

Zocks Communications

An Artificial Intelligence (AI)- Powered Assistant for Financial Services Firms

Tiburon Written Research
August 18, 2026



TIBURON STRATEGIC ADVISORS

Industry Leading Think Tank, Advisor, and Investor in
Wealth & Investment Management (& WealthTech) Firms



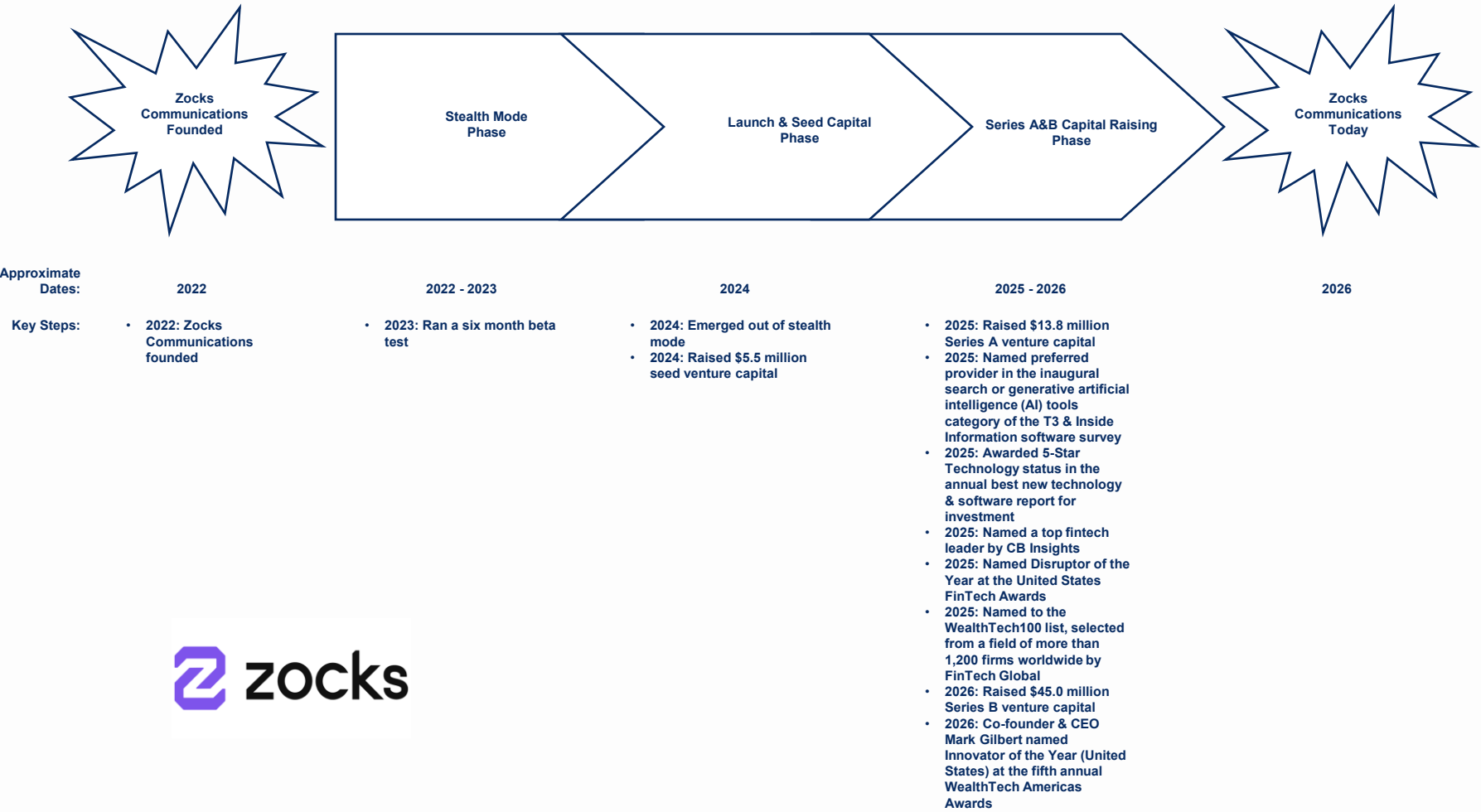
Comments

- **Founded in 2022**
 - **Founded by Mark Gilbert & Akos Ratku**
- **Based in San Francisco, CA**
- **4 offices**
- **183 employees**
- **5,200 institutional clients**
- **25,000 weekly active users**
- **CEO: Mark Gilbert**
 - **COO: Laurence Trifon**
- **Privately owned**
- **Website: www.zocks.io**

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications was Founded in 2022 and Has Subsequently Evolved through its Stealth Mode, Launch & Seed Capital, and Series A&B Capital Raising Phases

**Zocks Communications
History**



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Google Gemini Search Results; 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications was Founded by Mark Gilbert & Akos Ratku in 2022



Comments

- **Founded in 2022**
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Founders met when working at Hearsay Social (DBA Hearsay Systems)

Believed that financial services companies would need to adopt artificial intelligence (AI)

Had experience in compliance & regulated industries

Zocks Communications Ran a Six Month Beta Test in 2023



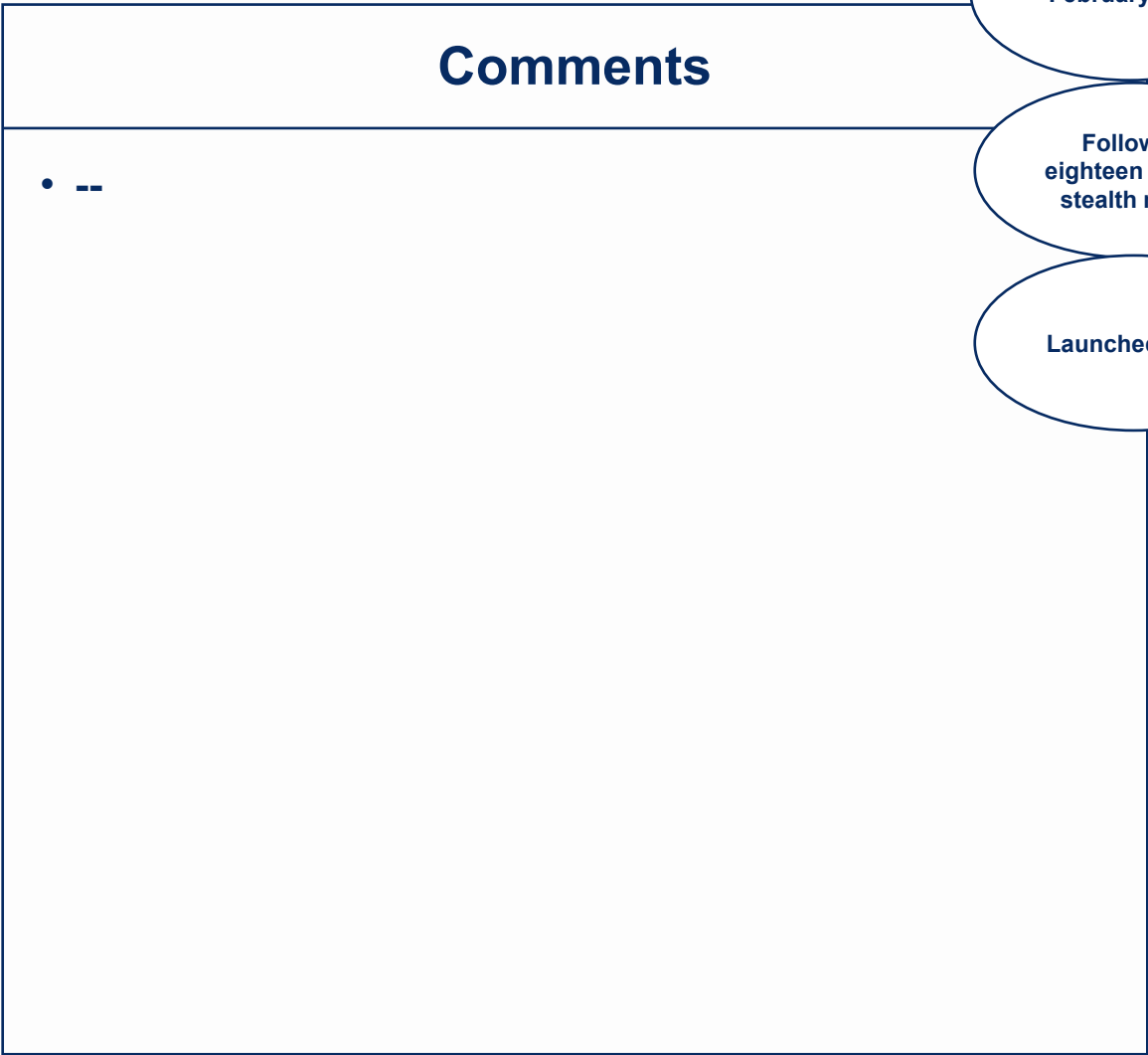
Comments

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Beta test was manual with financial advisor sending Zoom recordings and Zocks Communications sending back notes & client profiles

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Emerged Out of Stealth Mode in 2024



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Google Gemini Search Results; 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has Had at Least Three Venture Capital Raises, Including its Seed Round in 2024

Zocks Communications Venture Capital Raises

Seed Round	Series A	Series B	
• Raised in 2024 • \$0 minimum investment • One Investor – Lightspeed Venture Partners • Raised \$5.5 million	• Raised in 2025 • \$0 minimum investment • Five Investors – Motive Ventures – Lightspeed Venture Partners – Expanse Venture Partners – Entrée Capital – 14Peaks Capital • Raised \$13.8 million	• Raised in 2026 • \$0 minimum investment • Seven Investors – Lightspeed Venture Partners – QED Investors – Illuminate Financial – Motive Ventures – Expanse Venture Partners – Entrée Capital – 14Peaks Capital • Raised \$45.0 million	• -- Total venture Capital raised: \$64.3 million Seed: 2022 (more logical) or February 2024 (likely when closed); Lightspeed Venture Partners led Series A: March 2025; sought lead investor that could connect to financial services firms and chose Motive Ventures Series B: January 2026; proceeds earmarked for agentic artificial intelligence (AI) expansion, enterprise capabilities, and deeper integrations; Lightspeed Venture Partners led

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Google Gemini Search Results; 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Venture Capital Raises

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• --	• --	• --	• --
			

Zocks Communications Has Won Many Awards, Including Being Named a Preferred Provider in the T3 & Inside Information Software Survey in 2025

**Zocks Communications
Awards & Recognition**

G2: ranked #1
artificial intelligence
assistant for financial
services; rated 4.8/5.0

T3 & Inside Information	InvestmentNews	CB Insights	United States FinTech Awards
2025: Named preferred provider in the inaugural search or generative artificial intelligence (AI) tools category of the software survey	2025: Awarded 5-Star Technology status in the annual best new technology & software report for investment management professionals	2025: Named a top fintech leader	2025: Named Disruptor of the Year 

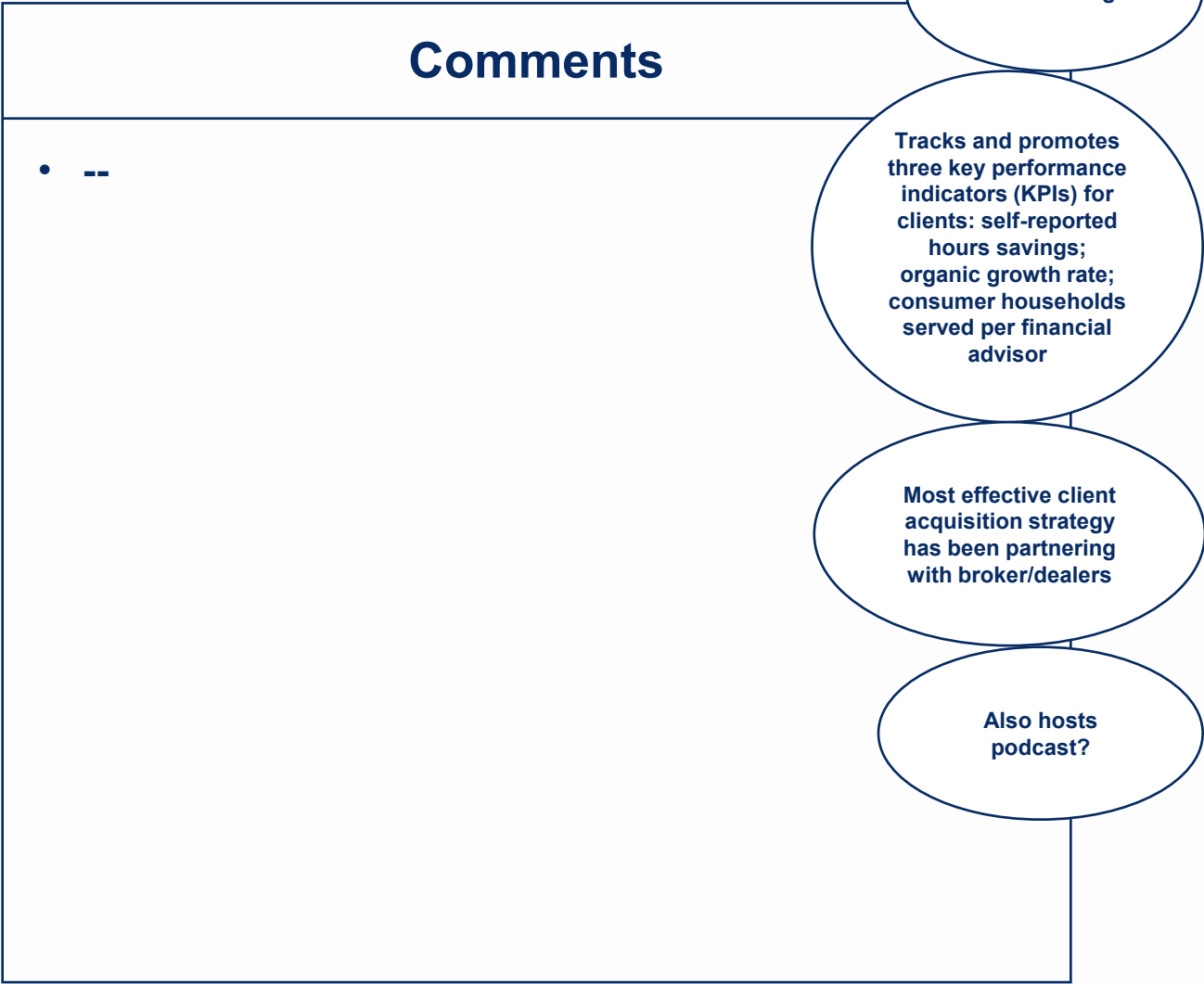
Source: 8/18/26 Zocks Communication Website; 7/30/26 Google Gemini Search Results; 7/30/26 Zocks Communications Website; 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications
Awards & Recognition

FinTech Global	--	--	--
2025: Named to the WealthTech100 list, selected from a field of more than 1,200 firms worldwide	--	--	-- 

Source: 8/18/26 Zocks Communication Website; 7/30/26 Google Gemini Search Results; 7/30/26 Zocks Communications Website; 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications is Not a Frequent Advertiser



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has a Tagline that Highlights its Role as an Artificial Intelligence (AI) Assistant Built for Financial Advisors

Zocks Communications Tag Line

**“The artificial intelligence (AI) assistant for
financial advisors”**



Zocks Communications Has a Mission Highlighting the Efficiency that it Offers to Wealth Management Firms

Zocks Communications Mission

“Get ten + hours a week back to focus on your clients. Automate your meeting notes, intake forms, client emails, and more”



Zocks Communications Has a Mission Highlighting the Efficiency that it Offers to Wealth Management Firms

Zocks Communications Mission

**"Change the unit economics for the middle
and back office for the largest financial
institutions"**

**– Steven Latow
Chief Strategy Officer,
Zocks Communications**



Zocks Communications Executives Have Views on the Mass Affluent Market

Zocks Communications Executives Views Mass Affluent Market

“Fidelity Investments, The Charles Schwab Corporation, & The Vanguard Group are the only advice models that most people can afford today. Technology will change this and we will see more advanced services offered to the mass affluent”

**– Mark Gilbert
CEO, Zocks Communications**



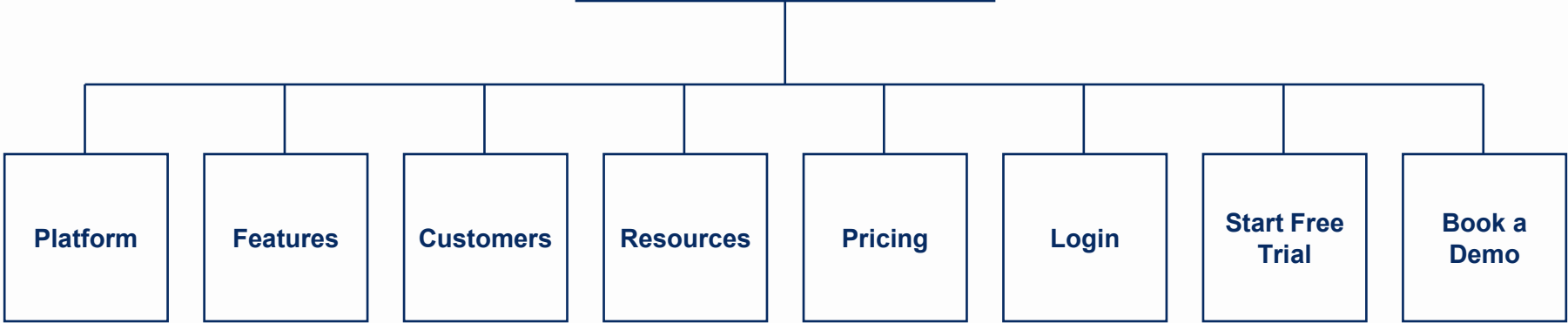
Zocks Communications Has a Website with Eight Core Sections, Including Platform, Features, Customers, Resources, Pricing, Login, Start Free Trail & Book a Demo

Shifted from being
feature centric to
be case studies &
testimonial centric

**Zocks Communications
Website**



**Zocks Communications
Website**



Source: 8/18/26 Zocks Communication Website; 8/14/26 Zocks Communications Website; 7/30/26 Zocks Communications Website; 7/27/26 Zocks Communications Website; 7/21/26 Zocks Communications Conversation (Latow); 7/15/26 Zocks Communications Website; 7/13/26 Zocks Communications Website; 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications is Not a Frequent Acquirer



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has a Charitable Giving Program



Comments

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Charitable Giving

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

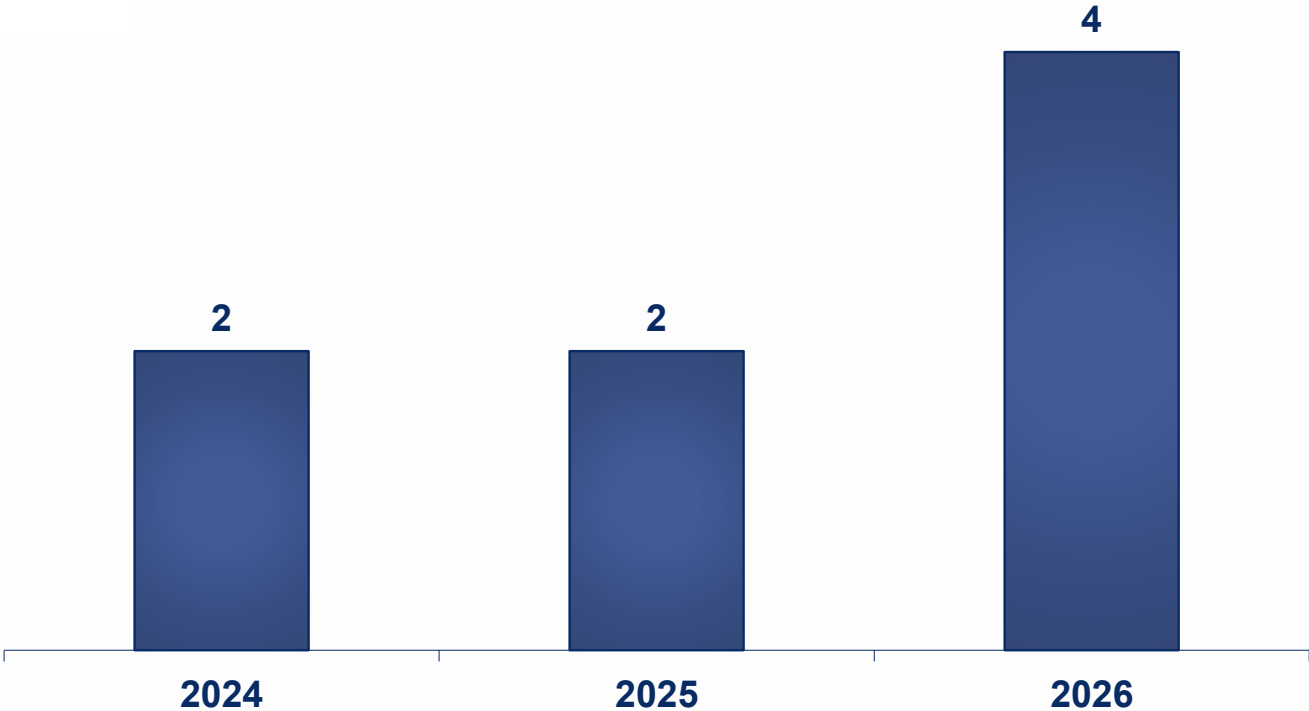
Zocks Communications Has Four Offices, Up From Two in 2024

Count of offices
on next page:
four

2026 = 7/21/26



Zocks Communications Offices



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communication's Offices Include San Francisco, CA; Denver, CO; New York, NY; & Budapest, Hungary

Zocks Communications Offices

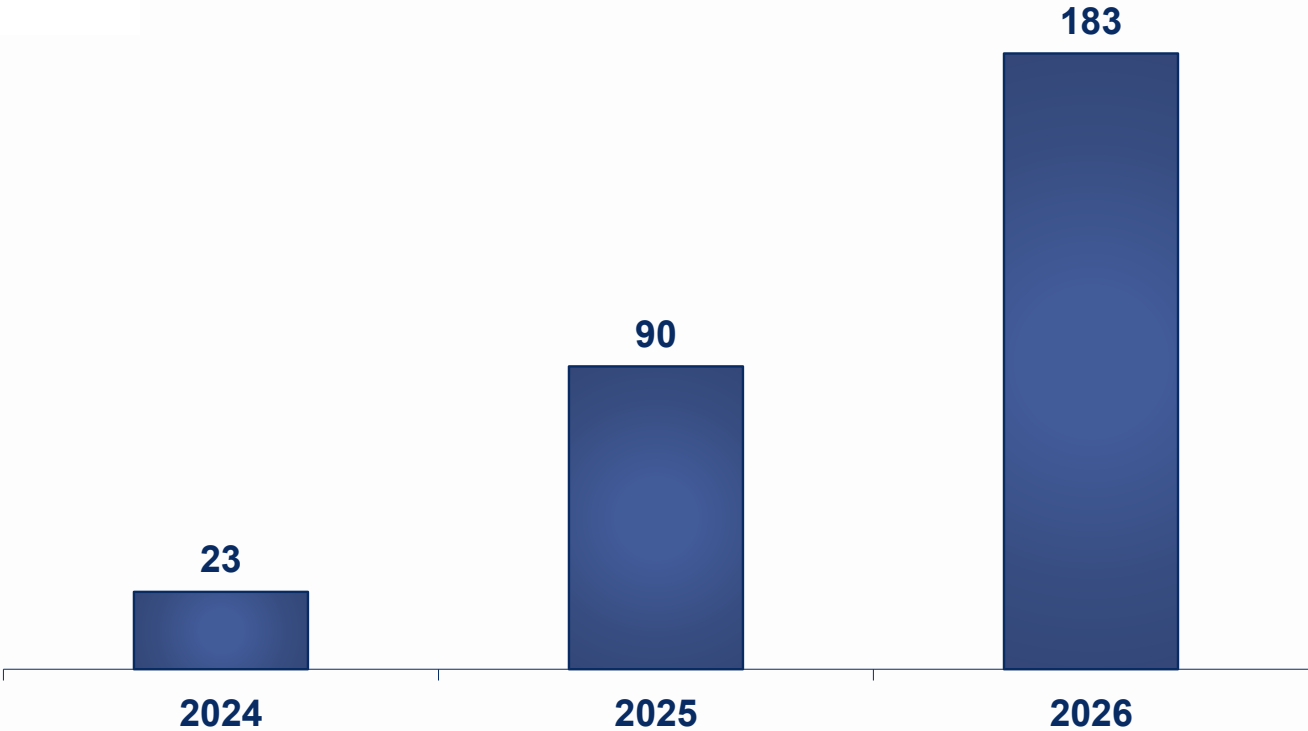
- **Budapest, Hungary**
- **Denver, CO**
- **New York, NY**
- **San Francisco, CA**



Zocks Communications Has 183 Employees, Up From 23 in 2024

2026 = 7/21/26

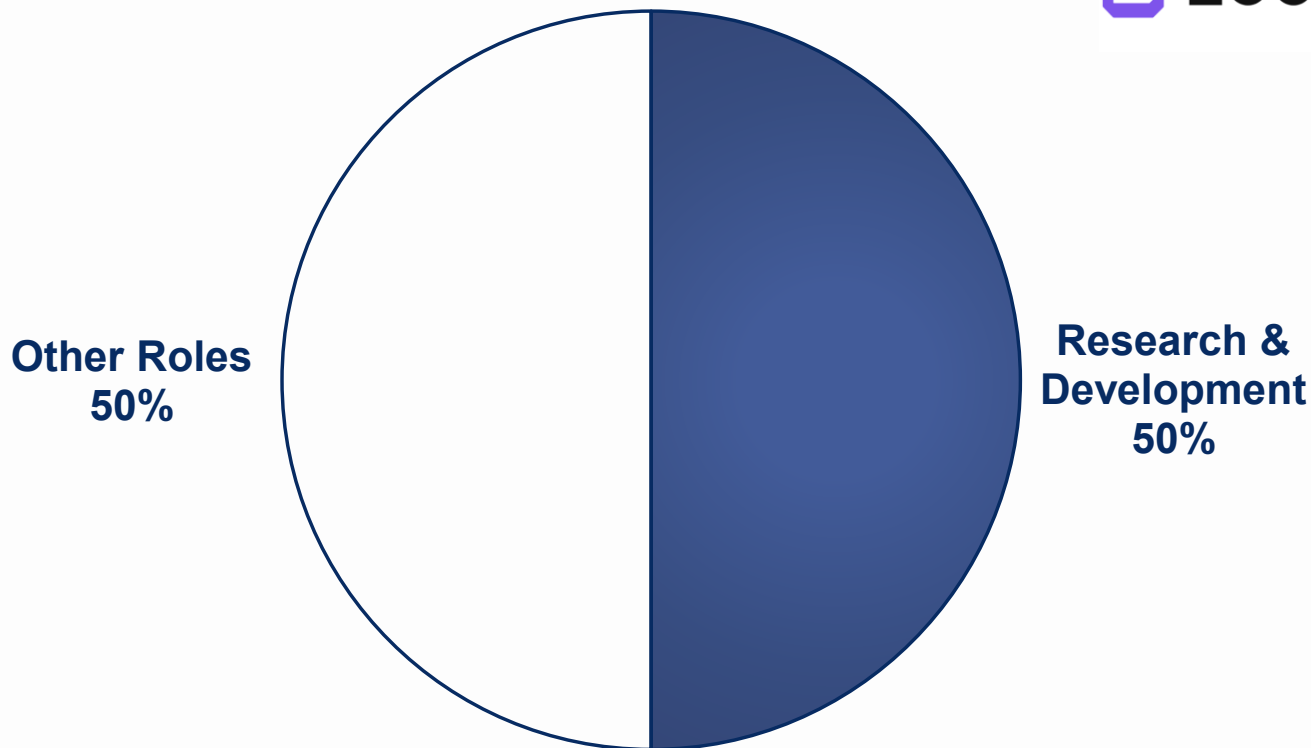
Zocks Communications Employees



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Employees are Half in Research & Development

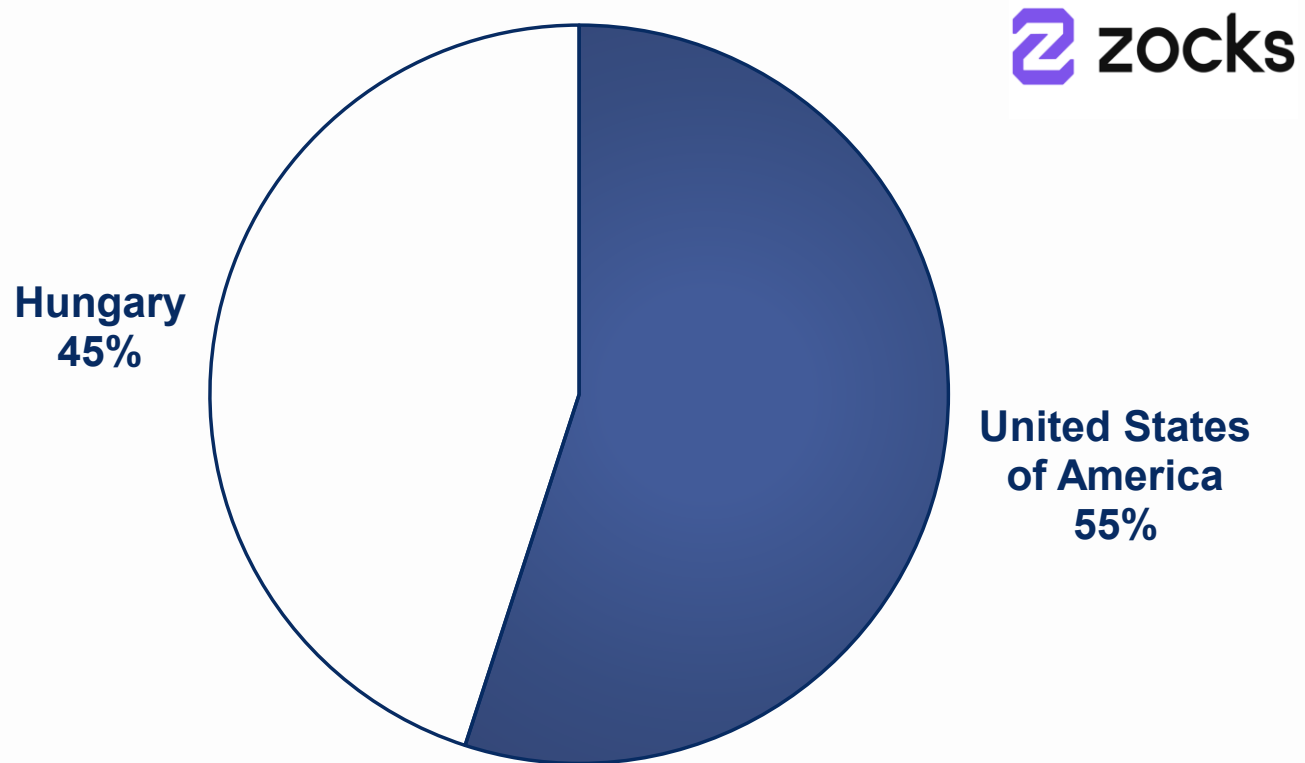
Zocks Communications Employees By Role



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Employees are Over Half in the United States of America

Zocks Communications Employees By Location

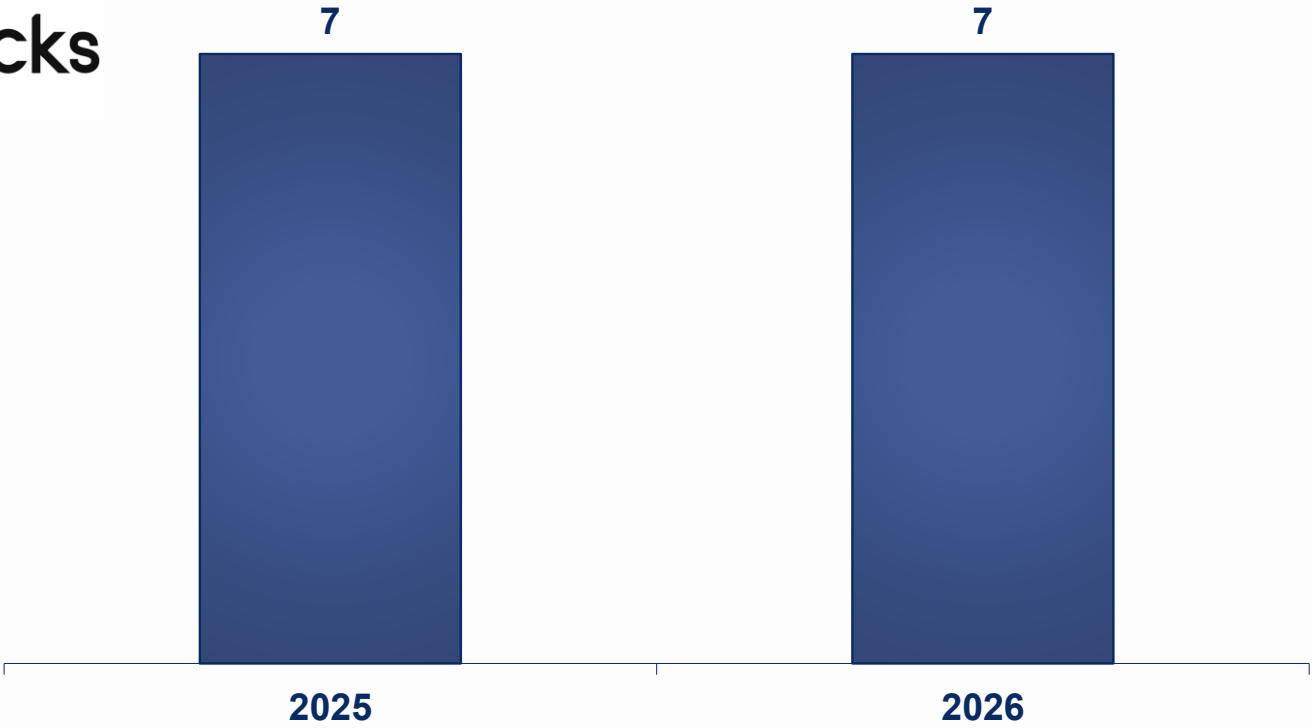


Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

***Zocks Communications Has Seven Institutional Partners,
Consistent Since 2025***



**Zocks Communications
Institutional Partners**



2026 = 7/21/26

2025 = 7/21/26

Source: 8/18/26 Zocks Communication Website; 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Google Gemini Search Results; 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications' Institutional Partners Include eMoney Advisor, Holistiplan, Orion Advisor Solutions, & Redtail Technology

Zocks Communications Institutional Partners

- **FMR (Fidelity Investments)**
 - **eMoney Advisor**
- **Holistiplan**

- **Orion Advisor Solutions**
 - **Redtail Technology**
- **Practifi**

- **Starburst Labs**
 - **Wealthbox**
- **Zoom Communications**

Syns bidirectionally with client relationship management (CRM) tools, financial planning software, tax software, & portfolio management tools (these two-way integrations are building switching costs)

Client relationship management (CRM) integration with Practifi Redtail Wealthbox

Financial planning software integrations with eMoney Advisor (document Intelligence integration extracts client data from financial documents into the planning platform)

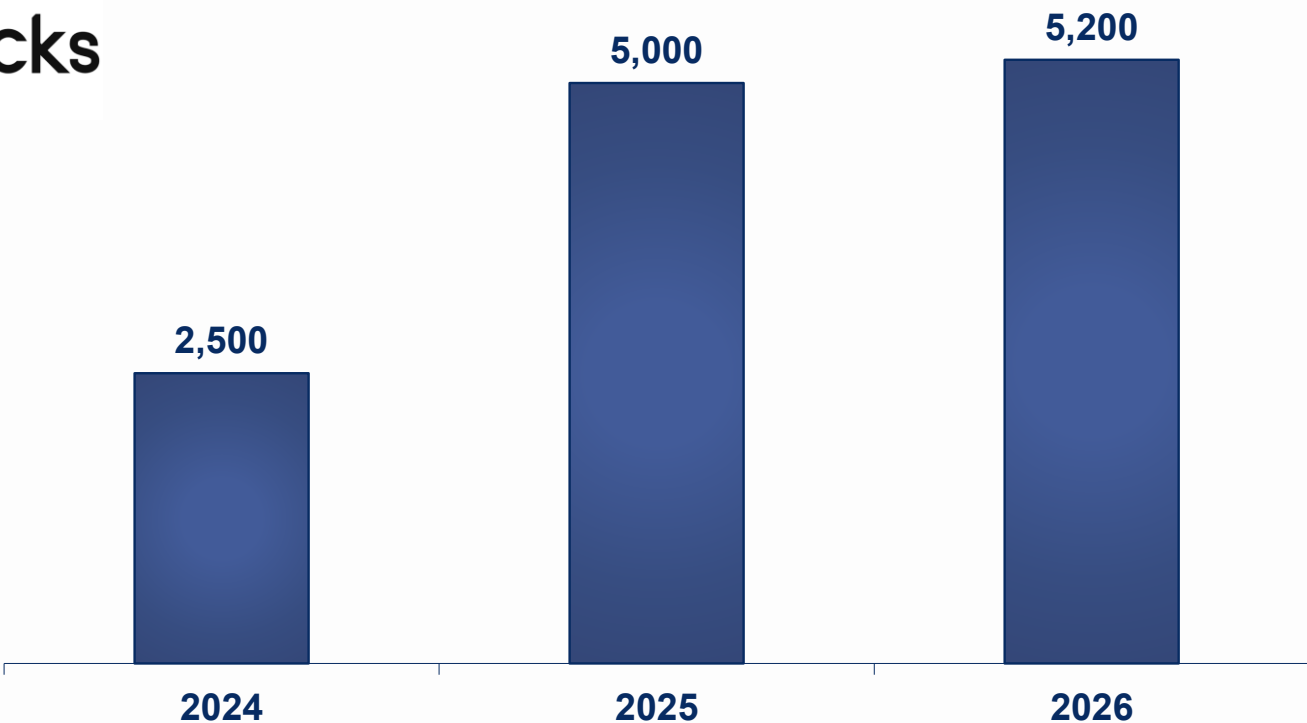
Portfolio management & accounting integration with Orion Advisor Solutions (surfaces client portfolio data during conversations)

Incumbent custodians, client relationship management (CRM), and planning platforms represent the principal medium-term competitive threat (as conversation-capture becomes commoditized, platform incumbents could bundle native equivalents, pressuring standalone pricing)

Zocks Communications Serves 5,200 Institutional Clients, Up From 2,500 in 2024



Zocks Communications Institutional Clients



Broker/dealers and financial advisor aggregators emerging as primary growth engine

2026 = 7/21/26

2025 = 7/8/26

Count of Institutional Clients on next page: 20

Source: 8/18/26 Zocks Communication Website; 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Google Gemini Search Results; 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications' Institutional Clients Include Aretec Group, Hightower Holding, Kestra Holdings, & Osaic Holdings



Zocks Communications Institutional Clients

- **Affiliated Advisors**
- **Ameritas Mutual Holding Company**
 - Ameritas Advisory Services
 - Ameritas Investment Company
- **Aretec Group**
- **Cambridge Investment Group**
 - Cambridge Investment Research

- **Carson Group**
 - Carson Wealth
- **Concurrent Investment Advisors**
- **Creative One Marketing**
- **Hightower Holding**
- **JWC Wealth Partners**
- **Kestra Holdings**
 - Kestra Financial
- **LPL Financial Holdings**
 - Commonwealth Financial Network
- **Mariner Wealth Advisors**

- **Mutual**
- **NewEdge Capital**
 - NewEdge
- **Osaic Holdings**
- **RFG Holdings**
 - RFG Advisory
- **Silver Oak Securities**
- **TAG**
- **Triad Partners**
 - Triad Wealth Partners
- **United Planning**
 - United Planning Financial of America

Operates in the United States of America and Canada

Cambridge Investment Research: First broker/dealer client

Carson Wealth: First substantial fee-based financial advisor (RIA) client

Hightower Holding: Named Zocks as its exclusive Artificial Intelligence (AI) assistant

Osaic Holdings: Named Zocks an official vendor for its 11,000 financial advisors

Many LPL Financial Holdings offices

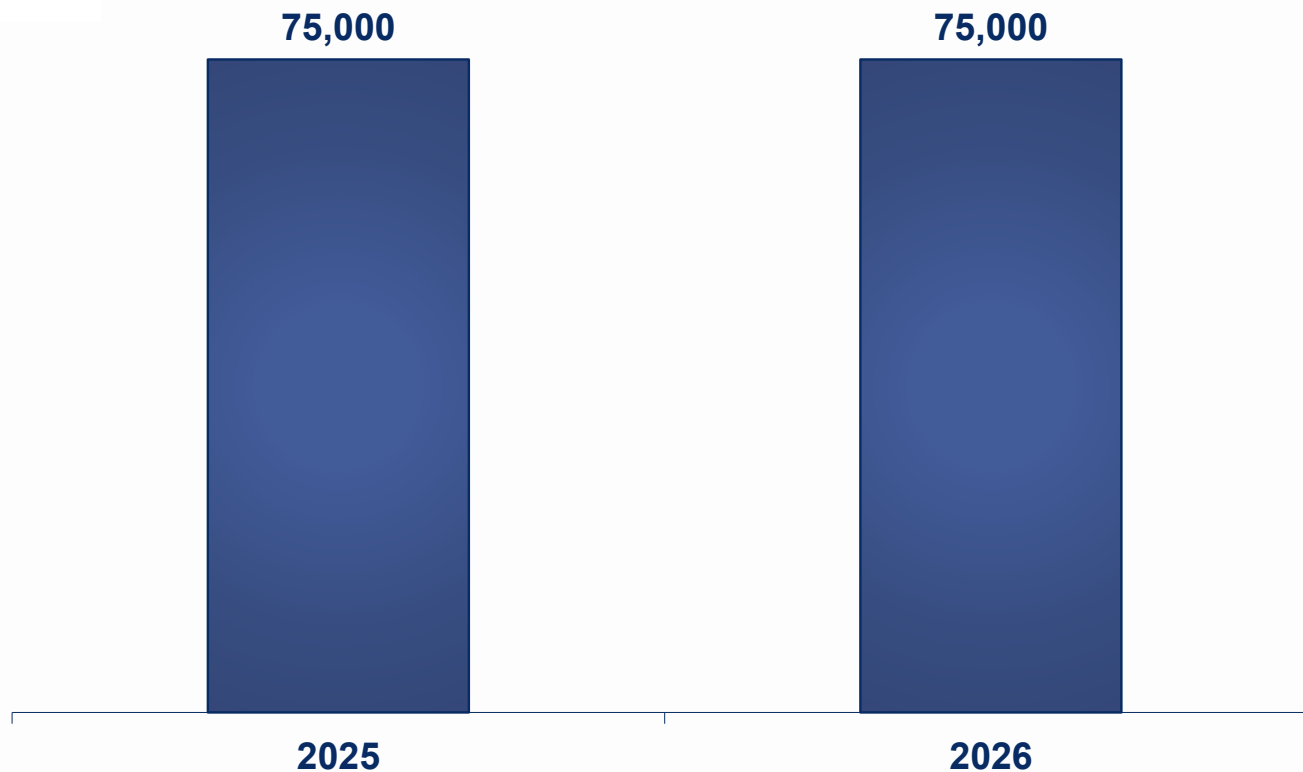
Serves six of top eight fee-based financial advisors (RIAs)

Source: 8/18/26 Zocks Communication Website; 7/21/26 Zocks Communications Conversation (Latow), Communications Website; Tiburon Research & Analysis

Zocks Communications Serves 75,000 Institutional Clients Financial Advisors, Consistent Since 2025



Zocks Communications Institutional Clients Financial Advisors



2026 = 8/18/26

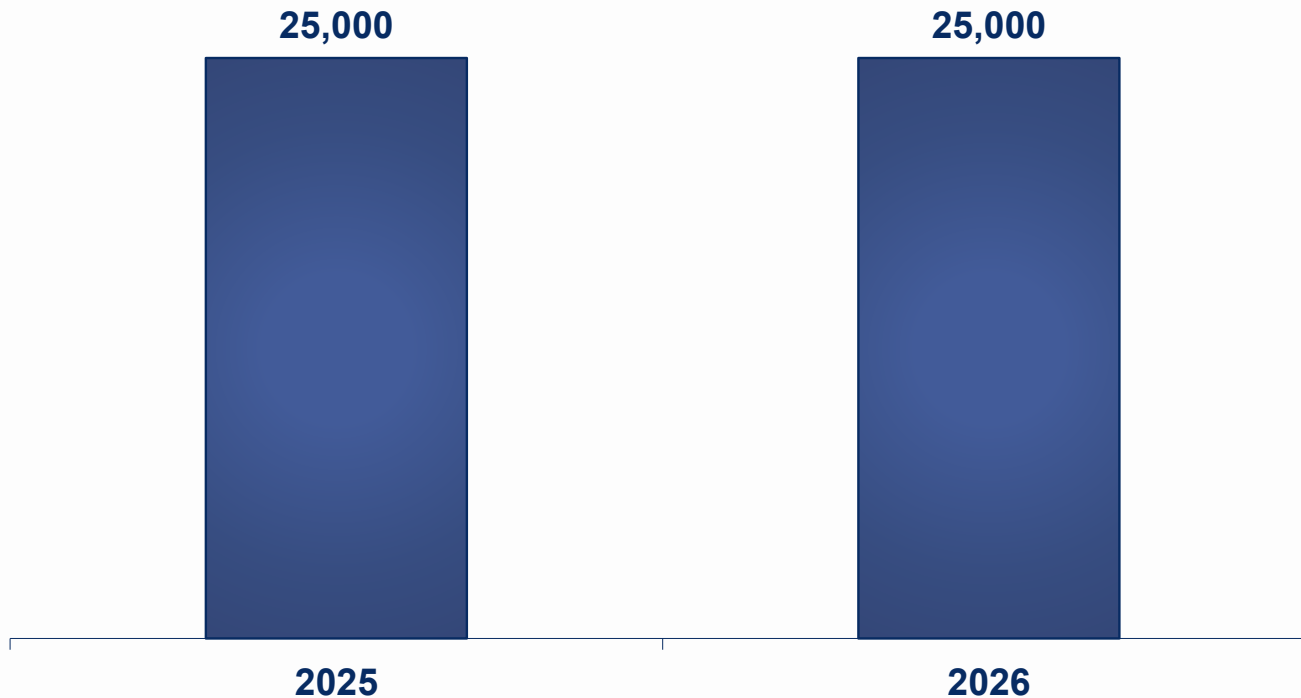
2025 = 8/18/26

Source: 8/18/26 Zocks Communication Website; 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Serves 25,000 Weekly Active Users, Consistent Since 2025



Zocks Communications Weekly Active Users



2026 = 7/21/26

2025 = 7/21/26

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Generates Revenues

Zocks Communications Revenues (\$ Millions)



Needs data

Primarily
charges per
user seat
license

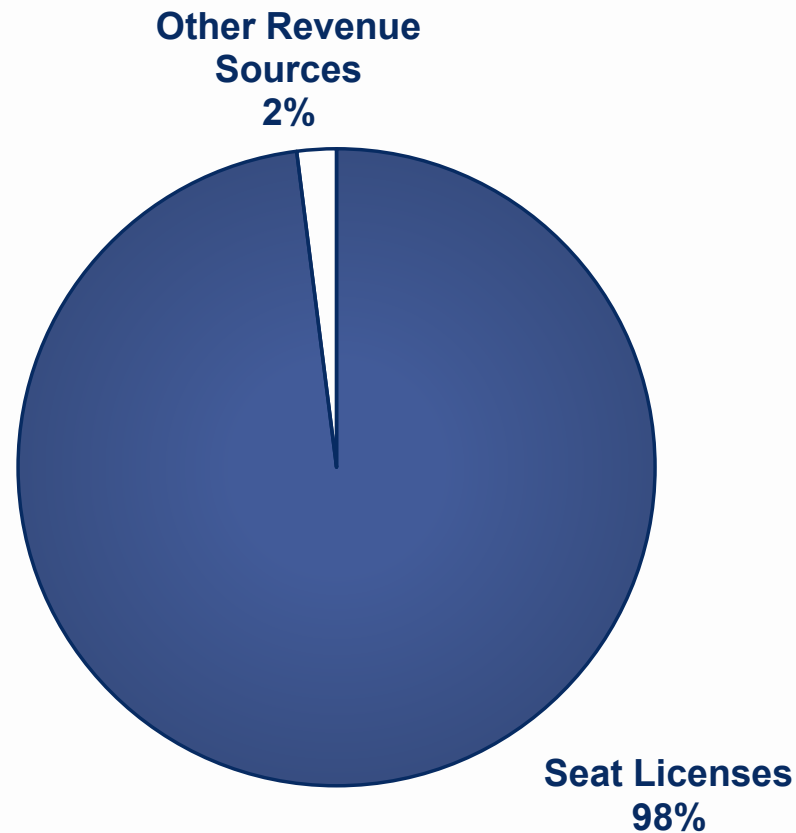
Might need to add
consumption &
compute charges as
move into artificial
intelligence (AI)
systems (e.g., scour
all past emails to find
signals)

2024 2025

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications' Revenues are Almost All Generated by Seat Licenses

Zocks Communications Revenues By Source



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has Expenses

Needs data

Key expense items are people and compute (e.g., Large Language Models (LLMs))

Zocks Communications Expenses (\$ Millions)



2024 2025

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Earns Earnings Before Interest, Taxes, Depreciation, & Amortization (EBITDA)

Needs data

Zocks Communications Earnings Before Interest, Taxes, Depreciation, & Amortization (EBITDA) (\$ Millions)



2024

2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Earns \$____ Million

Needs data

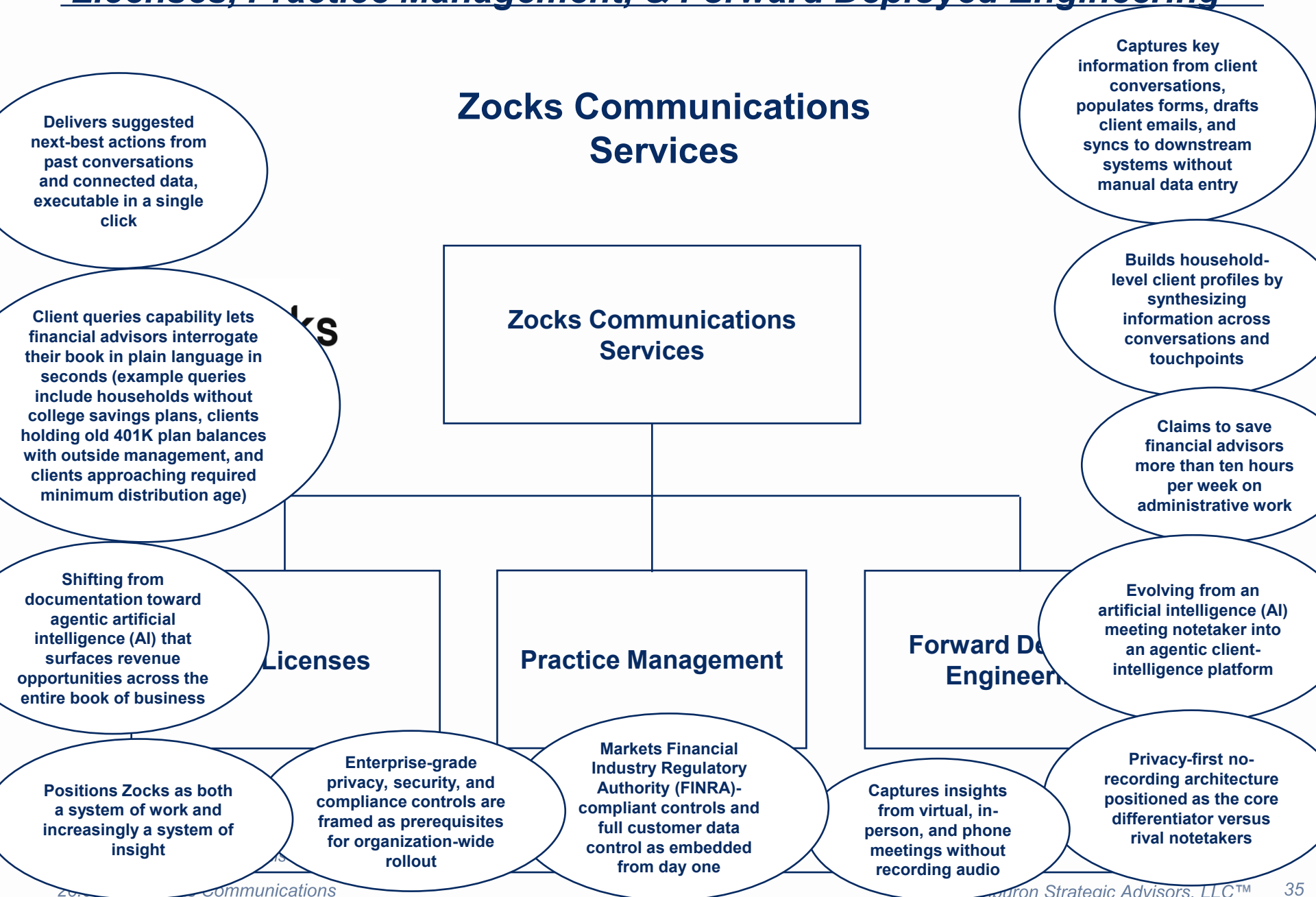
**Zocks Communications
Net Profits
(\$ Millions)**



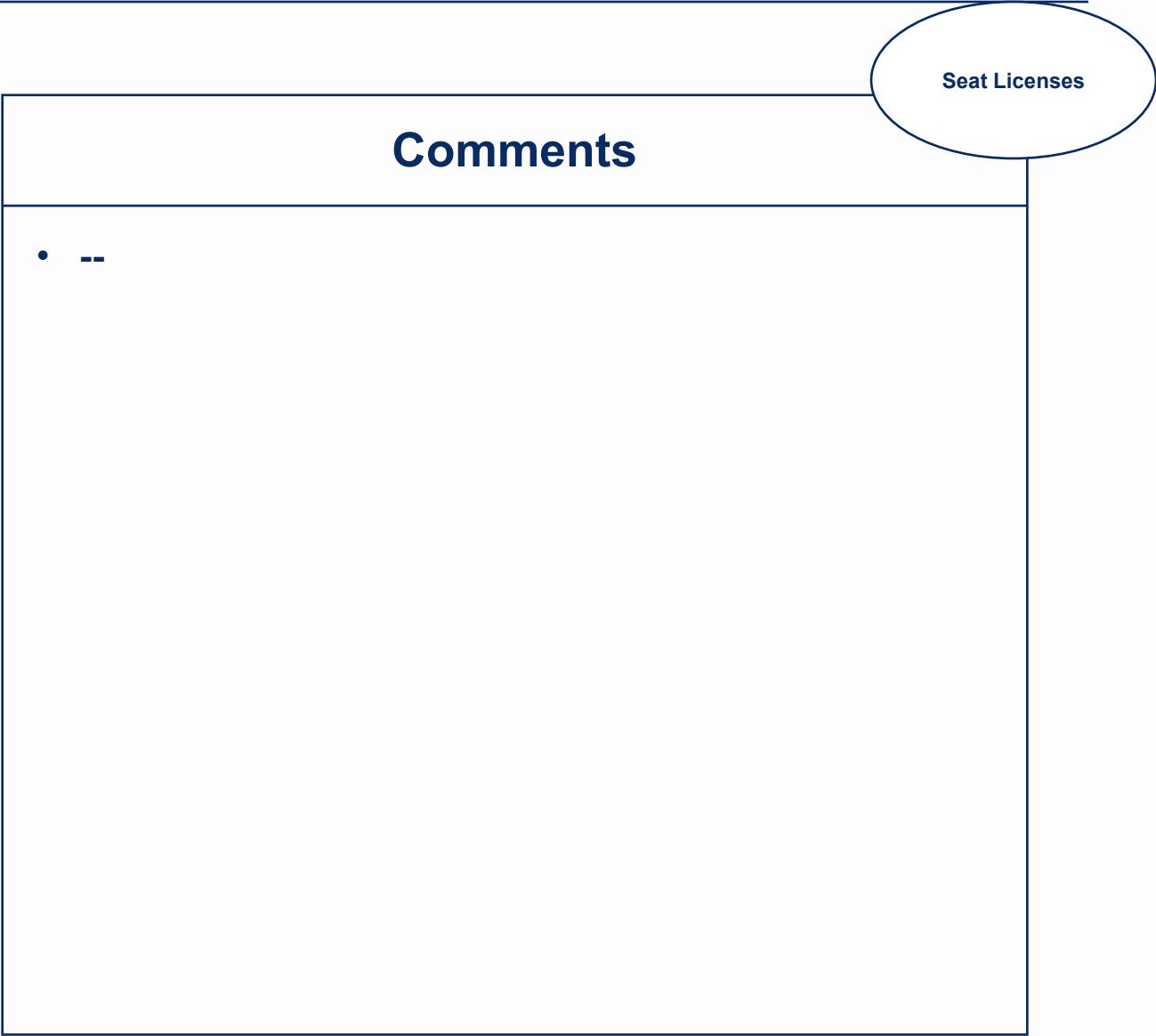
2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has Three Core Services, Including Seat Licenses, Practice Management, & Forward Deployed Engineering

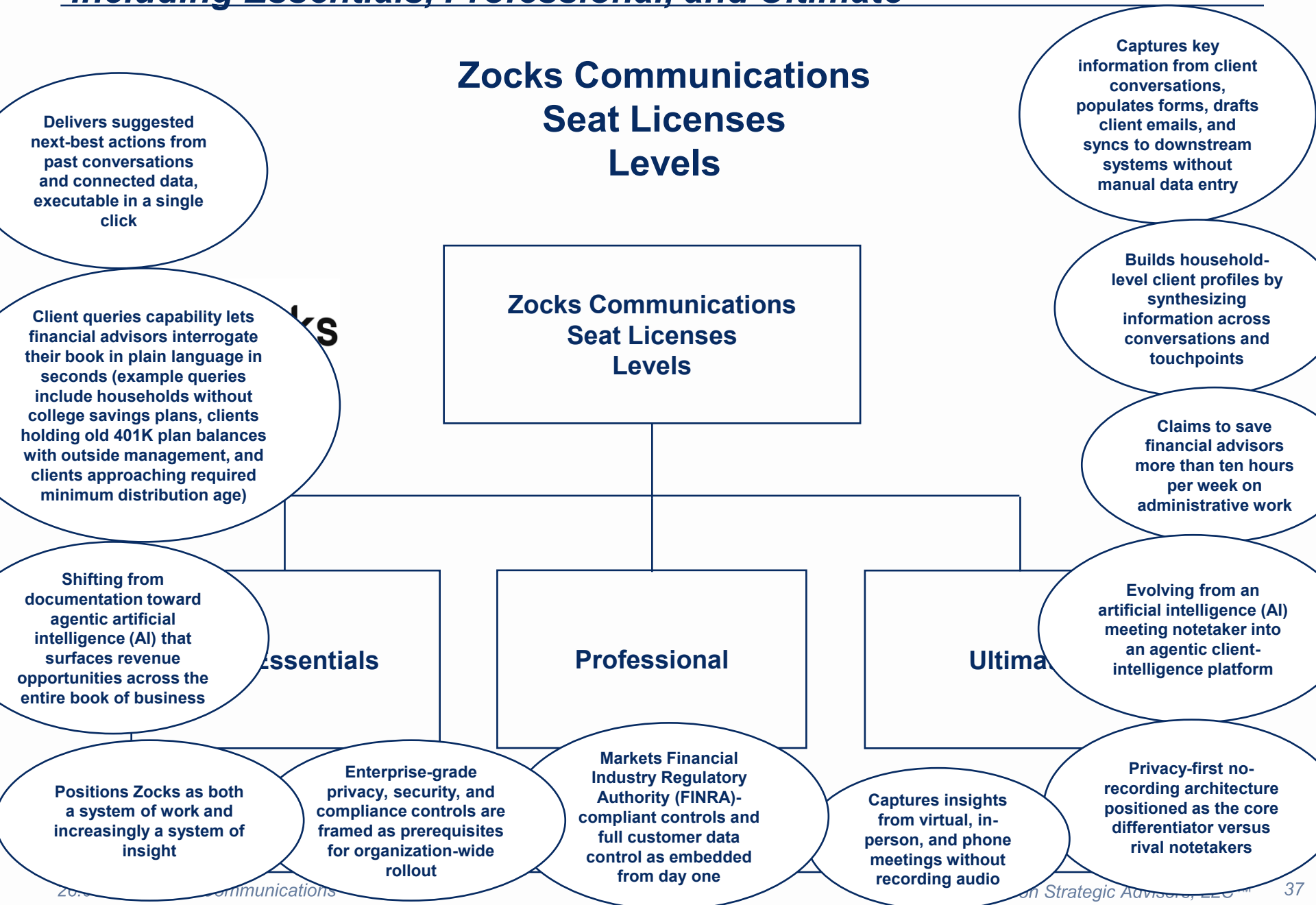


Zocks Communication's First Service is Seat Licenses



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Seat License Service Offers Three Levels, Including Essentials, Professional, and Ultimate



Zocks Communication's Seat Licenses' First Level is Essentials



Comments	
•	--

Essentials

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communication's Seat Licenses' Second Level is Professional

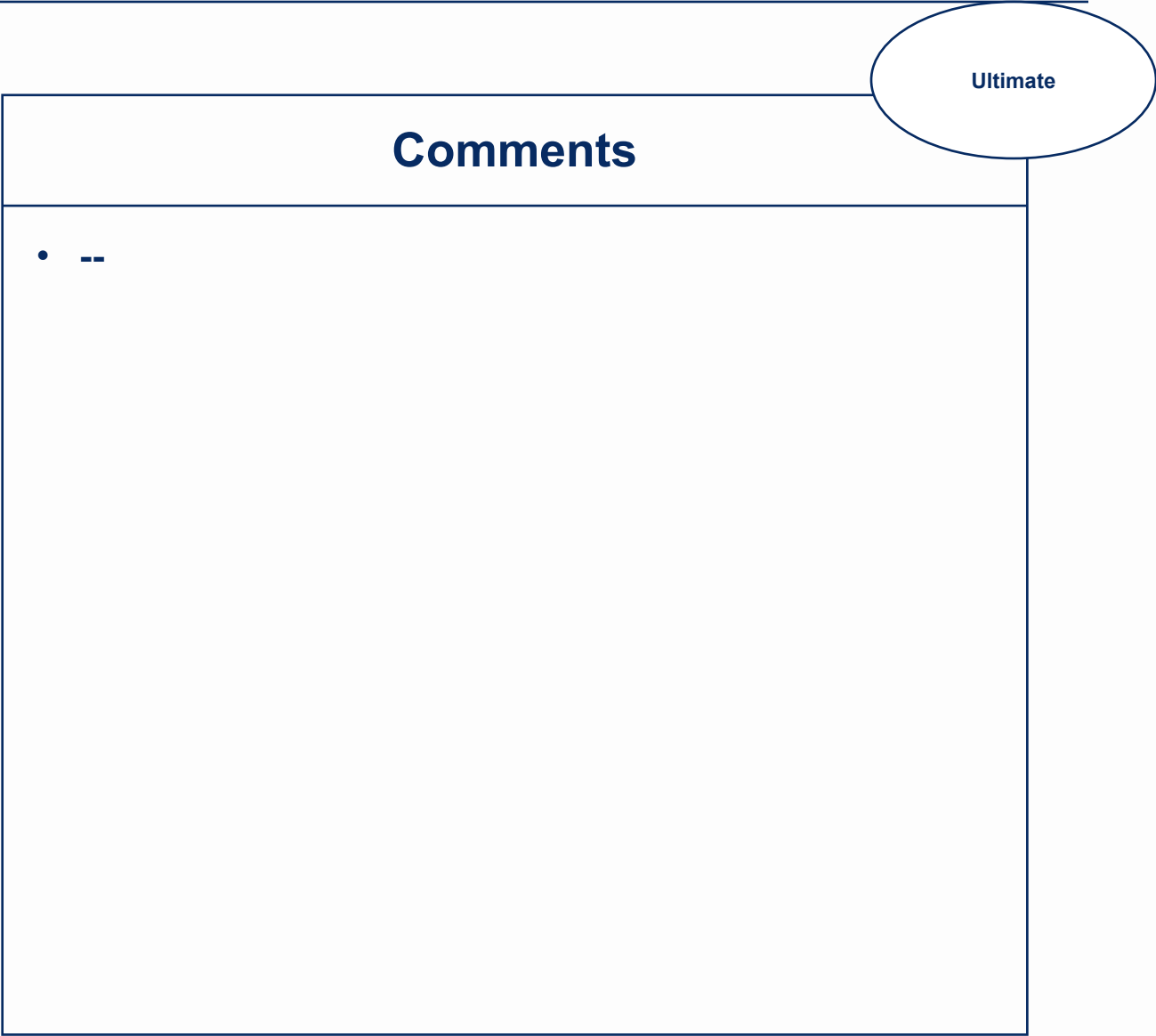


Professional

Comments

• --

Zocks Communication's Seat Licenses' Third Level is Ultimate



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communication’s Second Service is Practice Management



Comments

-

Practice Management

Zocks Communication's Third Service is Forward Deployed Engineering

Forward
Deployed
Engineering

Comments

- --



Zocks Communications is Led by its CEO Mark Gilbert and Chief Operating Officer Laurence Trifon

Zocks Communications Organizational Chart

Other
Executives:
Michael Murphy
(Vice President,
Marketing)



Mark Gilbert
CEO

Laurence Trifon
Chief Operating
Officer

Steven Latow
Chief Strategy
Officer

Jim Hardeman
Executive Vice
President
Product

Matt Halloran
Chief
Evangelist

Drew DiMarino
Chief Revenue
Officer

Akos Ratku
Chief
Technology
Officer

Note: Mark Gilbert co-founded the firm in 2022; he was previously at Hearsay Systems; Microsoft Corporation; & Twilio; Laurence Trifon joined the firm in 2026; he was previously at Contentful; Quartile; & Twilio; Steven Latow joined the firm in 2024; he was previously at Custodia Bank, FactSet, & Hearsay Systems; Jim Hardeman joined the firm in 2023; he was previously at ComplianceMetrix, Mosaic Strategic Advisors, & VentureSouth; Matt Holloran joined the firm in 2025; he was previously at Allexperts.com & ProudMouth; Drew DiMarino joined the firm in 2025; he was previously at Apiture, Riskalyze; & SingleOps; Akos Ratku co-founded the firm in 2022; he was previously at Evosoft; Hearsay Systems; & Starschema

Source: 7/30/26 LinkedIn Website; 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has a Board of Directors that Includes XX, XX, & XX

**Zocks Communications
Board of Directors**

-- (Chairman)	--	--	--	--
--	--	--	--	-- 

Zocks
Communications,
Inc. CIK#:
XXXXXXXXXX

Comments

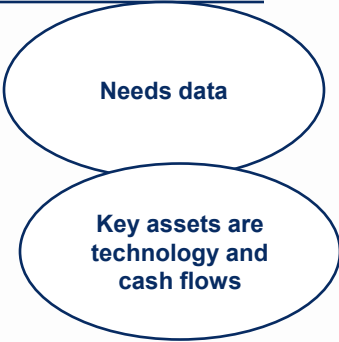
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Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has Assets

Zocks Communications Assets (\$ Millions)



Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has No Debt

Zocks Communications Debt (\$ Millions)

2026 = 7/21/26

2025 = 7/21/26



\$0

2025

\$0

2026

Source: 7/21/26 Zocks Communications Conversation (Latow); 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has Liabilities

Needs data

Zocks Communications Liabilities (\$ Millions)



2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Has Shareholders Equity

Needs data

Zocks Communications Shareholders Equity (\$ Millions)



2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Earns... Per Share

Needs data

Zocks Communications Earnings Per Share



2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications Declares... Dividends Per Share

Needs data

Zocks Communications Dividends Per Share



2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Needs data

**Zocks Communications
Dividend Yield**



Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communication's Stock Price is...

Needs data

**Zocks Communications
Stock Price**



2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Needs data

**Zocks Communications
Shares Outstanding**



Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communication's Market Capitalization is...

Needs data

**Zocks Communications
Market Capitalization
(\$ Millions)**



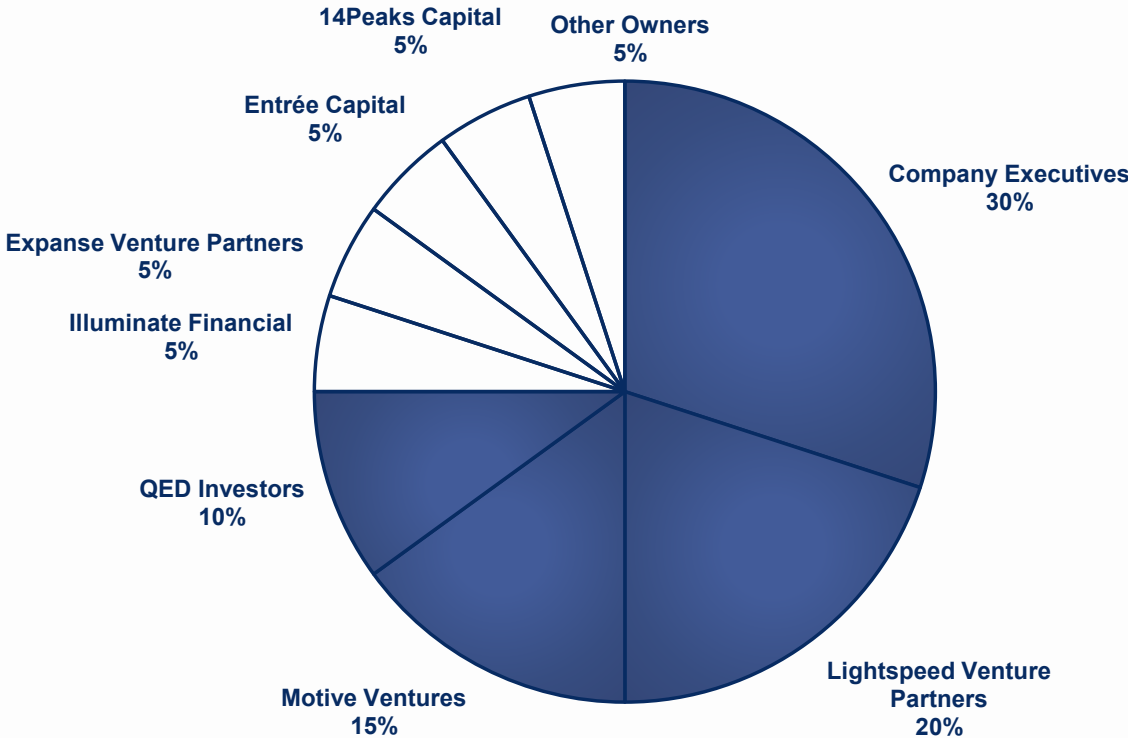
2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communications is Owned by Company Executives, Lightspeed Venture Partners, Motive Ventures, QED Investors, & Other Investors

Estimates

**Zocks Communications
Ownership
By Owner**



Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis

Zocks Communication's Stock Volume is...

Needs data

**Zocks Communications
Stock Volume**



2024 2025

Source: 7/8/26 Zocks Communications Website; Tiburon Research & Analysis



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Industry Leading Think Tank, Advisor, and Investor in
Wealth & Investment Management (& WealthTech) Firms