

# Keith A. Mericka

## Private Wealth Management

### The ESOP Group

#### UBS Financial Services Inc.

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### The focus of our relationship

For more than 30 years, The ESOP Group at UBS has specialized in §1042 rollover and wealth management. Led by Keith Mericka and Leslie Lauer, the team has worked on over 600 ESOP transactions. The team's approach incorporates financial planning and asset management, which has helped clients navigate virtually every market condition—from recessions to expansions and a variety of tax environments. The combination of experience and expertise has allowed the group to cultivate long-standing relationships with their clients, guiding them on the successful transition of their private business, as well as advising them on estate planning and wealth management strategies to achieve their long-term goals.



### Keith A. Mericka

Managing Director—Wealth Management  
Private Wealth Advisor  
Senior Portfolio Manager

Keith joined UBS in 1987 after starting his career with Morgan Stanley in 1983. Soon after joining UBS, Keith co-founded UBS's national Employee Stock Ownership Plan (ESOP) practice. Today, he is a member of the UBS

Pinnacle Council and the UBS Global Circle of Excellence—UBS's highest recognitions for productivity and leadership. He also serves on the Board of Directors for the UBS Political Action Committee.

Keith is a long-standing member of The ESOP Association, where he serves on the Finance Committee. He is also a member of the National Center for Employee Ownership. For many years he has been an active and frequent speaker on a variety of ESOP-related subjects and is universally regarded as a thought leader and the foremost expert of ESOP Section 1042 tax-deferred sales and ESOP cash and investment management.

His personal interests include fly fishing, golf and traveling. Keith's charitable interests include Wounded Warrior Project, No Greater Sacrifice, The Employee Ownership Foundation and his church, North Point Ministries.

### Industry achievements

- *Barron's* Top 1,200 Financial Advisors, 2014 – 2018
- *Financial Times* Top 400 Financial Advisors, 2013 – 2016, 2018
- *Barron's* Top 1,000 Financial Advisors, 2009 – 2013
- *WealthManagement's* Top 100 Wirehouse Advisors 2011, 2013 – 2016

### Education

- Securities licenses: Series 7, 31, 63 and 65
- Insurance licenses: life, health, variable annuity, variable life and long-term care
- B.B.A., risk management and insurance, Georgia State University