

# R. SCOTT NICHOLLS, QPA, QKA

Senior Client Manager

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## ABOUT ME

I'm R. Scott Nicholls, a dedicated advisor who is passionate about helping clients provide a best in class 401(k) plan for their employees. This includes reducing fiduciary risk through prudent and consistent plan reviews and investment monitoring.

## LIFE PHILOSOPHY

*ADVERSITY BUILDS CHARACTER AND PROVIDES AN OPPORTUNITY FOR OUR GREATEST ATTRIBUTES TO SHINE.*

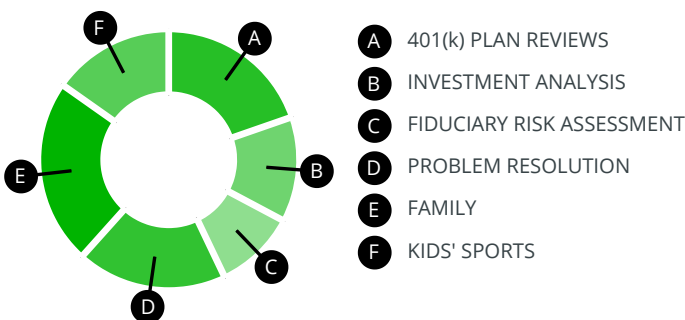
## PROFESSIONAL STRENGTHS

- Service
- Responsive
- Team Player
- Proactive

## PERSONAL STRENGTHS

- Positive Attitude
- Integrity
- Loyal
- Committed

## WEEK IN THE LIFE



## EXPERIENCE

### Client Service Manager

Oswald Financial, Inc.

2016 - Ongoing

I serve as the plan sponsor's dedicated service contact to identify, strategize, convey, and execute efficient retirement benefit solutions to reduce fiduciary risk.

### 401(k), NQ and DB Plan Team Lead

Charles Schwab

2003 - 2016

At this stage in my career, I was responsible for integrating unique service models and outside trading platforms into the Schwab recordkeeping system. This also included developing complex processing procedures and mitigating risk for new plan conversions.

### Client Service Analyst

Key Bank

2001 - 2003

In my early career, I was a dedicated 401(k) analyst supporting client managers with their client's plans. This entailed preparing plan health reports, reconciling trust accounts and being the day to day contact for clients that had questions about their 401(k) plan.

## EDUCATION

### BS in Accounting and Finance

Baldwin-Wallace

1994 - 1998

## PROUD OF

### MY CAREER

My entire 20 year career has been spent in the 401(k) industry helping plan sponsors and participants meet their retirement goals.

### BEING A CREDENTIALLED PENSION ADMINISTRATOR

I have been a credentialed pension administrator for the last 16 years with the American Society of Pension Professionals and Actuaries.