooled investment vehicles as well as educational seminars and workshops. Align Impact also advises private funds and utilizes multiple custodians, including Charles Schwab, Fidelity, and TD Ameritrade. The firm's impact-focused investment strategies include a variety of alternatives such as private equity, venture capital, private placements, real estate, and private debt, alongside annuities and mutual funds. All assets are managed on a discretionary basis, and the firm's AUM has grown by an impressive 42% over the past year.

Judith Lu

Blue Zone Wealth Advisors

Co-Founder & CEO

University of California, Los Angeles

Thunderbird School of Global Management

Judith Lu is the co-founder and CEO of Blue Zone Wealth Advisors, an investment advisory firm specializing in portfolio construction, financial planning, and wealth management for high net worth clients and non-profits. With over 20 years of experience at firms such as UBS, City National Bank, and Miracle Mile Advisors, Judith is recognized for her high-touch, family office services. Judith has received multiple accolades for her work, including being named a "Best-In-State Wealth Advisor" by Forbes from 2018 to 2020 and a "Forbes Top Women Wealth Advisor" for four consecutive years starting in 2017. In 2019, InvestmentNews recognized her as one of their "Women To Watch." She holds a dual degree from UCLA in Business Administration and World Arts and Cultures, and a Global MBA from Thunderbird School of Global Management. Judith also serves on the Advisory Board of the College Access Partnership, which supports low-income, college-bound students.

View FINTRX Profile

About Blue Zone Wealth Advisors

Location	Year Founded	Estimated AUM	Total Accounts
Los Angeles, CA	2019	$462.3M	414

Blue Zone Wealth Advisors is a registered investment advisor based in Los Angeles, CA. The firm offers a comprehensive range of services including financial planning, portfolio management for individuals and small businesses, pension consulting, and external manager selection. Over the past year, Blue Zone has grown its total AUM by roughly 27%, primarily driven by high-net-worth clients which account for 92% of their assets. In terms of alternative investments, the firm's strategy includes private equity, venture capital, hedge funds, private placements, real estate, REITs and collateralized debt, as well as separately managed accounts and other investment vehicles like annuities and mutual funds. Blue Zone Wealth Advisors takes a holistic approach to wealth management, emphasizing its core values of perspective and purpose, sustainability, well-being and connectivity in its approach to serving its clients.

Monica McCarthy

Seascape Capital Management

CEO & Managing Member

University of Virginia

University of South Carolina

Monica McCarthy is the CEO and managing member of Seascape Capital Management in Portsmouth, NH. With over 30 years of experience, Monica specializes in retirement and tax planning, as well as divorce financial analysis for high net worth individuals. She holds numerous certifications including CFA, CPWA, CDFA, and CEPA. Before joining Seascape in 2005, Monica founded and led two Boston-based wealth management firms. As CEO of Seascape, she leverages her expertise to create personalized financial strategies for clients and collaborates with attorneys to manage the financial and tax aspects of divorce settlements. Outside of work, Monica is involved in various charitable organizations like NHSPCA, Families First, and Cross Roads House. She is also an avid cyclist and has been participating in the Pan-Mass Challenge since 2007, raising over $52,000 for cancer research and care.

View FINTRX Profile

About Seascape Capital Management

Location	Year Founded	Estimated AUM	Total Accounts
Portsmouth, NH	2003	$353.1M	685

Seascape Capital Management is a boutique wealth advisory firm based in New Hampshire that caters primarily to high-net-worth individuals and families, offering services including financial planning, portfolio management and external manager selection. Additionally, the firm coordinates with affiliated entities, providing expert legal and tax planning services in order to offer a more comprehensive approach to wealth management. Seascape currently manages $353.1 million in total assets, up 25% over the past year, and utilizes Charles Schwab and Fidelity as their asset custodians. The firm's investment strategy includes a mix of traditional assets and alternative investments such as real estate, commodities, and oil & gas as well as various separately managed accounts and mutual funds. Seascape prioritizes building close relationships with their clients for a more effective holistic management strategy.

Laurie Nardone

Shira Ridge Wealth Management

Founder & Managing Principal

Stetson University

Laurie Nardone is the founder and managing principal of Shira Ridge Wealth Management in Larkspur, CA, where she focuses on creating personalized and strategic financial plans for clients, aiming to build their confidence and success financially. Laurie brings over 35 years of experience in the financial services industry, is a Certified Financial Planner and is an active member of the Financial Planning Association (FPA). Before founding Shira Ridge in 2000, Laurie worked with various investment companies, including Genworth Financial Wealth Management, Loring Ward, PLM Securities, and Phoenix American, gaining extensive experience in investment management and financial planning. Beyond her professional life, Laurie is a devoted fan of the San Francisco Giants and Bruce Springsteen, enjoys sports and hiking, and actively participates in community activities, including her role in the League of Women Voters Marin County.

View FINTRX Profile

About Shira Ridge Wealth Advisors

Location	Year Founded	Estimated AUM	Total Accounts
Larkspur, CA	2000	$272.4M	774

Named for the trail that founder Laurie Nardone trekked to summit Mount Kilimanjaro, Shira Ridge Wealth Management is an investment advisory firm located in Larkspur, CA. The firm offers financial planning and portfolio management services and primarily caters to high net worth individuals and pension and profit sharing plans. Shira Ridge has grown its assets by more than 24% over the past year, currently managing $272.4 million in AUM for over 260 clients. In managing client portfolios, the firm incorporates a variety of investment vehicles including real estate as an alternative investment option as well as mutual funds and various separately managed account asset allocations to help maintain a diversified strategy. Shira Ridge uses the principals learned on Nardone's Kilimanjaro journey to help guide its clients on their own personal financial paths.

Deirdre Prescott

Sandy Cove Advisors

Founder, President & Chief Wealth Strategist

Providence College   Bentley University

Deirdre Prescott, founder and president of Sandy Cove Advisors, is a distinguished financial professional with over 25 years of experience in wealth management and family office services. Deirdre is known for her integrated and consultative approach, providing customized wealth management solutions to individuals and families, often serving as a personal CFO for clients. Her expertise spans a wide range of financial services, including wealth advisory, financial planning, family office services, estate organization, and divorce planning. Deirdre's career includes senior positions at Silver Bridge Advisors, Lehman Brothers, and BNY Mellon, where she specialized in multi-generational family planning and new business development. Outside of her professional endeavors, Deirdre is actively involved in community service, holding board positions with NVNA and Hospice and the Norwell VNA, and is a past president of the Boston Estate Planning Council.

View FINTRX Profile

About Sandy Cove Advisors

Location	Year Founded	Estimated AUM	Total Accounts
Hingham, MA	2010	$486.4M	893

Sandy Cove Advisors is a registered investment advisor headquartered in Hingham, MA that specializes in providing advisory services to high net worth individuals & families and pension & profit sharing plans. Their offerings include financial planning services, investment portfolio management, and external manager selection, as well as comprehensive family office solutions and divorce planning services. Managing a total of $486.4 million in assets, Sandy Cove Advisors has experienced an impressive 34% increase in assets under management over the past year. The firm utilizes a diverse range of alternative investments, including private equity, hedge funds, real estate, corporate debt, commodities, and oil & gas, alongside various SMA asset allocations and mutual funds. Sandy Cove Advisors utilizes Charles Schwab and Fidelity to custody its assets.

Dee Ann Remo

Heritage Wealth Advisors

Founder & CEO

West Virginia University

Delores "Dee Ann" Remo is a financial planning expert specializing in complex financial, estate, and tax planning strategies. She holds CPA & CFP certifications and brings over 15 years of industry experience to her role as CEO at Heritage. Her career began at KPMG, which ignited her passion for assisting clients with complex financial issues. In 2005, she established Heritage Wealth Advisors, aiming to offer innovative and collaborative financial solutions. Her approach to wealth management emphasizes unique, thoughtful strategies that not only address immediate needs but also secure long-term benefits for her clients and their future generations. Dee Ann is deeply involved in the Richmond community, having served on the boards of multiple significant local organizations. She is also an active member and former president of the Richmond Estate to Planning Council.

View FINTRX Profile

About Heritage Wealth Advisors

Location	Year Founded	Estimated AUM	Total Accounts
Richmond, VA	2003	$4.0B	1,493

Heritage Wealth Advisors, based in Richmond, VA is an investment advisory firm that currently manages approximately $4.0 billion in total assets, a number that has grown by a significant 30% over the past year. The firm offers a range of services including financial planning, portfolio management, pension consulting and external manager selection, and handles clients both domestically and internationally. Custodians for the firm's assets include Charles Schwab and National Financial Services. Heritage Wealth Advisors employs a diverse investment strategy that includes a strong focus on alternative investments like private equity and private placements. The firm also uses separately managed accounts for varied asset allocation as well as mutual funds to provide high-level returns for its clients.

Helen Semus

Semus Wealth Partners

Founder & CEO

Shanghai Jiao Tong University Virginia Commonwealth University University of Rochester

Helen Semus is the CEO and founder of Semus Wealth Partners, an investment advisory firm in Boca Raton, FL. Helen specializes in managing high-net-worth relationships, offering services like retirement planning, wealth transfer, trust and estate planning and business succession strategies. Helen brings over ten years of experience to her role at Semus Wealth Partners, having served as a financial advisor Ameriprise Financial Services and Edward Jones, and she holds CFP, APMA and AAMS certifications. Beyond her professional life, Helen is deeply involved in community service, having held positions such as Chairman of the Board for Safe Harbor of Chester County, Inc. and as a board member of the Chester County Women's Commission. She is also a member of the Greater West Chester Sunrise Rotary Club, underlining her commitment to community involvement and positive impact.

View FINTRX Profile

About Semus Wealth Partners

Location	Year Founded	Estimated AUM	Total Accounts
Boca Raton, FL	2019	$232.4M	920

Semus Wealth Partners is a registered investment advisor that offers comprehensive client-first wealth management services, specializing in retirement planning and investment advice. The firm manages roughly $223.6 million in discretionary assets and $8.9 million in non-discretionary assets, reflecting a 26% growth in total assets under management over the past year. The majority of the firm's capital (73%) comes from high net worth individuals, and Charles Schwab serves as the sole custodian for all managed assets. In terms of investment strategy, Semus Wealth Partners utilizes a variety of assets, including exchange-traded equities, government bonds, securities issued by investment or business development companies, and cash or cash equivalents. The firm also incorporates annuities and mutual funds into its clients' portfolios. Semus Wealth Partners strives to “bring simplicity to the complexities of life” with its comprehensive client services.

K. Esther Szabo

Gates Pass Advisors

Founder & CEO

University of Arizona

K. Esther Szabo is the founder & CEO of Gates Pass Advisors, where she specializes in managing investments and financial planning for successful professionals, particularly focusing on divorcing and widowed women, seniors, and couples planning for retirement. She is committed to assisting her clients through complex financial transitions and aims for their long-term financial success. Esther holds both CFP and CeFT certifications, and she boasts 15 years of industry experience, including positions at Charles Schwab, Allied Consulting Group and Stanford Investment Group as well as previous ownership of KK Wealth Advisors. Esther has also been actively involved in the Financial Planning Association, serving as its Past President. Outside of her professional life, Esther was part of the Golden Key National Honor Society and is passionate about empowering women and families financially.

View FINTRX Profile

About Gates Pass Advisors

Location	Year Founded	Estimated AUM	Total Accounts
Los Altos, CA	2015	$151.3M	243

Gates Pass Advisors is a fee-only investment advisory firm based in Los Altos, CA. Founded by K. Esther Szabo, the firm manages $151.3 million in assets--a notable 21% increase in total AUM over the past year. Gates Pass primarily serves high net worth individuals, offering financial planning, portfolio management, and selection of external advisors, and uses Charles Schwab and Sei Investments as its custodians. The firm's investment strategy includes a broad range of assets in separately managed accounts such as exchange-traded equities, government & agency bonds, and investment-grade corporate bonds, alongside cash or cash equivalents. Additionally, the firm incorporates annuities and mutual funds into its investment options for clients. Gates Pass emphasizes building trusting relationships with their clients, taking a holistic view on managing wealth, and 'financially guiding' their clients through challenging life transitions.

Lisa van Walleghem

MAXIMAI Investment Partners

Founder & CEO

Massachusetts Institute of Technology

Elizabeth (Lisa) Van Walleghem is the founder and CEO of MAXIMAI Investment Partners, a firm she formed in 2016 after over 24 years with Merrill Lynch. Lisa specializes in generational planning and global portfolio allocation, particularly focusing on core alternative investment strategies. Her illustrious career includes recognition in Merrill Lynch's Charles E. Merrill Circle of Excellence and earning the title of Private Wealth Specialist for Latin America. At MAXIMAI, Lisa leads a team dedicated to providing customized financial solutions to global clients, with a strong emphasis on securing family wealth across generations. Outside of her professional life, Lisa is passionate about community service, particularly through her 15-year involvement with The Centro Mater Foundation, which supports childcare and after-school programs for economically disadvantaged families.

View FINTRX Profile

About MAXIMAI Investment Partners

Location	Year Founded	Estimated AUM	Total Accounts
Coral Gables, FL	2016	$493.7M	991

MAXIMAI Investment Partners is an independent RIA in Coral Gables, FL focused on providing comprehensive wealth management services to global high-net-worth individuals with international financial interests. The firm manages approximately $493.7 million in total assets, reflecting an almost 22% growth over the past year, and the firm's assets are held with multiple custodians, including Citigroup and Fidelity. MAXIMAI offers a range of investment services including portfolio management and external manager selection, and their investment strategy incorporates a mix of traditional and alternative investments, such as private equity, hedge funds, real estate, corporate debt, mutual funds, and separately managed accounts. Deriving their name from the word ‘maximum’, the firm strives to provide top-tier, comprehensive service to their clients based on their core values of excellence, integrity and trust.

Brooklynn Willy

Texas Financial Advisory

President & CEO

Baylor University   St. Mary’s University

Brooklynn Willy is the president, CEO and founder of Texas Financial Advisory, based in San Antonio, TX. With over 15 years of experience, she offers holistic financial planning services focusing on income creation, tax strategies, wealth preservation and growth, healthcare planning, and estate conservation. Brooklynn founded Texas Financial Advisory in 2008, envisioning a boutique advisory service tailored to savers’ needs. Her expertise lies in retirement preservation and income planning, where she helps clients reduce taxes, secure lifetime income, and leave legacies, and she is well-known for her conservative investment approach. An active community member, Brooklynn hosts the "Texas Financial Advisory Show" on KTSA 550 AM and WOAI 1200 AM, providing retirement planning insights. She also co-founded "S.H.M.I.L.Y.: Gifts From Above," a non-profit aiding college students who have lost a parent.

View FINTRX Profile

About Texas Financial Advisory

Location	Year Founded	Estimated AUM	Total Accounts
San Antonio, TX	2019	$117.9M	633

Texas Financial Advisory is a registered investment advisor with multiple offices throughout Texas including in San Antonio, New Braunfels, Boerne, and Portland. The firm offers a variety of services such as financial planning, portfolio management, advisor selection and educational seminars, and leverages industry affiliations to provide insurance and tax planning services as well. Currently, Texas Financial Advisory manages approximately $117.9 million in assets on a non-discretionary basis, marking a 60% increase from the previous year, and custodies its assets with Charles Schwab and Fidelity. Investment strategies at Texas Financial Advisory include a mix of traditional and alternative investments such as hedge funds, real estate, commodities, and oil & gas. The firm also integrates a variety of separately managed account allocations and mutual funds into their investment approach.

Conclusion

We are honored to provide the data contained in this report and to highlight these extraordinary women and their achievements in propelling the growth of their respective firms as well as the greater independent RIA ecosystem. As the investment advisor landscape continues to evolve with rapidly-changing markets and sentiments within the greater financial services sphere, we feel confident that women such as these will continue to drive success for their firms, making a substantial impact as strong and influential decision-makers and paving the way for increased female representation within the industry.

About FINTRX

FINTRX is the leading private wealth data intelligence solution, providing comprehensive data on over 4,000 family offices, 40,000 RIAs & broker dealers, 20,000+ private wealth groups, and 850,000 associated contacts & key decision-makers. The FINTRX platform is purpose-built to help industry professionals better access, map and sell into the global private wealth ecosystem.

Our intelligent platform combines data, analytics and intuitive software to help clients easily identify investment opportunities, connect with investors & sales prospects and stay informed on industry news and developments. FINTRX is designed to be user-friendly, with a variety of features including tailored list building, custom news alerts and notifications, real-time updates and fully customizable reporting options. Additionally, AI-powered features such as natural language search capabilities & advanced relationship intelligence empower users to instantly unlock their network and uncover key business opportunities across the global family office & investment advisor space.

Discover how FINTRX helps thousands of industry professionals leverage the most accurate and relevant family office & investment advisor data to prospect more efficiently, book more meetings and close more deals.

SCHEDULE A DEMO