

# WINDES

AUDIT | TAX | ADVISORY

**CERTIFIED PUBLIC ACCOUNTANTS & CONSULTANTS  
SERVING BUSINESSES AND INDIVIDUALS FOR OVER 88 YEARS.**

*Executives look to Windes as the provider of choice.  
We listen, consult, and guide our clients to success in the area of  
ERISA and DOL compliance and employee benefit services.*

*Windes and our affiliates are the  
8th largest accounting network in the world,  
delivering exceptional local value.*



*We treat all clients as though each is our only one...*

## OUR SIGNATURE STORY

Since 1926, we have been a trusted business partner to our clients and have earned our reputation as one of the most respected and socially responsible accounting firms in southern California. Our professionals deliver high-value accounting and consulting services and are committed to our clients and their organizations. The strength of our practice and comprehensive expertise, coupled with our global network, enables us to provide our clients with business solutions focused on their continued success at fees that represent outstanding value. Windes has 16 partners and over 140 personnel in a variety of disciplines within our three southern California offices. Our firm serves over 2,500 businesses and more than 1,500 individuals.

## THE WINDES APPROACH

The majority of our clients are acquired through referrals from existing clients, friends, or business associates of the firm. Many of our client relationships have lasted for generations. Significant partner involvement and low personnel turnover are keys to our success. Given our local decision-making, we are able to deliver our engagement services to meet your needs without using a one-size-fits-all approach.

## THE WINDES DIFFERENCE

- ◆ Expertise with ERISA and DOL rules and regulations
- ◆ Auditor of record for over 50 qualified employee benefit plans
- ◆ Unique in that we have our own in-house third-party administration practice servicing over 450 qualified plans
- ◆ In-house SEC expertise to handle Form 11-K filings
- ◆ Local technical and engagement decision-making is made with significant partner involvement
- ◆ Acknowledged by Inside *Public Accounting (IPA)* as one of the top “25 Best of the Best” accounting firms in the country and listed as one of *IPA’s* “All-Star Firms for Long-Range Planning.”
- ◆ Consistently ranked as one of the “Best Accounting Firms to Work For” in the country by *Accounting Today* and one of the “Best Places to Work” in Los Angeles and Orange Counties by the *Los Angeles Business Journal* and *Orange County Business Journal*, respectively.

## THE WINDES TEAM



**MARILYN A. THOMPSON, CPA, MST**

Partner, Audit & Assurance Practice  
mthompson@windes.com

- 30 years of experience
- Specializes in ERISA audits, audits and reviews of financial statements, internal control evaluation, and business mergers and acquisitions
- Serves clients in the manufacturing and distribution, professional service, construction, broker/dealer, investment advisory, and healthcare sectors.



**RICHARD L. GREEN, CPC, QPA, QKA, APA**

Partner, Employee Benefit Services  
rgreen@windes.com

- 30 years of experience
- Certified Pension Consultant (CPC), Accredited Pension Administrator (APA), and Qualified 401(k) Administrator (QKA)
- Specializes in retirement plan consulting, design, and administration
- Serves plan sponsors in both for-profit and tax-exempt entities



**LISA D. CARRICK, CPA**

Senior Manager, Audit & Assurance Practice  
lcarrick@windes.com

- 9 years of experience
- Specializes in ERISA audits, audits of financial statements, and internal control evaluation
- Serves clients in the manufacturing and distribution, construction, and transportation sectors

## SERVICES

- ◆ ERISA Audits (ESOPs, profit sharing, 401(k), 403(b), 11-K, defined benefit, and health and welfare benefit plans)
- ◆ IRS and DOL Compliance Program Filings and Audit Support
- ◆ Employee Benefit Plan Design, Implementation, Administration, and Consulting
- ◆ Form 5500 Filings

*"Windes has been flawless in their responsiveness and deliverables, which speaks highly to the fact that as a regional accounting firm, they are able to provide nimble and cost effective services while incorporating an integrated tax planning strategy between my two businesses.*

*I highly recommend their services to interested parties."*

- CEO of a communication services company

## OUR GLOBAL REACH

- ◆ As an independent member of Baker Tilly International, Windes has access to the cultural understanding, knowledge, and expertise our clients need in order to succeed on a global level
- ◆ Baker Tilly International is the 8th largest network of accountancy and business services firms in the world, with revenues of \$3.4 billion
- ◆ Represented by 161 independent member firms with 27,000 professionals in 137 countries worldwide

## MEMBER OF

- ◆ American Institute of Certified Public Accountants (AICPA)
- ◆ AICPA Employee Benefit Plan Audit Quality Center
- ◆ American Society of Pension Professionals and Actuaries (ASPPA)
- ◆ California Society of Certified Public Accountants (CalCPA)
- ◆ Center for Public Company Audit Firms of the AICPA
- ◆ National Institute of Pension Administrators (NIPA)
- ◆ Public Company Accounting Oversight Board (PCAOB) Registered
- ◆ The National Center for Employee Ownership
- ◆ The ESOP Association

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