LEADERSHIP PROFILE

NICHOLAS S. KLEIN, MBA, CAIA

MANAGING DIRECTOR

"Simply stated, I like to make people happy. As an advisor, I realize that instilling confidence, discipline and organization around a client's financial life creates an impenetrable peace of mind."

Nick Klein is a Managing Director with Oxford Financial Group, Ltd. In this capacity, Nick's primary focus is providing exceptional client service for new and existing clients of Oxford. Nick leverages nearly a decade of experience in the investment industry to advise clients on their unique investment strategies and portfolios. Nick also serves as a member of Oxford's Board of Directors.

Prior to joining Oxford in 2014, Nick was an Associate Wealth Advisor for Bessemer Trust, where he developed and maintained relationships with the professional advisor community across 10 states. The majority of these clients were ultra-high net worth entrepreneurs and business owners. These relationships were primarily investment-centric, but also evolved around estate planning tactics and philanthropic advisory.

Before Nick joined Bessemer Trust, he spent time at Goldman Sachs where he advised financial professionals on asset allocation techniques, non-traditional asset classes and risk diversification tactics. He worked with portfolios across traditional equity and fixed income disciplines, as well as within the alternative investments universe, directing capital to more efficient allocations.

During his time with both Goldman Sachs and Bessemer Trust, Nick was responsible for business development and investment strategy.

Nick earned his Bachelor's degree in Business Administration and Finance from Miami University, Oxford, Ohio. He earned a Masters of Business Administration, with concentrations in Economics, Entrepreneurship and Finance from University of Chicago Booth School of Business. Nick was awarded the Chartered Alternative Investment Analyst (CAIA) designation in 2009, and is currently a Level III candidate for the Chartered Financial Analyst (CFA) designation.

The Master of Business Administration (MBA) is a graduate level degree providing theoretical and practical training for business or investment management. The Chartered Alternative Investment Analyst (CAIA) designation is a professional designation offered by the CAIA Association. CAIA designation is the globally-recognized credential for professionals managing, analyzing, distributing or regulating alternative investments. Candidates must complete a course of study and pass two examinations. CAIA designees are required to maintain membership in the CAIA Association and adhere to professional and ethical standards. Chartered Financial Analysts® (CFA®) are licensed by the CFA® Institute to use the CFA® mark. CFA® certification requirements: hold a bachelor's degree from an accredited institution or have equivalent education or work experience, successful completion of all three exam levels of the CFA® Program, have 48 months of acceptable professional work experience in the investment decision-making process and fulfill society requirements, which vary by society. Unless you are upgrading from affiliate membership, all societies require two sponsor statements as part of each application; these are submitted online by your sponsors. OFG-2006-17