

Wealth Management now and for Generations to come.

SERVING CLIENTS SINCE 1989

ABOUT KCM

Kornitzer Capital Management, Inc. (KCM) is a privately-held, employee-owned financial management firm providing customized investment strategies for long-term growth. We provide client-focused, personalized money management for private clients through Kornitzer Private Client Services group, and pension, corporate and foundation separate account management through our Institutional Services group.

Success is sweet – in business and in life. Managing the financial rewards of that success can be challenging and burdensome. KCM allows you to outsource this responsibility to a trusted advisor that has worked with clients in similar life stages since 1989.



THE SKILLS TO MANAGE

At KCM, we have spent years honing our financial management process. We have built a team of dedicated professionals, with most holding the Chartered Financial Analyst (CFA) designation, who are committed to helping you identify and achieve your financial goals.

Our experience is broad and deep. We have investment experts in every market sector, specialized research analysts, and a dedicated trading staff. We have a team of client service professionals who have a broad base of skills and are highly accessible. All are committed to long-term client success and personalized service.

THE KCM ADVANTAGE

- Experienced professionals who understand your goals and how to achieve them
- Exceptional service with attention to detail
- Long-term performance focus using diverse, customized investments and funds
- Tax-efficient portfolio management
- Independent, knowledgeable investing not bound by indexes
- Shared commitment to results our assets are invested along with yours.

OUR APPROACH

"Time Tested Investment Process" - Our process begins and ends with you.

You are assigned a dedicated relationship manager and portfolio manager to work as a team on your financial goals. We help you to define your unique long-term financial goals and expectations, resulting in an investment policy statement customized for you.

CONFIDENTIALITY

Your privacy is paramount to KCM. We take great care to safeguard the privacy of our clients and the security of their assets. We have confidentiality agreements with employees. We deploy secure computer network and encryption methods for personal data, and we have a disaster recovery plan, including offsite backup of records. Finally, we have strict policies on the disposal of information.

PERFORMANCE & RESULTS

We take pride in our longterm track record. We work with our clients to set realistic investment objectives, and then endeavor to meet or exceed those objectives without taking undue risks.

We regularly engage with our clients to make portfolio recommendations, update clients on current status, and discuss market trends that may affect them.



PROFESSIONAL COLLABORATION

Your personal financial planners, accountants, custodians, administrators, estate planners and banks are engaged in the process to ensure seamless, fullservice financial management.

Our team takes a holistic approach to understand not only your quantitative financial situation, but your attitude, thoughts, concerns, and comfort with investing.

STRATEGY IMPLEMENTATION

Once your goals are established, our team works to achieve long-term results. We construct a separately managed, tailormade portfolio utilizing our Value, Growth, International, and Fixed Income strategies, relying on our extensive in-house research to generate new investment ideas.

We continuously monitor your investments for optimal returns and tax-efficiency. Throughout the process we communicate with you on a regular basis to maintain effective investment results as your needs, goals, and life changes.

Regardless of the investment strategy, our investment professionals use the same fundamentally sound research process that has served our firm so well in the past when positioning a portfolio for the future.

DIVERSIFIED INVESTMENT STRATEGIES

All of our investment strategies have a long-term investment horizon. Your individual needs and goals will determine which strategy, or combination of strategies, best suits your investment needs.

Growth – stocks of companies that we believe will grow much faster than GDP growth over the next 3-5 years

Value – stocks of stable, high-quality, dividend-paying companies

Fixed Income – corporate, convertible, and municipal bonds

International – equities that provide exposure to developed and developing economies around the world



PRIVATE WEALTH MANAGEMENT

Money Management for Discerning Individuals

Our **Private Client Services** group is dedicated to lifetime asset management, helping our clients achieve their long-term financial goals throughout various investment stages including accumulation, preservation, and retirement.

LIFETIME ASSET MANAGEMENT

Accumulation Growth of Capital

As our clients begin the process of setting their financial goals, they often use the Buffalo Funds. At this stage, the primary objective is typically growth of capital. **Preservation** Preservation of Capital

Prior to retirement a slow transition is commonly made from asset accumulation to preservation of capital. This is primarily achieved by introducing an income component to a portfolio, which supplements the growth portion. The result is usually a slightly more conservative portfolio leading up to retirement.

Separately managed accounts may also be created to help an investor accomplish their longterm financial goals.

Retirement Conservation of Capital

Upon retirement, a client's investment objectives often shift once again. Income generation and capital preservation typically become the primary goals. This frequently calls for a conservative portfolio that emphasizes income over growth.

In this stage, separately managed accounts through Kornitzer Private Client Services often offer individuals the optimal solution. Portfolios are customized in order to adhere to each individual's unique set of circumstances.

INSTITUTIONAL MONEY MANAGEMENT

KCM has the ability to manage separate accounts for pensions, 401(k) plans, corporations, foundations, and endowments. Our institutional services are customized to your particular investment needs.

- Portfolios can be modeled after each of our Value, Growth, International, or Fixed Income strategies, or customized to meet your specific needs and parameters.
- A relationship manager will be assigned to your account to assure a high level of personal service.

FUNDS WE MANAGE

In addition to separate account management for individuals and institutions, KCM acts as advisor to a broad line-up of mutual funds, through the Buffalo Funds. The Buffalo Funds are available direct and through numerous fund platforms for IRAs, taxable accounts, and corporate 401(k) plans.

BUFFALO FUNDS

KCM is the founder and advisor to the Buffalo Funds, a group of 10 no-load, actively-managed mutual funds.

The Funds represent a full range of capitalization size and growth and income options. They are available to help our private clients achieve investment diversification and reach their longterm financial goals. The Funds are also popular choices for 401(k) plans and are used by many Fortune 500 companies.

estor / Institutiona

EQUITY

Discovery Early Stage Growth Growth International Large Cap Mid Cap Small Cap

INCOME Dividend Focus Flexible Income High Yield

PRIVATE CLIENT PORTFOLIO MANAGEMENT TEAM



John C. Kornitzer Founder, KCM Founder, Buffalo Funds Portfolio Manager of Private Clients *Founded 1989*



Kent Gasaway, CFA Portfolio Manager of Private Clients Joined 1991



John Shepley, CFA Portfolio Manager of Private Clients Joined 2005



Chris Carter, CFA Portfolio Manager of Private Clients Joined 2011



Patrick Warren, CFA Portfolio Manager of Private Clients Joined 2013



Matt Ison, CFA Portfolio Manager of Private Clients Joined 2021

LEADERSHIP TEAM



Joe Neuberger, CPA President, KCM Joined 2022



Laura Symon Browne, CFP, ChFC President, Buffalo Funds Joined 2022

ANALYST SUPPORT TEAM



Bob Male, CFA Portfolio Manager Joined 1997



Jeff Deardorff, CFA Portfolio Manager Joined 2002



Paul Dlugosch, CFA Portfolio Manager Joined 2002



Jeff Sitzmann, CFA Portfolio Manager Joined 2002



Dave Carlsen, CFA Portfolio Manager Joined 2004



Nicole Kornitzer, CFA Portfolio Manager Joined 2004



Craig Richard, CFA Portfolio Manager Joined 2008



Josh West, CFA Portfolio Manager Joined 2008



Doug Cartwright, CFA Portfolio Manager Joined 2013



Frank Diebold, CFA Equity Analyst Joined 2023



Michael Grossman, CFA Equity Analyst Joined 2018



Ken Laudan Portfolio Manager Joined 2020



Nathan Soulis, CFA Equity Analyst Joined 2021



Tori Johnson, CFA Equity Analyst Joined 2021



Pat Srinivas Equity Analyst Joined 2021



Tim Jenkins, CFA Equity Analyst Joined 2021





Janet Jones Fixed Income Trader Joined 2015



Brett Coughlin Equity & Fixed Income Trader Joined 2022



Aaron Schafer Equity Trader Joined 2022



EXPERIENCE OUR SERVICE FOR YOURSELF

Contact one of our Relationship Managers and learn how KCM can help you achieve your financial objectives.



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