



**GUY RODGERS**

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PRIVATE WEALTH STRATEGIES

CLARITY.  
CONFIDENCE.  
CONCIERGE CARE.

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Investment and insurance products: Not Insured by FDIC or any Federal Government Agency. MAY Lose Value. Not a Deposit of or Guaranteed by a Bank.

**OUR APPROACH** - We are an independent wealth management firm based in Mansfield, Texas helping people take control of their financial futures. Our aim is to positively impact our clients by providing ongoing consultative assistance, allowing them to take charge of their finances. We accomplish this by simplifying, organizing, and executing financial strategies in harmony with our multi-generational clients' goals. We coach, teach, mentor, and guide with genuine authenticity in our client's best interest. We care about serving our clients with passion and integrity.

**Guy Rodgers Private Wealth Strategies** has over 20 years of combined experience as valued advisors to a select number of families and institutions. We are committed to helping you plan effectively, invest wisely, and map a realistic course for your future.



**Guy K. Rodgers, J.D., AAMS**  
LPL Financial Advisor

[guy@grpws.com](mailto:guy@grpws.com)

As the founding partner of Guy Rodgers Private Wealth Strategies, Guy has had the privilege of being a valued advisor to families and institutions for over 10 years. He has been instrumental in assembling the team, defining the long term vision, and putting in place the structure and processes to effectively deliver exceptional service for clients. Guy brings energy, enthusiasm and creativity to the team and to our family of clients.

**Aida M. Chinappi**  
Administrative Assistant,

[aida@grpws.com](mailto:aida@grpws.com)

After graduating from Texas Wesleyan University with a Bachelors in Legal Studies and Certification as a Paralegal, Aida worked for two of the nations top family law firms. With over 20 years of experience in the legal field, Aida brings extensive knowledge and a unique expertise to the table.

WHEN YOU BECOME A CLIENT, YOU BECOME  
A PART OF OUR WORK FAMILY.

## WE HELP CLIENTS ACHIEVE:



**CLARITY.** Get your arms around all of your financial affairs. See your situation in fresh and revealing ways and identify issues often overlooked.



**CONFIDENCE.** Know that you have a plan in place and that you are on track in pursuit of your life's goals.



**CONCIERGE CARE.** Have your financial affairs thoughtfully and thoroughly organized, guided by a highly trained and qualified team of professionals.

DO YOU  
HAVE ANY  
FINANCIAL  
BLIND SPOTS?

## BY ADDRESSING: THE 10 CRITICAL WEALTH MANAGEMENT CONCEPTS

**1** Family Financial Overview

**2** Develop A Plan

**3** Wealth & Investment Management

**4** Liability Management

**5** Retirement Plans & Company Benefits

**6** Retirement Income Planning

**7** Insurance & Asset Protection

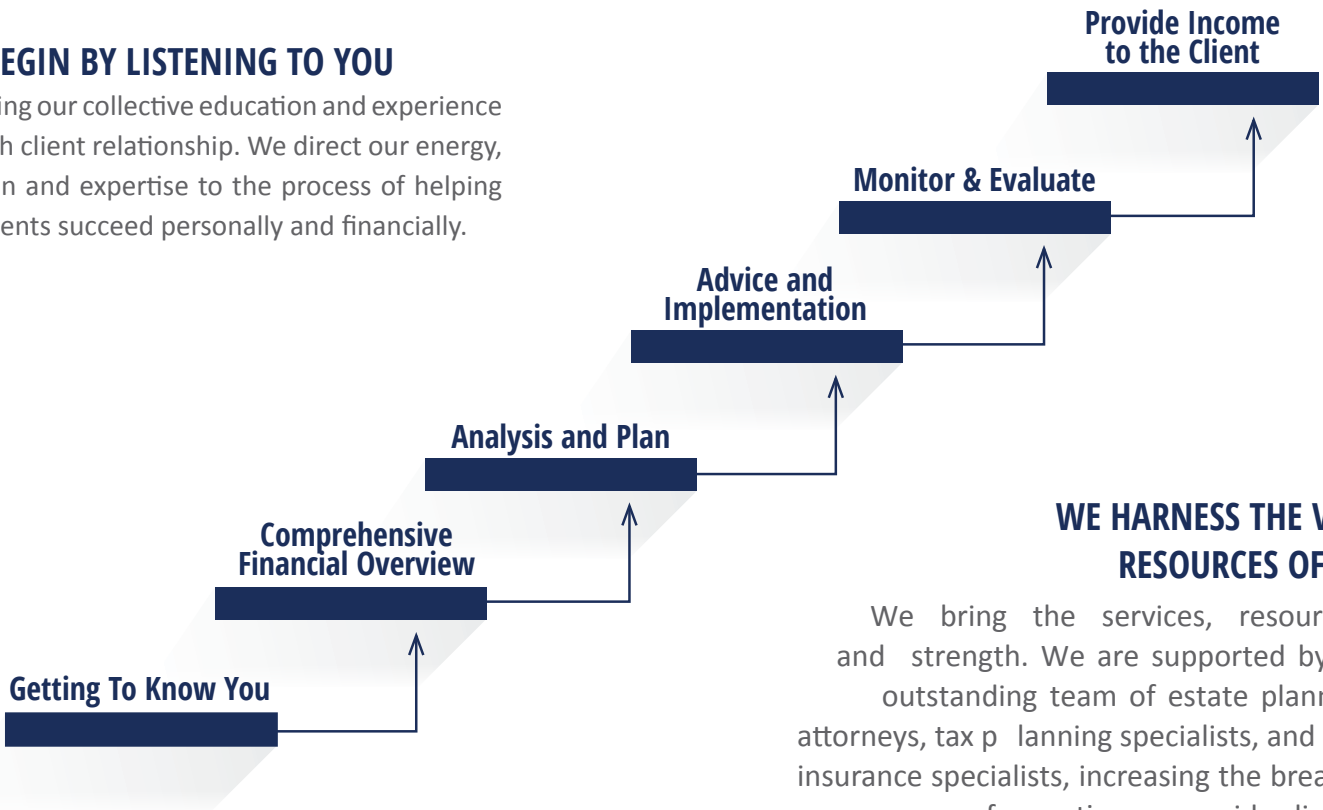
**8** Estate Planning & Philanthropy

**9** Advanced Planning

**10** Coordination with CPA & Attorney

## WE BEGIN BY LISTENING TO YOU

We bring our collective education and experience to each client relationship. We direct our energy, passion and expertise to the process of helping our clients succeed personally and financially.

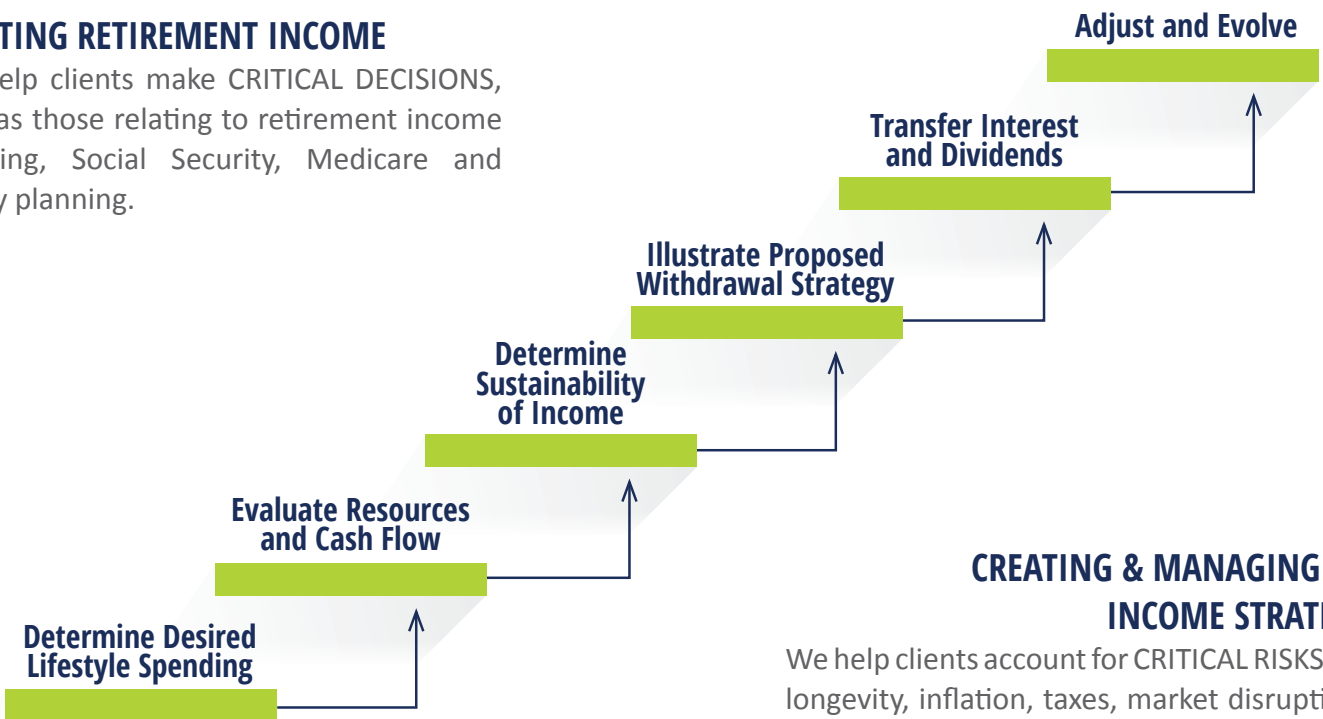


## WE HARNESS THE VAST RESOURCES OF LPL

We bring the services, resources, and strength. We are supported by an outstanding team of estate planning attorneys, tax planning specialists, and insurance specialists, increasing the breadth of expertise we provide clients.

## CREATING RETIREMENT INCOME

We help clients make CRITICAL DECISIONS, such as those relating to retirement income planning, Social Security, Medicare and legacy planning.



## CREATING & MANAGING AN INCOME STRATEGY

We help clients account for CRITICAL RISKS like longevity, inflation, taxes, market disruptions and increasing health care costs.

## GOING THROUGH A DIVORCE

Divorce is a major life change that can bring emotional and financial stress. We understand this is a difficult time for you. Your financial advisor is a trusted resource to help you walk through many of the financial decisions you may need to make.

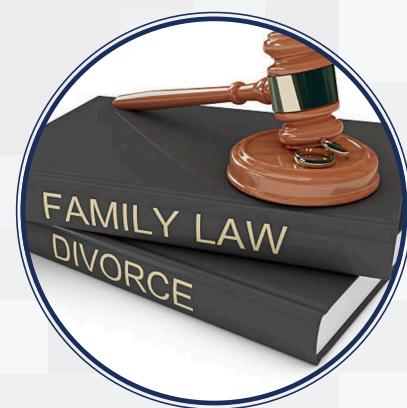


## WE ARE UNIQUE IN WHAT WE DO

Guy's previous career as a certified divorce attorney gives him an unmatched perspective. He understands the divorce process and is specially positioned to assist the client and attorneys through the financial mine field presented by a divorce.

## How can we assist?

1. Pre-Divorce Assistance
2. Inventory Reviews
3. Mediation and Settlement Strategies
4. Transfer of Retirement and/or 401k Accounts
5. Assist in Beneficiary Designation Changes



## Why meet with a financial advisor during or after a divorce?

Meeting with Guy helps ensure that you have been provided with proper financial advice as you begin the divorce recovery process. Most clients find this complimentary service to be the perfect springboard to a fresh start and a sound future. This important step helps answer any questions that you may have regarding withdrawals or rollovers from the monies you were awarded. Proper planning may help avoid unnecessary tax and penalties on the monies you and your attorney have worked so hard to preserve.

## OUR ETHICAL PLEDGE

### We Will:

- Adhere to the highest level of duty and loyalty to our clients by always acting in good faith and putting their interests first.
  - Operate our business according to the highest standards of professionalism in the industry.
  - Clearly explain strategies, features, realistic returns, and risks that may affect the performance and values of what we recommend while striving to make recommendations that carefully balance current and future needs, so there is no undue sacrifice or risk.
  - Make every effort to help protect client assets from fraud and keep client information private.
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## OUR COMMITMENT TO CLIENT SERVICE

### We Provide:

- **FACE-TO-FACE** or **VIRTUAL MEETINGS** that include comprehensive planning and an annual review.
- **JOINT MEETING(S)** with your accountant(s) or attorney(s) where appropriate.
- Regular and **PROACTIVE CALLS** from your advisors and your support team.
- A **SOUNDING BOARD** or second opinion for friends and loved ones who have concerns about their financial situations.
- **INVESTMENT ADVICE** that is independent, objective and unbiased.
- Creative and consistent **COMMUNICATION OFFERINGS** delivered electronically, through social media or face-to-face.
- **CONCIERGE CARE.**

## **Case Study: Discipline Retired Executive**

GRPWS Client: Age 65+, recently retired executive with adult children and grandchildren.

### **Blue Folder Discoveries**

- Over exposed to market risk
- Forced to delay retirement
- Significant debt load

### **Blue Folder Discoveries**

- Rework of investment plan
- Risk management
- Planned for an income stream in retirement
- Restructured portfolios
- Outlined contribution schedule
- Insurance and debt review
- Heightened ongoing review schedule

## **Case Study: Business Retirement Plan Law Practice**

GRPWS Client: Law practice, Trustee-directed 401(k) and cash-balance plan.

### **Blue Folder Discoveries**

- Seeking competitive employee benefit offerings
- Transitioning to participant directed 401(k)
- Ease-of-use Online options
- Low cost
- Easy Administrative transition
- Ongoing employee financial planning opportunities

### **Blue Folder Discoveries**

- Participant-directed Safe Harbor 401(k) with cash-balance component
- Comprehensive, due-diligence review of investment options
- Comprehensive, due-diligence review of low-cost, high-quality, ease-of-use investment options
- Personalized transition service for each employee
- Target allocation investment options
- Employee investment planning

## **Case Study: Accessibility Recent Widow**

GRPWS Client: Early 60's, retired recent widow.

### **Blue Folder Discoveries**

- Income needs through retirement
- Multiple investment and annuity accounts
- No experience with financial concepts
- No Long Term Care
- Mortgage concerns
- No CPA relationship

### **Blue Folder Discoveries**

- Consolidation and simplification of accounts
- Review of all annuities and interface with insurance companies
- Investment portfolio redesign
- Access to lending services through Wells Fargo affiliates
- Ongoing financial education

## **Case Study: Accessibility Recent Divorce**

GRPWS Client: Early 40's Independent consultant, two children

### **Blue Folder Discoveries**

- Income needs through retirement
- College education for kids
- Limited experience with financial concepts
- Uncertain alimony and child support
- No CPA Relationship

### **Blue Folder Discoveries**

- Consolidation and simplification of accounts
- Insurance review
- Education funding plan
- Investment portfolio redesign
- Access to lending services through Wells Fargo affiliates
- Ongoing financial education

## STRIKE THE PROPER BALANCE

Diversification - spreading your assets among investment types, styles, and markets is one of the few time-tested strategies for investors with long-term financial goals.



## RESIST THE URGE

When tempted by current market conditions we counsel clients to stay true to their long-term plan. The buzz in the investment markets is ongoing, but desire and impulses are never good substitutes for rational thought and a disciplined approach.

Diversification does not ensure a profit or protect against loss in declining markets.

## WE BELIEVE

- In putting clients first, all the time.
- Everyone has goals and needs a plan.
- The true enemies of wealth are taxes, inflation, and human emotion.
- Complexity should be avoided.
- We can help minimize debt and manage it prudently.
- Successful investing employs patience and discipline.
- In diversifying to help minimize losses in down markets. Good decisions arise from facts, numbers, experience, and values
- Risks should be clearly understood and communicated.
- Costs should be fully disclosed and value delivered.
- The media amplify emotion and volatility in the markets.
- Disaster, bad news, and fear often create bargains.
- If it sounds too good to be true, it usually is.
- It's important to remember where it came from.



Through this **EXCLUSIVE** program, the Guy Rodgers team may invite key clients or prospects along with their attorney and/or CPA for a one-day educational experience at LPL's corporate headquarters. Customized presentations and discussions feature leading strategists who will provide support in these core competencies:

Portfolio  
Design

Investment  
Management

Retirement  
Income

Business Assets/  
Executive Benefits

Estate  
Strategies

Banking and  
Lending\*

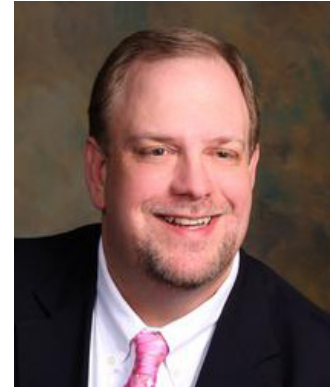
## EDUCATIONAL TOPICS INCLUDE:

- Diversification and hedging strategies for large **concentrated positions**
- An update on current **income and estate tax provisions** and how they affect your situation
- Guidance on potential strategies including 10b5-1 plans for **managing company-stock benefits**, such as **stock options** and **restricted stock**
- **Retirement plan** distributions, Roth conversion and beneficiary designation discussions
- Estate planning strategies and alternatives to potentially **lessen estate taxes**
- Sale of your business and/or **business succession strategies**
- **Investment vehicle discussions** including money managers, alternative investments, annuities, and other investment opportunities which may interest you



## VIP BENEFITS:

- You sit across the table from the specialists who have prepared your plan. You can discuss the strategies available and how they might fit into your plan. Your questions will get clarification on-the-spot.
- You take home your comprehensive financial plan complete with a step-by step action plan you and your Financial Advisor can implement. You may also share your plan with your CPA and/or attorney.



**Guy Keith Rodgers**

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Mansfield, TX 76063

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[www.grpws.com](http://www.grpws.com)

## CURRICULUM VITAE

### EDUCATION and LICENSING

- Oklahoma City University School of Law– December 1991 Cum Laude
- Board Certified – Family Law, Texas Board of Legal Specialization - 2002
- FINRA Series 7, Series 6 - 2008
- Texas Insurance License - 2008
- FINRA/SEC Series 24 General Principle License - 2016

### PROFESSIONAL AFFILIATIONS

- Licensed Intern at the Oklahoma County District Attorney’s Office – 1990-1991
- Johnson County Attorney’s Office - 1992-1994
- Misdemeanor Court Chief – (Including CPS, misdemeanors, P.O.’s, juvenile and mental commitments) 1992 - 1994
- The Law Office of Guy K. Rodgers (Cleburne, TX and Stephenville, TX) General Practice - 1994-2008
- Edward Jones – Financial Advisor/Partner 2008 – 2016
- Guy Rodgers Private Wealth Strategies - Financial Advisor/Owner April 2016 - Present
- Member Tarrant County Family Law Bar Association

### PROFESSIONAL AWARDS

- Order of the Barristers – 1991
- American Jurisprudence Award – 1991
- Regional Performance Leader (Supervisory leadership of approximately 50 offices in North Texas) 2014 – 2016
- Ted Jones Award – Edward Jones
- Premier Advisor – Wells Fargo Advisors

### SPEECHES

- 2010 Tarrant County Family Law Bar Association – “Tips & Tricks”
- 2012 Tarrant County Family Law Bar Association – “Financial issues in Divorce Cases”
- 2013 Tarrant County Family Law Bar Association – “Social Security Basics”
- 2014 Tarrant County Family Law Bar Association – “Divorce Social Security Issues”
- 2014 Fort Worth Paralegal Association – “Social Security Basics”
- 2014 North Texas Paralegal Association – “Social Security Basics”
- 2015 Tarrant County Family Law Bar Association – “Fall CLE”
- 2016 Tarrant County Family Law Bar Association – “Tips & Tricks”
- 2016 State Bar of Texas Advanced Family Law Seminar – “Financial and Tax Issues in Divorce”
- 2018 Dallas Bench Bar Panel– “Creative Ways to Divide the Estate”