

JOHN A. RODGERS, III
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EXPERIENCE

John Rodgers & Associates, Charlotte, NC 2004 – Present
Principal, Estate, Trust, Investment Management & Fiduciary Litigation Consulting and Expert Witness Services

Reliance Trust Company, Atlanta, GA 2006 – Present
Institutional Trust Marketing Consultant, Provide directed/administrative trust services for clients of broker/dealer firms and Registered Investment Advisors

Community Trust of the Southeast, Charlotte, NC 2004 - 2006
Managing Director – Trust Services, Provide directed/administrative trust services for clients of broker/dealer firms and Registered Investment Advisors

Dunham Trust Company, Charlotte, NC 2001- 2004
Chief Executive Officer, Trust Counsel, Director

Cannon Financial Institute, Charlotte, NC 2000-2001
Consultant/ Instructor, Adjunct Professor

Presented “Growing Your Business Through Comprehensive Wealth Management” nationally to over 500 brokers, financial planners, and bankers to introduce the Eaton Vance U.S. Gift Trust/ Pooled Income Fund/ Donor Advised Fund.

IJL WACHOVIA, Charlotte, NC 1997-2000
Senior Vice President, Director of Trust Services

Empowered and trained 500 IJL Wachovia Financial Consultants, located in 60 branches between Atlanta and Richmond, to capture new trust assets, and retain existing client trust assets, and their accompanying revenue stream, through the development of personal trust accounts.

- *Self trusted living trust account assets grew by 35% during 1999 to \$1.4Billion with the average account size up 11% to \$350,000 – over four times the size of an average brokerage account. The assets in these accounts represent 14% of total firm assets.*
- *IJL Wachovia client trust assets at affiliated Reliance Trust Company increased by 68% during 1999 to over \$100Million with the average account size increasing by 42% to \$850,000, primarily through the Trust Transfer Program.*

- *During 1999 Trust Services prepared over 60 client estate valuations covering \$100Million in deceased client assets for Key Estate Accounts where the average account size was \$1.4Million.*
- *Combined an objective investment management consulting process with personal trust administration to allow the Financial Consultants to offer multiple outside investment managers, and multiple investment styles, in a Master Personal Trust Account. The trust beneficiary is no longer required to use only the proprietary investment products of the trustee. This unique process allows the Financial Consultant to demonstrate value added in the trust relationship.*

PRUDENTIAL SECURITIES, New York, NY *1995-1997*

First Vice President, Director of Estate Management and Trust Services

Packaged and presented personal trust services to over 700 Prudential Securities Financial Advisors, doubled personal trust assets under management at affiliated Prudential Bank, FSB. Managed sales efforts of eight Investment Management and Personal Trust Regional Coordinators. Developed strategic marketing plan with Sotheby's. Active in National Society of Fund Raising Executives for promotion of charitable remainder trusts/life insurance trusts. Supervised staff of six in New York Sales Desk.

AMERICAN GUARANTY & TRUST COMPANY, Wilmington, DE *1992-1995*
Senior Vice President, Director of Institutional Sales, National Product Manager

Developed Designated Trustee relationship with Paine Webber resulting in over \$200Million in new trust assets with an average account of \$650 thousand. Introduced a managed money sales training program to selected registered representatives during 1994 producing \$100Million in new managed assets by the end of 1995. Trust services were also offered through community banks in high net worth markets through the Correspondent Trust Program.

SHEARSON LEHMAN TRUST COMPANY, Wilmington, DE *1988-1992*
President, Director

TRUSTCORP OF AMERICA, INC., New Orleans, LA *1986-1988*
Executive Vice President

FIRST NBC, Trust Division, New Orleans, LA *1980-1986*
Senior Vice President, Manager, Trust Division

As Chairman of the Trust Investment Committee performed both the initial review of securities in new trust accounts as required by Regulation 9 of the Office of the Comptroller of the Currency to be in compliance, and performed annual review of all trust accounts for constancy with stated investment objectives and issues of suitability.

*UNITED STATES TRUST COMPANY OF NEW YORK, Palm Beach, FL 1978-1980
Senior Marketing Officer, Florida Investment Representative Office*

*FLAGSHIP NATIONAL BANK, Miami, FL 1977-1978
Trust Division, Business Development Department*

*CONTINENTAL BANK, Chicago, IL 1964-1977
Vice President, Trust Department – Business Development Division*

PROFESSIONAL AND CIVIC ACTIVITIES

Member, Illinois Bar

Financial Industry Regulatory Authority (“FINRA”) Series 7(General Securities License) and 24(Registered Principal), and 63.

Member – Trust Committee, Louisiana Bankers Association

Member – Chicago Bar Association, Chairman, International Law Committee

Member – Dade County (FL) Bar Association Probate Practice Committee

Member – North Carolina Bar Association Estate Planning AND Fiduciary Law Section

EDUCATION

University of Virginia School of Law, L.L.B., 1964

Cornell University, B.A., 1961

A.B.A. National Trust School, 1967

17th Annual National Expert Witness Conference, June 18 – 20, 2008

Sponsored by SEAK in Hyannis, MA