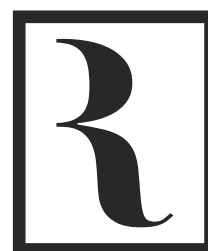


Updated as of August 2026

Rothschild Wealth Partners

An Entrepreneur's Guide to Personal Finances

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An Entrepreneur's Guide to Personal Finances

Does the company you founded have a written mission statement and the steps required to achieve it? If you are running a successful startup, the answer is most likely yes.

Now be honest, do you have a similarly written plan for your personal finances? Have you taken a close look at where you are today, what you are spending now, and how your financial plan will determine your future lifestyle?

The truth is that most entrepreneurs simply do not have time to manage their personal finances. You are probably confident that a life-changing sum may be coming your way upon exit. But with all the work needed to reach this goal – long hours, personal investments, overseeing your team – it is hard to find any time to manage and prepare for your financial success.

Founders like you face a unique set of challenges. It is no surprise that many find themselves at the cusp of realizing their dream of a liquidity event only to realize that, “wait... I have not prepared for this at all!”

The good news is that you are not the first entrepreneur to come to the realization that planning your personal finances will lead to the lifestyle you want. Others have already experienced these challenges before you, leaving a framework of solutions we can apply to your specific needs.



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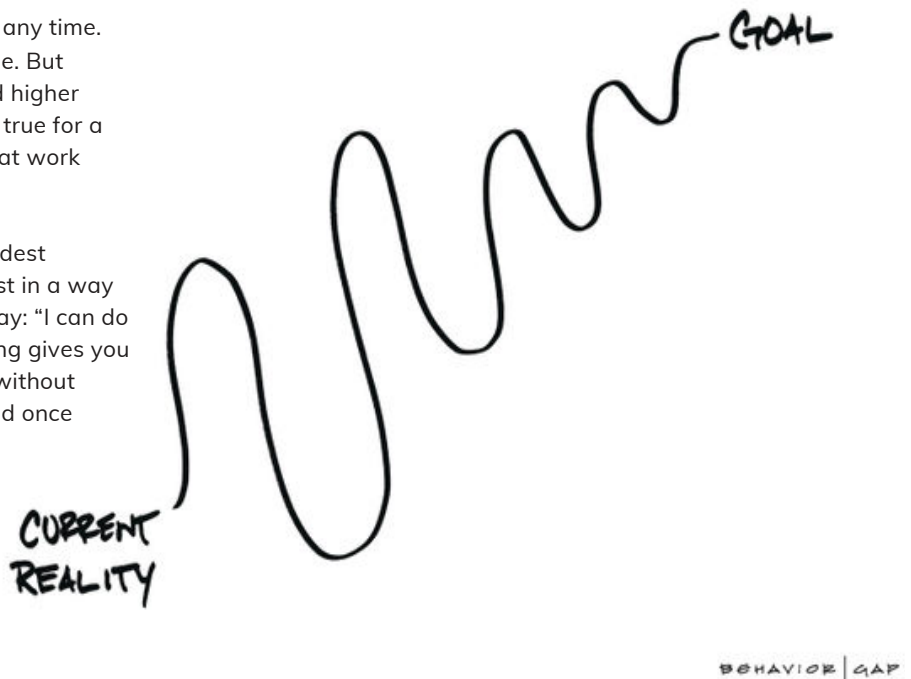
Four Major Challenges: Time, Team, Tax, and Trust(s)

By applying the solutions covered in this guide you can: have more time, pay less tax, rely on a team of specialists, and trust that your legacy will be secured. Here are four challenges faced by entrepreneurs and impactful solutions.

Challenge #1: Time

One of the modern facts of life is that nobody has any time. In theory, new technology should help us save time. But better technology means higher expectations, and higher expectations create more work. This is even more true for a busy entrepreneur like yourself who is constantly at work building your company.

You can gain back control of time via one of the oldest technologies: your money. Imagine you could invest in a way that allowed you to wake up every morning and say: "I can do whatever I want today." Personal financial planning gives you options. Retire early, build another company, live without financial stress; any of these goals can be achieved once you get started.



Solution: Your financial planning relationship

The financial planning process begins by clarifying your goals with a financial planner. A good planner will learn about your values and aspirations. They will guide your progress and help bridge the gap between where you are financially and where you would like to be. You will no longer have the burden of second-guessing every financial decision; or the risk of not making any decisions at all.

For many entrepreneurs, the financial planning process begins by addressing three core needs:

Liquidity – your cash flow needs to maintain or improve your current lifestyle

Longevity – your ability to grow and protect assets from a successful exit with strategic tax and investment planning

Legacy – your wish to improve the lives of others, such as family, friends or charity

Along the way, good financial planning will also help entrepreneurs manage equity compensation, stock diversification, risk tolerance, investing behavior, education planning, and even team building.

Financial planning will help you spend less time worrying about your money and more time on what's important to you and your family. The playbook works, as it has for many others. The next step is to identify the right person to quarterback your team and execute.

If you've never worked with a financial advisor before, you might be curious what all the buzz is about. Why pay someone to help manage your money when you can just do it yourself? Is there any added value in working with an advisor, or is it just an extra expense?

What Does A Financial Advisor Really Do For You?

Let's take a brief look at what a financial advisor really does, whom they can help, and why you should (or shouldn't) work with one.

What Financial Advisors Do

The main purpose of a financial advisor is to help you build a personalized wealth-building strategy. The key word here is personalized. Financial advisors provide value because there is no such thing as a one-size-fits-all plan. With a personalized approach, an advisor can help you:

1. Clarify your goals
2. Show you how to make progress
3. Keep you accountable

Understanding your goals, an advisor helps you identify where you are now financially and where you'd like to be. Then they create a custom plan to "bridge the gap." But the big secret about working with an advisor is that financial planning is not about the plan, it is about the process.

While everybody wants a clean, straight line between their current reality and their goals, life doesn't work this way. You may have a child, sell a business, or come upon unexpected expenses. Your situation is always changing and, given life, even your goals themselves may change. We all have our own financial blind spots – when situations change, a good advisor can help you spot them and make course corrections.

This ongoing relationship with an advisor will enable you to spend less time worrying about your money and more time on what's important to you and your family.

Who Can an Advisor Help?

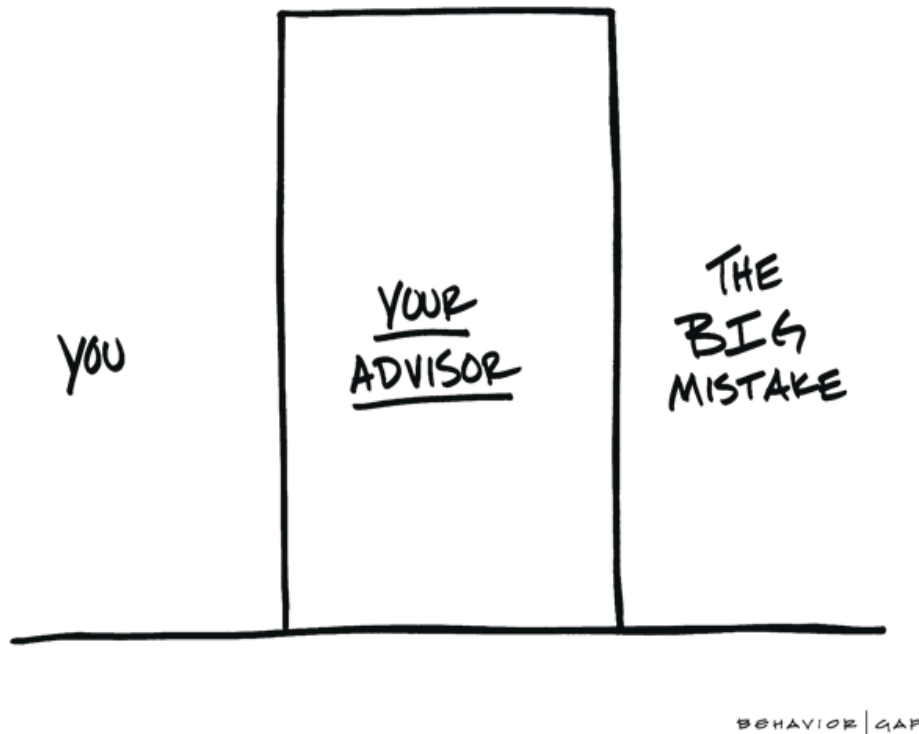
There's an old saying that the checkbook and the calendar don't lie. Show someone how you spend your money and how you spend your time and they will know what's important to you.

An advisor can help you save both money and time, leaving more opportunities to pursue and enjoy the things you love. Simply put, an advisor can help anyone who is looking to dedicate more of their time, energy, and skill to areas other than their personal finances.

The degree to which you'll benefit from an advisor's guidance depends on the complexity of your situation. If you own a company, have multiple income sources, invest in several portfolios (including company 401(k)'s), actively seek tax savings with a CPA and estate planner, then you are very likely to benefit. On the other end of the scale, if you are a young single professional renting your home, you have an easier task in doing it yourself. That said, even those with simpler finances can benefit from knowing if they're on track to achieve their goals and what they need to change if they are not.

Is An Advisor Really Necessary?

It is probably true that you can manage your own finances if you had the time, inclination and training. But the fact is, most successful entrepreneurs and professionals simply don't. It's also important to understand that investing isn't all about skill.



It's about emotion. And it's extremely hard for anyone to maintain objectivity and not make emotional decisions about their own money.

We attended a financial industry conference where the speaker asked how many people in the audience used a financial advisor. Most hands in the room went up. It was surprising on the surface: a room full of financial advisors, many working with a financial advisor? What they realized however is that we all have financial blind spots, and by definition you can't see your own.

A financial advisor can get between you and that big mistake – be it budgeting/saving, investment decisions, or potential tax issues. Advisors can be objective, making it easy to call out behaviors that aren't making sense. You want an advisor who has his or her interests aligned with yours, who cares as much about your money as you do, and yet can provide an emotional distance to help you make good decisions.

Portfolios Designed With Purpose

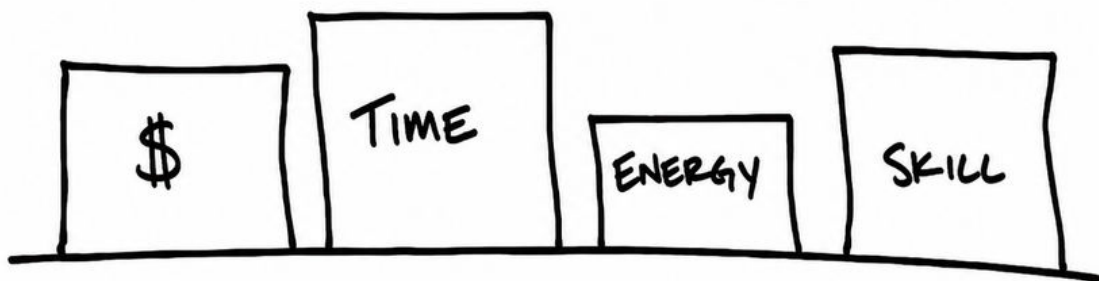
Think of your cash flow and your portfolio as the engines that drive your financial plan. Look under the hood of a car and you'll see the orderly parts of a well-organized, synchronized machine. Look at the statements of most investor portfolios (and we do say this with experience), and you're likely to see a variety of holdings that might be called anything from a loose collection to a wild smorgasbord.

This is understandable, as the investments we collect when managing our own money can come from a variety of sources: inheritance of a mutual fund, company stock from a rollover, several stock picks we read about in a book five years ago, etc. The end result is that many investors end up with a big pile of investments that don't make any sense together.

A financial advisor can help you correct this problem by using a disciplined process to build your portfolio. In an intelligently designed portfolio, each piece works together on behalf of your goals. It is designed on purpose. This fundamental aspect of financial planning can lead to real results. Vanguard's study Advisor Alpha suggests that clients of financial advisors can earn about 3% more than those without one based on the implementation of a disciplined process.

Portfolio design is not the only area where a disciplined process can help you build wealth and reach your goals. Spending and withdrawal strategies, tax management, portfolio rebalancing, behavior management, and strategic gifting, just to name a few, are all part of an integrated personal financial plan that provides value when working with an advisor. Please refer to important information on page 14.

THINGS YOU HAVE TO INVEST





Challenge #2: Team

Most entrepreneurs are hyper-confident. You know how to build a business. Conviction in yourself and your abilities enables you to execute your vision. But while you may be skilled at constructing a company balance sheet, managing a personal balance sheet is daunting.

You probably could manage your own finances if you had the time, desire, and training. But the fact is, most successful

entrepreneurs and professionals simply do not. It is also important to understand that investing is not all about skill. It is about emotion. And it is extremely hard for “anyone” to maintain objectivity and not make emotional decisions about their own money.

Just like you have done in your company, you will want to get the right team in place to meet these challenges.

Solution: a financial quarterback for your team

Think about building your personal financial team in the same way as you would with your company. You hire outstanding managers to own different parts of the business and increase its valuation. The only difference is we are working together to grow assets for you and your family.

Key members on a personal financial team include an accountant, attorney, private banker, and insurance specialist. In many arrangements, these advisors work individually, placing

an added burden on you to organize and delegate. That is why we recommend finding someone who can act as the quarterback to manage your team. This is the role of your Wealth Advisor, ideally a CERTIFIED FINANCIAL PLANNER™, who is also the individual that knows you and your goals best.

Your trusted advisor will sort through your financial needs and collaborate with your team, bringing all the specialists onto the same page and adding tremendous value.

How an Advisor Acts as a Quarterback to Your Team

If you are running a business, do you do everything yourself? Maybe this was true the early days, but anyone who has begun to achieve success understands that you need to surround yourself with smart people and delegate.

Your personal finances are crowded with investments, business records, estate plan, budgets, legal matters, and taxes, just to name a few. Think of your situation in terms of a football team. If there's no one calling the plays and managing the execution, every one of these things is going to be running to different parts of the field without a clear purpose. That lack of coordination could cost you, not just financially, but also by increasing stress.

Key members on a personal financial team include an accountant, attorney, private banker, and insurance specialist. Typically, these advisors work individually, placing an added burden on you to organize and delegate. That is why we recommend finding someone who can act as the quarterback to manage your team. This is the role of your Wealth Advisor, ideally a CERTIFIED FINANCIAL PLANNER™, who is also the individual that knows you and your goals best.

An advisor for your advisors

Often people try to be team owner and the quarterback. This can lead to significant gaps in seeing the game and the future of your team clearly. You likely hired your roster of professional advisors because you don't have the time or expertise to handle every detail or meet with everyone. Being your own quarterback just adds to the burden and doesn't accomplish what you'd

hope for — a streamlined process with the peace of mind that everything is going according to plan.

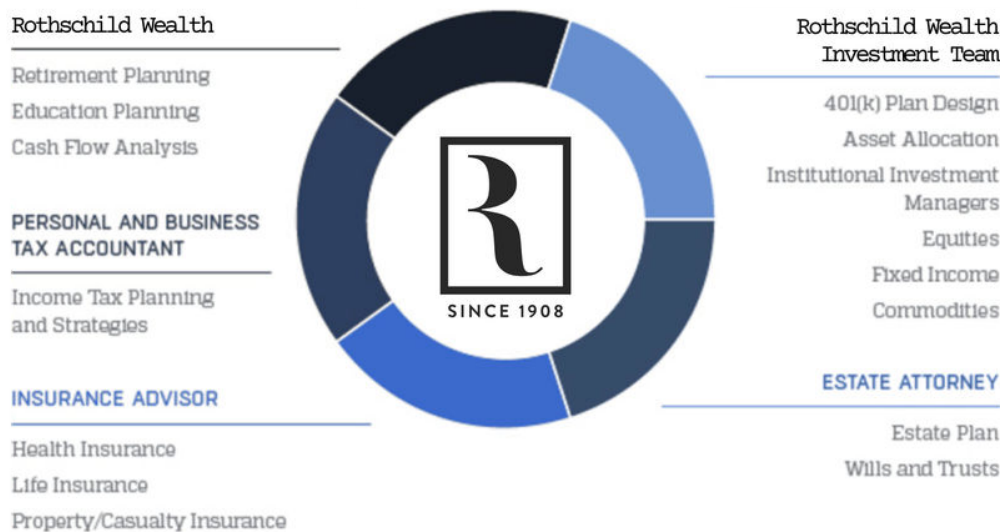
Just as a football quarterback puts the right players in the right positions, making sure they are all specialists in their roles, your financial quarterback coordinates the players on your financial team to ensure they are all working toward the same end zone: growing and protecting your assets.

For example, consider your attorney and CPA, maybe an insurance broker too. While they may have years of schooling and are highly qualified, are they working together toward a common goal? Then you add in giving to charities, supporting family members, as well as leaving a legacy for them. Who is making sure everything and everyone is moving in the right direction? If there isn't a financial professional in your life taking the role as quarterback and executing on the field for you, the legacy of your team may not be what you had hoped for.

Who's Your Quarterback?

So who should you get to coordinate your financial team and the different wealth management tasks on your plate? The ideal person is someone who understands your financial life and communicates well with you, your spouse, and other family members. They should be a financial professional who understands investing, estate planning, and tax implications of various strategies. In summary, someone who can sort through the complicated financial issues ahead of you and execute a custom strategy, helping you get from basic affluence to independent wealth and well-being.

That's what the wealth advisors at Rothschild Wealth Partners can do for you. Our comprehensive financial planning and wealth management services can provide direction and take care of all the details, getting everything working together to accomplish your goals and protect your wealth. *Please refer to important information on page 14.*





Challenge #3: Taxes

Imagine paying millions of dollars in tax upon a successful liquidation event from your company stock... only to learn that you did not have to. There is a saying that failing to plan is planning to fail. In no subject is that wisdom more appropriate to entrepreneurs than in taxes.

Entrepreneurs face multiple tax challenges in each stage of their financial journey. Early on, taxable income may be lower but future stock compensation must be strategically planned for. Following a liquidity event, larger pools of assets must be managed properly to minimize taxable gains and income. All along the way, solid deduction strategies can help lower a founder's tax bill.

Solution: a Qualified Small Business Stock (QSBS)

One tax planning strategy for entrepreneurs delivers the greatest impact of all: Qualified Small Business Stock planning. The QSBS exemption was created to reward risk-taking entrepreneurs and investors who create jobs with significant tax benefits.

The impact of these benefits is tremendous: QSBS exemption rules allow a company's founders, employees, and early investors to exclude up to 100% of their capital gain on a sale of company stock, up to \$10 million or 10x their initial investment.

While the tax-saving benefits of properly understanding QSBS can be measured in millions, QSBS can be difficult to plan for early on. As a company nears or begins contemplating an exit, making a QSBS analysis to plot out the right moves to reap the QSBS benefits makes obvious sense.

Entrepreneurs' Guide to Qualified Small Business Stock (QSBS)

Case Study

Imagine paying millions of dollars in tax upon a successful liquidation event from your company stock... only to learn that you didn't have to.

Ignorance regarding a little-known part of the tax code called the Qualified Small Business Stock (QSBS) exemption could lead you to this big mistake. Thankfully, the QSBS exemption was designed to help small businesses, and once understood, it is simply great news for entrepreneurs and those investing in early growth stage companies. So, read on, this guide to Qualified Small Business Stock could potentially save you millions.

What is the Qualified Small Business Stock (QSBS) exemption? The Qualified Small Business Stock rule, also known as the Sec. 1202 stock exclusion, was designed to reward risk-taking entrepreneurs and investors who create jobs with significant tax benefits. The impact of these benefits is tremendous: QSBS exemption rules allow a company's founders, employees and early investors to exclude up to 100% of their capital gain on a sale of company stock, up to \$10 million or 10x their initial investment.

Let's look at an example to see the possible tax savings QSBS provides to owners and early investors. Remember, tax rates for capital gains are as high as 23.8%, paid on the difference between the original cost (basis) of the investment and the selling price.

QSBS Tax Savings Example

	QSBS	Non-QSBS
Total Sale Proceeds	\$12,000,000	\$12,000,000
Purchase Price (Basis)	\$1	\$1
Total Gain	\$11,999,999	\$11,999,999
QSBS Exclusion	\$10,000,000	\$0
Remaining Gain	\$1,999,999	\$11,999,999
Tax @ 23.8%	\$476,000	\$2,856,000
Tax Savings of QSBS	\$2,380,000	

As we can see, the \$10 million QSBS exclusion saved this owner nearly \$2.4 million in taxes. In some circumstances this savings could be even larger, as the exclusion is limited to the greater of \$10 million or 10x your initial investment. If an investor had put in \$2,000,000 to start, for example, the exclusion could be as high as \$20 million, for a tax savings of \$4.76 million (\$20,000,000 x 23.8%).

The 100% gain exemption for QSBS is the result of Congress continuing to increase the QSBS exemption since introducing the law in 1993. Originally, only 50% of the capital gain was excluded. As such, the date that your QSBS was issued will determine the amount of gains that can be excluded from taxable income. For stock acquired before 2/18/09, 50% of gains are excluded; for stock acquired between 2/18/09 and 9/27/10 the exclusion is 75%; and stock issued after 9/28/10 qualifies for the full 100% exclusion.

Is My Stock a Qualified Small Business Stock (QSBS)?

The requirements for a stock to be deemed QSBS are strict. Each qualifying condition must be met, and a failure to pass just one of the below items means that you won't qualify for the exemption.

To qualify as a QSBS these main criteria must be met:

– **Stock must be originally issued from a C-Corporation.**

This applies to owners, investors and even employees who exercise stock options. Stock must be issued directly from the company – stock acquired from another shareholder does not qualify. Neither will unexercised options, so be sure to understand your 83(b) election options.

– **The company must have \$50 million or less in gross assets up until the time of stock issuance.** Hence where the “small business” incentive comes in. Note that the gross assets test applies only to the company's size up to and immediately following stock issuance; future growth does not disqualify the stocks' status as QSBS.

– **Stock must be held at least five years.** The holding period begins on the date of issuance of stock from a C-Corp and must last five years. For stock held less than five years, investors have an ability to defer QSBS treatment if they reinvest proceeds in a different QSBS within 60 days.

– **At least 80% of the company's assets must be used in active conduct of business.** Assets used in research or development generally qualify. Cash held for reasonably required working capital also fits the bill, however there is a working capital rule which states no more than 50% of a company's assets can be sitting in cash.

There have been no disqualifying stock redemptions. Certain scenarios when shareholders have sold stock back to the company can prohibit future QSBS treatment. The taxpayer

claiming a QSBS cannot have sold stock back to the company at anytime beginning two years prior to the original issuance to two years after the issuance. This is designed to prevent the exclusion from applying when newly issued stock is simply a replacement of a previous investment.

A second type of disqualifying sale includes a “significant” (generally 5% of aggregate value) redemption from any shareholder within one year before or one year after the stock issuance. A disqualifying redemption of any type taints all stock, so none of it can be considered QSBS. In the case of departing employees cashing in their company stock, generally these transactions are not considered disqualifying.

Estate Planning with Qualified Small Business Stock

The impact of qualified small business stock is tremendous: up to \$10 million in gains tax free for founders. But savvy founders can do better. In fact, you can get a second, or even a third \$10 million exemption if you properly pass on stock to your children. For founders of companies with potential gains over \$10 million, proper estate planning is critical.

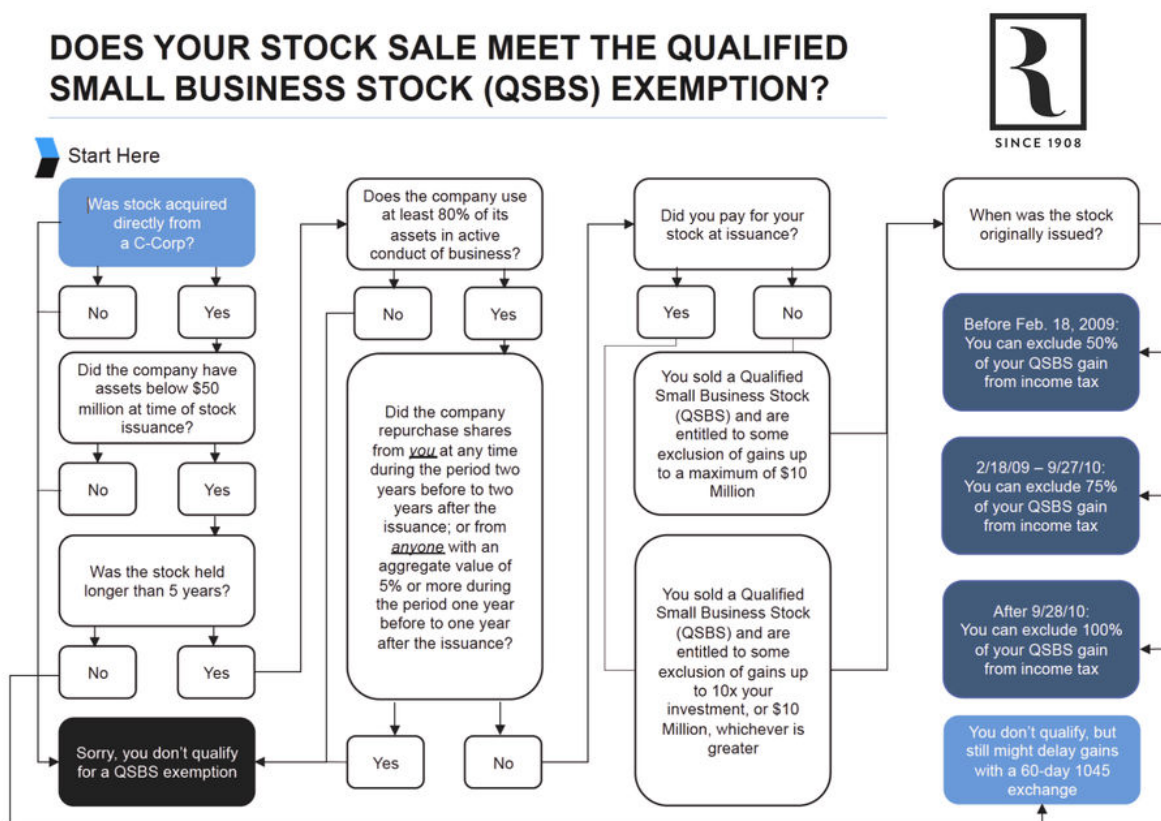
Qualified Small Business Stock that is gifted into a non-grantor trust can still qualify a separate, second \$10 million exclusion.

“Non-grantor” means that the trust has its own tax ID and is considered a separate entity for tax purposes. If the shares are gifted into a trust that has a separate tax ID as the founder, a new \$10 million exemption applies.

Assets put into a non-grantor trust are irrevocably removed from the founder’s estate (you can’t get them back). Children are the named beneficiary. For successful founders with children, it’s likely that a portion of any sale proceeds will ultimately be passed on to the next generation. Properly drafting a trust document to guide how the assets are transferred can validate a second or third QSBS exemption and save you many millions.

Strategies To Maximize Your Qualified Small Business Stock Benefits

While the tax-saving benefits of properly understanding QSBS can be measured in millions, QSBS can be difficult to plan for early on. Other than establishing as a C-Corp, most small business planning around QSBS five years or more in the future will be speculative at best. However, as a company nears or begins contemplating an exit, making a QSBS analysis to plot out the right moves to reap the QSBS benefits makes obvious sense. Please refer to important information on page 14.





Challenge #4: Trust(s) and Estate Planning

Many entrepreneurs are young and perhaps have yet to even consider basic estate planning. There is no need until wealth is achieved post-liquidity, the thinking commonly goes. This thinking is incorrect. In fact, it is before paper wealth turns into real wealth when estate planning techniques can be the most powerful to preserve your family's legacy.

An entrepreneur still building their company faces basic estate planning needs. Having a will and term insurance can mitigate financial disaster for a family in the unfortunate event of death before a company's valuation has truly been executed. Estate planning is more than worst-case scenario planning, however. The real solutions to preserving a family's legacy relate to planning for positive events.

Solution: a grantor retained annuity trust (GRAT)

How you plan your estate will have a significant impact on how much your family must pay in taxes, especially if you own assets like company stock that you expect to appreciate substantially.

Currently, estates above \$15 million held by an individual (\$30 million for a married couple) are subject to federal estate tax. At a hefty Federal tax rate of 40%, and many states adding additional state tax, a substantial portion of a wealthy family's assets are likely to go toward taxes rather than to their heirs.

Strategic estate planning can allow entrepreneurs to minimize estate tax and preserve family history. One example of this

strategy is the creation of a Grantor Retained Annuity Trust, or GRAT.

A GRAT can freeze the taxable value of a business in its early stage, allowing you to limit future taxes. You can retain control and continue to receive cash flows upon exit.

Assets with a low current valuation compared to their expected future value (such as stock in a privately held firm) are particularly well suited to putting into a GRAT. This is because assets with the potential for great appreciation also have the potential for triggering large estate tax liabilities, and a GRAT allows you to bypass these future taxes.

Guide to GRATs: Estate Planning for Business Owners Case Study

How you plan your estate can have a significant impact on how much your family must pay in taxes. This is especially true if you have substantial assets that may be subject to estate taxes, or own assets that you expect to appreciate substantially.

A Grantor Retained Annuity Trust, or GRAT, is an appealing option for passing down assets to the next generation, particularly for assets you expect to appreciate significantly. It can allow business owners to retain control, receive cash flow, minimize estate tax and preserve family history. Here's a guide to how it works.

Basics of a GRAT

A GRAT allows you to freeze the value of an asset for tax purposes and receive an annuity payment in return.

Currently, estates above \$15 million held by an individual (\$30 million for a married couple) are subject to federal estate tax. At a hefty Federal tax rate of 40%, and many states adding additional state tax, a substantial portion of a wealthy family's assets are likely to go toward taxes rather than to their heirs. Most of the future appreciation of an asset in a GRAT escapes the estate tax and gift tax.

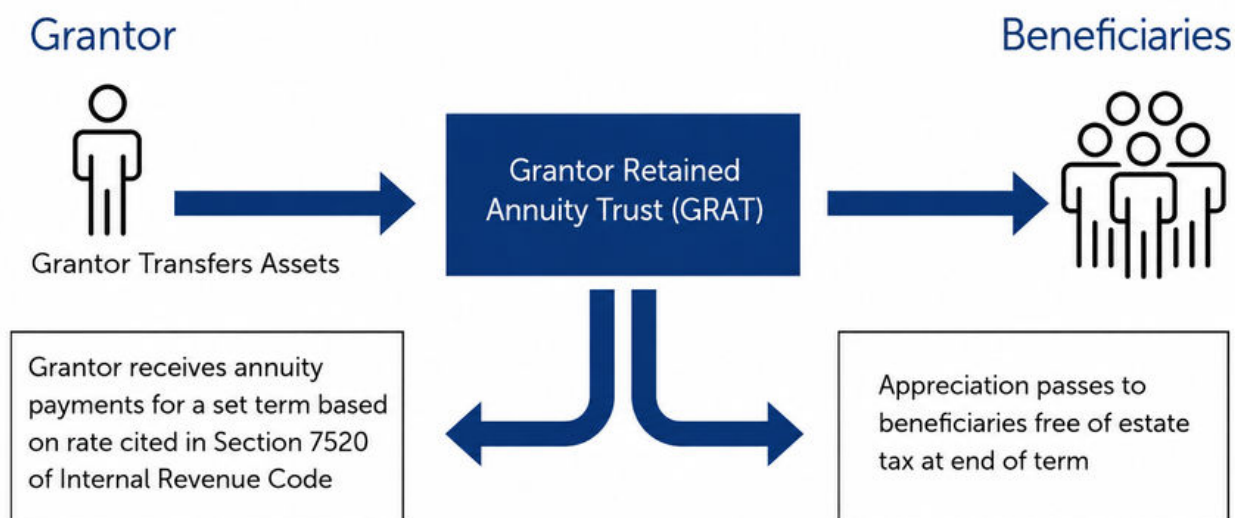
Here is how a GRAT mitigates these taxes:

- You, as the grantor, deposit assets you expect will appreciate to an irrevocable trust.
- The principal you give to the trust, plus interest, must be returned to you over a set period.
- To accomplish this, you receive annuity payments drawn from the trust assets each year. The payments are determined by the current Section 7520 rate, a figure set by the IRS, which is 5.2% as of August 2026.¹
- At the end of the set term, any growth in assets above the returned principal and interest is transferred to your beneficiary outside of your estate, avoiding estate taxes.

Assets with a low current valuation compared to their expected future value (such as stock in a privately held firm) are particularly well suited to putting into a GRAT. This is because assets with the potential for great appreciation also have the potential for triggering large estate tax liabilities, and a GRAT allows you to bypass these future taxes.

The 7520 rate sets the hurdle your assets must clear, so a GRAT is most effective when you expect growth well above that rate, as anything above the hurdle leaves more of your appreciated assets to pass estate-tax free to your heirs.

¹ Internal Revenue Service, Section 7520 interest rates, August 2026. The rate is published monthly and changes frequently.



Source: Kitces.com

GRAT Risks and Potential Downsides

A GRAT is only a smart option if you have enough assets to achieve your desired lifestyle beyond what is given to the trust. As an irrevocable gift, you cannot get a “do over” and take the assets back for personal use as needed.

The largest uncontrollable risk in GRAT planning is life expectancy. If you die before the trust's term expires, your assets in the trust will be included in your estate and pass to your heirs without any additional tax benefit. This would make the entire strategy ineffective. It therefore requires a strategic balance between keeping a GRAT term short, versus keeping it longer so your assets have more time to grow and maximize the benefit.

Intentionally Defective Grantor Trust (IDGT) Alternative

One way to get around the life expectancy risk of a GRAT is to utilize an Intentionally Defective Grantor Trust (IDGT) as an alternative. Just like in GRAT planning, you place an asset into an irrevocable trust, which is then removed from your taxable estate. However, with an IDGT, you sell your asset to your trust, in exchange for a promissory note from the trust that agrees to make interest-only payments for a defined period. Because a promissory note is more flexible than a fixed annuity payment (as required by a GRAT), this strategy can offer several benefits:

- If you die before the trust expires, the assets remain outside of your estate and the strategy continues to meet its tax-savings goal.
- The repayment of the principal asset can be deferred and paid over a longer period. This means you can wait to have the trust pay you back until there is a liquidity event creating adequate cash flow.

For the sale of your ownership stake to an IDGT trust to be legitimate, the trust must already have some liquid assets. Therefore, it is common practice to “seed” at least 10% of the expected purchase price into the IDGT as a separate gift before the sale transaction occurs. This “seeding” is subject to gift tax.

The “intentionally defective” part of the trust's name comes because it was created by an attorney with a design “defect” that ensures the trust grantor continues to pay taxes on the

income generated by assets in the trust. This defect is a good thing, because when the grantor pays the trust's income taxes: 1.) the trust is growing tax free for the beneficiaries; and 2.) the dollars used to pay taxes will be removed from your taxable estate. Please refer to important information below.

In conclusion: Your opportunity is also a responsibility

An entrepreneur does not have the security of the benefits that come along with being employed by a large company. What you do have is enormous financial upside. This opportunity comes with a responsibility to plan for future wealth. We commonly see entrepreneurs who are very successful in their professional lives yet are disappointed that their skills have not transferred to their personal finances.

The four main challenges of time, team, taxes and trust(s) are a natural hurdle for laser-focused entrepreneurs busy building their company. The good news is that there is a financial planning process that can help solve each of these challenges. Ultimately, we hope that financial planning will help you spend less time worrying about your money and more time on what's important to you and your family.



About Sean Condon, CFP®

Sean Condon, CFP® is a wealth advisor with more than a decade of industry experience. He specializes in helping entrepreneurs build their personal wealth and serving as the quarterback to a team of advisors. Taking an owner's approach, Sean does his best to understand the many elements of his clients' entrepreneurial journeys. He works in a technically competent and caring manner to reduce his clients' anxiety about money issues and serves as a fiduciary by always putting his clients' best interests first.

We are available to answer your questions, and we would enjoy the opportunity to see if we are a good fit for helping you reach your financial goals. Call **(312) 669-1654** or email **scondon@rothschildwealth.com** to get in touch. You can also book an appointment online.



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