

Morgan Stanley

# The Peachtree Group at Morgan Stanley

## OUR STORY

Our clients expect excellence. After all, they've worked hard to achieve it themselves.

Whether you're an executive with complicated equity compensation and tax liabilities, a family seeking to carefully transfer wealth or a corporation looking to manage your retirement plan—we provide straightforward guidance tailored to you.



"As one of the largest wealth management teams in the Southeast, we work with corporate executives and their families to help grow and preserve what they've spent a lifetime working toward."

Headquartered in Atlanta, Georgia, The Peachtree Group has distinguished itself for over 20 years by providing a rare breadth of talent and a robust range of skills among our 20-plus member team. As of August 2024, we have been entrusted with over \$13 billion in client balances. While our size and scale allow us to provide you with industry-leading resources, our compassion and coordinated guidance provide you with a highly personalized, boutique experience to help you and your family thrive.

## WE HAVE EXTENSIVE EXPERIENCE ADVISING CLIENTS ON:

Executive decisions such as managing stock options, equity and tax-mitigation strategies

Corporate retirement plans, managing client risk, costs and employee education

Philanthropic endeavors for foundations, endowments and individuals

Family transitions such as births, weddings, deaths or divorces



## THE PEACHTREE GROUP AT MORGAN STANLEY

3280 Peachtree Rd NE,  
Suite 1900,  
Atlanta, GA 30305

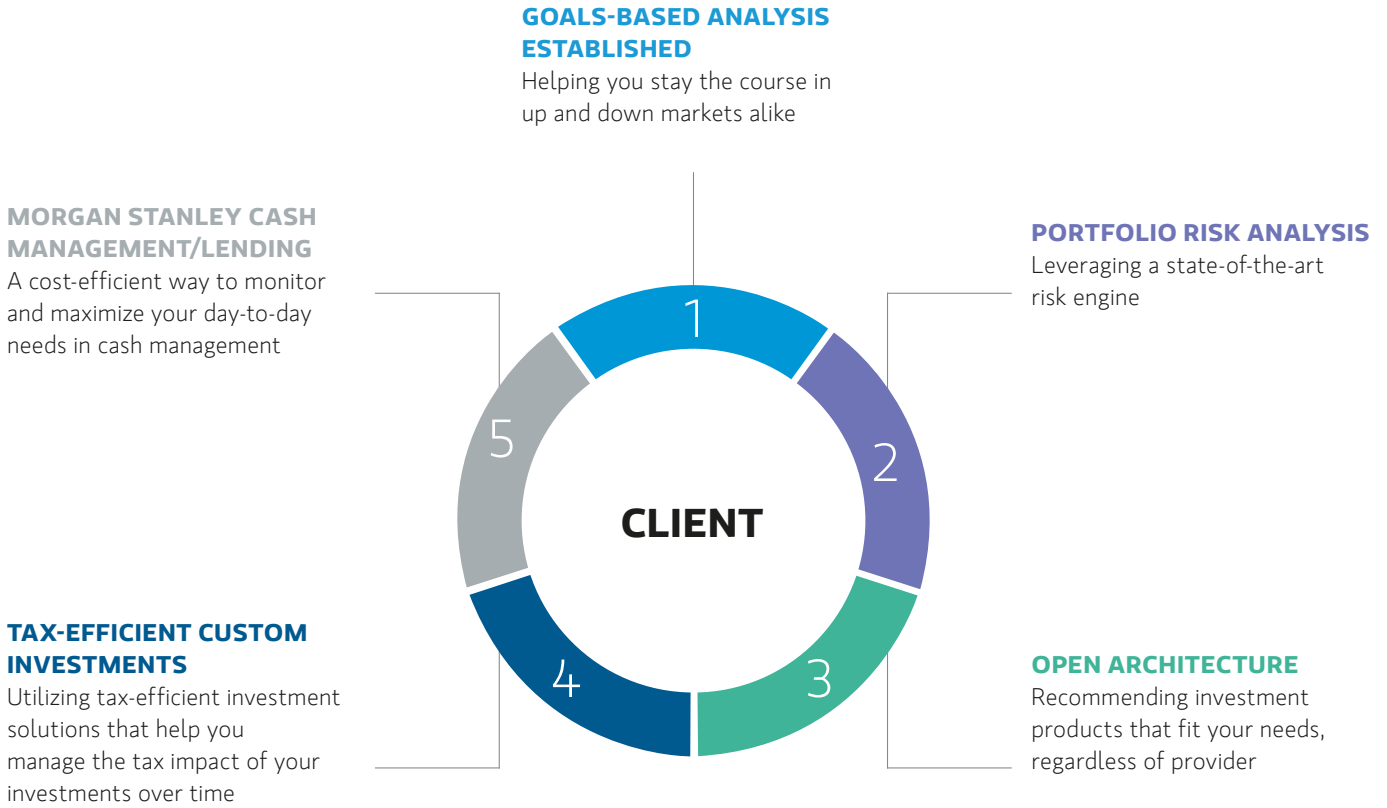
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<https://advisor.morganstanley.com/the-peachtree-group>



"We are honored to announce that, through our continued dedication and commitment to our clients, our team was recognized by Forbes as one of America's 2023 Top 100 Wealth Management Teams—High Net Worth."

## Peachtree Group Investment Values



## Services Include



Wealth Management



Stock Plan Services



Planning for Education Funding



Retirement Planning



Lending Products



Fixed Income



Executive Financial Services



Long-Term Care Insurance



Municipal Bonds

## Working With You

- What keeps you up at night?
- How do you envision life when you retire?
- What kind of legacy do you hope to leave your heirs?

In order to create a sound financial strategy, we need a deep understanding of you and your goals. We want to know about the future you envision and the past that brought you here.

## We Believe

### **WE BELIEVE YOUR FINANCIAL FUTURE STARTS NOW**

Our clients are very talented, very driven and very busy. They know what they want. Our job is to help them get it while incorporating checks and balances to help their long-term financial success.

### **WE BELIEVE DIVERSIFICATION IS CRITICAL TO REDUCING RISK**

Although everyone should know this, we see this rule broken every day. Wealth can be created through concentration, but risk can potentially be mitigated through diversification.

### **WE BELIEVE IN LOOKING FOR BLIND SPOTS**

When it comes to your executive transactions, we pressure-test everything to help ensure they are appropriate for your goals. From employee stock ownership plans to cashless stock option exercises, 10b5-1 sales plans and more.

### **WE BELIEVE IN WORKING WITH YOUR OTHER ADVISORS**

That includes attorneys and CPAs. This way, your financial strategy is not only coordinated but also comprehensive.

### **WE BELIEVE WEALTH IS ABOUT MORE THAN JUST MONEY**

Your legacy plan should be based on what you care about most. It should address both the goals you hope to achieve and the risk of outliving your assets. It should consider risks beyond market volatility, like inflation.



Forbes America's Top Wealth Management Teams Source: Forbes.com (Awarded Nov 2023) Data compiled by SHOOK Research LLC based on time period 3/31/22-3/31/23. <https://www.morganstanley.com/disclosures/awards-disclosure.html>.

The Peachtree Group at Morgan Stanley led by C. Andrew Harbour - Managing Director, Institutional Consulting Director, Corporate Retirement Director, Stock Plan Director and a Portfolio Management Director.

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Clients executing a 10b5-1 Plan should keep the following important considerations in mind: (1) 10b5-1 Plans should be approved by the compliance officer or general counsel of the company; (2) a 10b5-1 Plan may require a cessation of trading activities at times when lockups may be necessary to the company (e.g., secondary offerings, pooling transactions, etc.); (3) a 10b5-1 Plan does not generally alter the regulatory requirements (e.g., Rule 144, Section 16, Section 13D) that may otherwise be applicable; (4) 10b5-1

Plans that are modified or terminated early may weaken or lose the benefit of the affirmative defense; (5) public disclosure of 10b5-1 Plans (e.g., via press release) may be appropriate for some insiders; (6) most companies will permit 10b5-1 Plans to be implemented only during open-window periods; and (7) Morgan Stanley Smith Barney, as well as some issuers, imposes a mandatory waiting period between the execution of the 10b5-1 Plan and the first sale pursuant to the 10b5-1 Plan.

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Diversification does not guarantee a profit or protect against loss in a declining financial market.

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