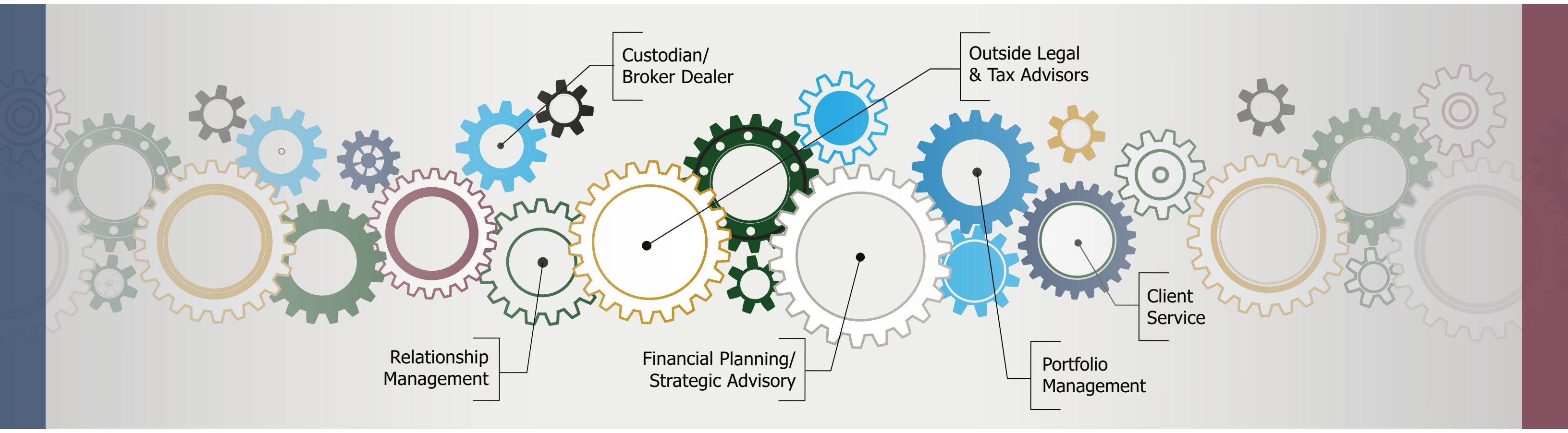
SUMMER | 2023

DVI
DAVID VAUGHAN INVESTMENTS

InnerView

A Look Inside **DVI**



All Part of the Plan

The role of a Relationship Manager (RM) at DVI is critical. Although the RM represents just one element of the ensemble team that is assigned to a client relationship, their role as relationship quarterback is of great importance to the overall success of the client experience. Each client relationship presents inherently different circumstances, but the RM's overriding goal is to provide the appropriate resources to address and solve the client's needs.

In some instances, a client may need a Portfolio Manager (PM) to design a diversification strategy for a concentrated holding of a particular common stock. In others, a client could benefit from the introduction of a financial planning professional into the relationship so they can begin mapping out a post-retirement cashflow plan. And, at times, external advisors—a CPA or an attorney, for example—may be brought on board to collaborate on estate or income tax planning issues.

Because they practice the art of listening and asking thoughtful questions, RMs understand the nuances of each client's unique set of circumstances that require consideration. They believe that matching their clients with the right talent and expertise leads to impactful solutions and creates peace of mind for clients despite all the complexity in the modern world of investing.

The Next Generation: Building out the Relationship Management Team

Beginning six years ago, DVI became much more intentional about creating career development plans for all Associates. This process included:

(1) Developing detailed competency matrices for each functional role within the firm; and

(2) Evaluating the fundamental capabilities for each role versus the skills exhibited by our professional staff.

An example outcome from this comprehensive process was DVI's decision to require a Certified Financial Planning (CFP®) designation for all Relationship Managers (RM). The CFP® designation ensures an RM's mastery of essential industry knowledge and skills, aligning with DVI's commitment to our clients' best interests. An RM's progression of responsibilities at DVI could begin in the role of an Assistant Relationship Manager (ARM) and evolve over time as they take on greater responsibilities, even eventually assuming a senior leadership position.

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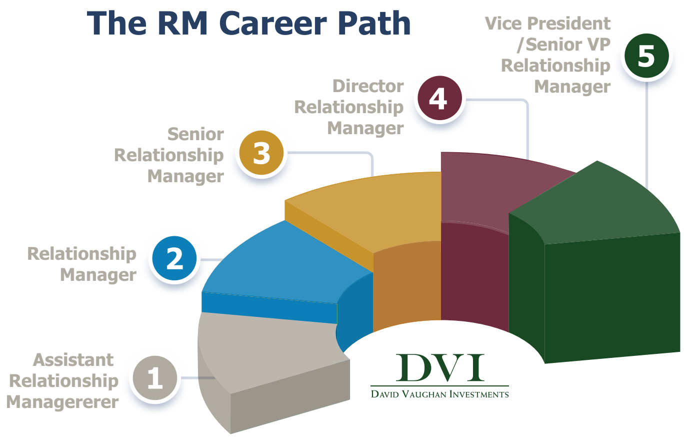
The RM Career Path



As we proactively plan for several of our senior partners to step down in the coming years, we will continue to emphasize the importance of skills development, to actively mentor, and to intentionally delegate more responsibilities to our next generation Relationship Managers. A smooth and thoughtful transition for our long-standing client relationships is our top priority, and we remain unwaveringly dedicated to our clients' needs.

Will Williams
Chairman, President & CEO

www.dviinc.com/join-team

We continue to build out our team of Relationship Managers. Our current staff of 41 includes 10 Associates who serve a primary role as part of our Relationship Management solution. We are always on the lookout for talented investment professionals to join the DVI team in Central Florida or Central Illinois.

Will Williams
President and CEO

Jeff Huizenga, CFP®, ChFC, MSFS
Director of Wealth Strategies

Brian Christensen, CFA
Senior Vice President and Chief Investment Officer

Maggie Bilby, CFP®
Relationship Manager

Pat Smarjesse, CEBS
Senior Vice President

Mike Flaherty, CFP, ChFC
Relationship Manager

Deanna Baele, CFP®
Relationship Manager

Zack Morgenstern, CFP®
Assistant Relationship Manager

Stephanie Ricketts, CFP®
Director of Client Services & Senior Relationship Manager

Michael Armistead, CFP®, CWS
Relationship Manager

David Vaughan Investments, LLC | Peoria, IL | Winter Park, FL | www.dviinc.com