

JAY L ROGERS
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SUMMARY

Jay Rogers is an investment professional and entrepreneur with more than three decades in the financial services industry. His career began with such firms as Morgan Stanley, Wells Fargo and Bear Stearns and later transitioned to working full-time with family offices and creating diverse investment portfolios. Alpha Strategies was established in 2009 by a group of highly experienced investment professionals with a shared belief that qualified investors are still underserved in their access to deep domain expertise in alternative investments generating consistently high levels of “pure” alpha. It has since grown into a diversified financial services company with specialties in alternative investment consulting, management and litigation support.

Jay is a frequent speaker at industry events regarding family office and alternative investment issues. He has appeared on CNN’s Your Money and is frequently quoted and interviewed for financial publications including the Wall Street Journal, Bloomberg News and NPR. He has presented to audiences at IMN, Opal Financial, IvyPlus, World Research Congress, Marcus Evans, Institutional Investor, and other investment conferences around the country. Jay is a guest lecturer at USC Marshall School of Business and provides expert witness services including testimony for litigation involving securities and investment industry matters.

Jay holds a BS from Northeastern University, is a graduate of the USMC Officer Candidate School in Quantico, VA and has completed graduate courses at Harvard, UCLA and the Wharton School of Business at UPENN. He held multiple securities licenses and was a member of the CFA Institute and the CFA Society of Orange County (CFAOC). He currently sits on the Board of Directors of the Family Office Association and several other private companies.

PROFESSIONAL EXPERIENCE

ALPHA STRATEGIES INVESTMENT CONSULTING – Irvine, CA **2009 – PRESENT**
President

We provide outsourced CIO duties and investment consulting, manager selection and due diligence for select affluent families. In addition, we provide litigation support services for legal disputes around fiduciary duty, investments and business litigation.

FOUR THIRTEEN, LLC – Cheyenne, WY **2019 – 2023**
Chief Executive Officer/Chief Investment Officer

Diversified investment holding company with interests in real estate, private equity & venture capital.

FIVE 9 SECURITIES, LLC **2015 - 2020**
Managing Principal

General Securities Principal and Operations Professional for FINRA registered broker-dealer.

LOANTOPIA, LLC – Irvine, CA **2018 – 2019**
Chief Executive Officer

Hired to turn around a private equity owned consumer lending portfolio operating under a California Finance Lender’s License during a period of political headwinds.

BERGENDAHL HOLDINGS – Irvine, CA **2011 – 2018**
Executive Director and Chief Investment Officer

Bergendahl Holdings is the single family office of a private investor in Orange County, California. Interests included investments in real estate, as well as small and middle market companies, hedge funds, private equity, venture capital, and art.

- ALPHA STRATEGIES INVESTMENT MANAGEMENT – Irvine, CA** **2011 - 2016**
President
 Provided investment management services to a hedge fund and private equity fund-of-funds on a sub-advised basis via California registered investment advisor.
- INDEPENDENT FINANCIAL MARKETING INC. – Pasadena, CA** **2006 – 2009**
Managing Director
 Third Party Marketing for institutional money managers across all asset classes including public equities, hedge funds and private equity with a focus on boutique and emerging managers.
- DIAMOND PORTFOLIO ADVISORS, LLC - Los Angeles, CA** **2003 - 2008**
Managing Director
 Responsible for sales, marketing and relationship management of separate account institutional money management firm located in Los Angeles.
- R & L PARTNERS, LLC, Sherman Oaks, CA** **2001 – 2005**
Principal
 A professional service corporation focused on private investment opportunities for family office clients.
- BEAR STEARNS, Los Angeles, CA** **2001**
Vice President
- Assisted in developing national Wealth Management Group for UHNW investors of \$25 million+
 - Liaison to allied professional community including CPA's, business managers and attorneys
- WELLS FARGO BANK, Beverly Hills, CA** **1998 – 2001**
Private Client Manager
- Specialized in wealth management for the affluent including complex estate planning, banking, credit, mortgage and business consulting, directly supervised \$517 million in client assets.
- MORGAN STANLEY, Beverly Hills, CA** **1995 – 1997**
Financial Advisor
- Completed comprehensive Wall Street training program in top 5% of peers
 - Worked with business owners to establish/replace retirement and pension plans

EDUCATION & TRAINING

Northeastern University, Boston, MA - BS
 HarvardX, Certificate – Contract Law: From Trust to Promise to Contract
 USMC Officer Candidate School, Quantico, VA
 Dean Witter Graduate School, Wharton School of Business, Philadelphia, PA
 Canon Financial Training – Advanced Estate Planning

INDUSTRY LICENSES

FINRA Series 7, 24, 31, 63, 99, 65 (current)
 California Life Insurance

CURRENT AND PRIOR AFFILIATIONS

Investment Management Consultants Association
 CFA Institute and CFA Society of Orange County
 Junior Achievement – Beverly Hills High School, Applied Economics Advisor, 1996 – 2001

Boy Scouts of America, Western LA County Council, Crescent Bay District, District Chairman
Boy Scouts of America, Orange County Council, Saddleback District, Major Gifts Chairman
National Eagle Scout Association – Orange County Chapter
Ladera Ranch Maintenance Corporation – Neighborhood Representative
Southern California Youth Rugby – Board President
Ladera Ranch Community Services – Board President
National Rifle Association – Life Member

CURRENT AND PRIOR EXPERT WITNESS WORK

Dominguez v. Strip View Entertainment (Defense)
Moradi v. Nevada Property 1, Inc. (Defense)
Frio Energy Partners, LLC v. Finance Technology Leverage, LLC (Defense)
MMSP, LLC v. Minta Mae Stovall, Individually and as Trustee (Plaintiff)
Wiggins v. State of Iowa (Defense)
Marriage of Gould (Plaintiff)

I have testified in both Federal and State court actions and mediations. I have been deposed multiple times, and I have provided expert witness reports and legal strategy advice in multiple cases.

EXPERT WITNESS NETWORKS

Round Table Group
ForensisGroup
Silverlight Expert Network Group
Expert Institute (Expert iQ)
GLG Group
WIT Legal

INDUSTRY RECOGNITION

2012 International Hedge Fund Awards – Rising Star of Hedge Funds
2013 AI Finance Awards winner – Investment Consultancy (California)
2014 International Hedge Fund Awards – Family Office Choice: Consultancy Firm of the Year
2014 International Hedge Fund Awards – Sustained Excellence Award – Hybrid Private Equity/Hedge Fund & Investment Advisory Firm of the Year
2015 M&A Awards (Corporate Livewire) – Excellence in Private Equity Investments –USA
2015 M&A Awards (Corporate Livewire) – Alternative Investment Platform of the Year
2015 Wealth & Finance International – Best Investment Advisory – USA
2015 Wealth & Finance International – Best for Alternative Investment Opportunities – California
2016 AI Private Equity Awards – Best for Family Office Private Equity Investments – Southern California
2018 AI Hedge Fund Awards – Best for Sophisticated Alternative Investment Opportunities
2019 AI Hedge Fund Awards – Family Office of the Year & Recognised Leaders in Asset Allocation & Due Diligence
2020 Orange Coast Magazine – Five Star Wealth Manager – Highest in Service & Overall Satisfaction
2021 Global Business Awards (Corp Today Magazine) – Best Family Office Outsourced CIO
2022 Global Business Awards – Best Family Office Outsourced CIO (USA)
2022 Corp Today Awards – Best for Alternative Investment Opportunities – California
2022 Corp Today Awards – Most innovative Alternative Investment Manager - California

PUBLICATIONS

Portfolio Risks and Hedge Funds
Groupthink: How investors are driven to mediocracy

Fiduciary Duty
DEI Initiatives and the Imperative of Non-Discrimination

SPEAKING ENGAGEMENTS

November 11, 2024 – Critical Mass Business Talk Show – Episode 1553

June 13, 2024 – IMN Real Estate Family Office Forum, Dana Point, CA – *Family Office Real Estate Investing Theses: Joint Ventures vs. Funds*

June 13, 2024 – IMN Real Estate Family Office Forum, Dana Point, CA – *Family Office Management & Succession Planning*

April 15, 2024 – FOA Live! – *Factors to consider in setting up a Family Office*

June 1, 2023 – IMN Real Estate Family Office Forum, Dana Point, CA – *Alternative Asset Classes & Niche Opportunities in Real Estate*

March 7, 2023 – Family Office Club, Redondo Beach, CA – *Private Investor Insights – Hear the Preferences and Strategies of Ultra-Wealthy Private Investors*

February 2, 2023 – Institutional Investor + CAIA Alternatives in Wealth Management Forum, Austin, TX – *Inside and Out: Identifying Contrarian and Esoteric Strategies*

January 19, 2023 – IMN Winter Real Estate PE Forum, Laguna Beach, CA – *LP/Family Office Roundtable – Whetting the Appetite for Real Estate Fund Investing*

December 8, 2022 – Opal Group – Innovations in Lending, Alternative Financing, Fintech & Private Credit Summit, Laguna Beach, CA – *Niche Investment Strategies in Private Credit*

November 3, 2022 – Global Family Office Community, Beverly Hills, CA – *What are the New Investment Opportunities for Family Offices*

September 29, 2022 – Private Wealth Management Summit, Beverly Hills, CA – *Managing Risks and Volatility with Alts and Non-Correlated Investment Strategies*

September 20, 2022 – Institutional Investor's 19th Annual Family Office Wealth Conference, Laguna Beach, CA – *Haute Investments: Where Nuance Shines*

March 7, 2022 – Marcus Evans 35th Private Wealth Management Leadership Summit, Carlsbad, CA – *Navigating and Capitalizing on Opportunities in Private Markets*

January 21, 2022 – IMN Winter Forum on Real Estate Opportunity & Private Fund Investing, Dana Point, CA – *LP/Family Office Roundtable*

June 29, 2021 – IMN Family Office Forum, Dana Point, CA – *Family Office Leadership Panel*

October 27, 2020 – Keiretsu Family Office Forum, *Family Office Syndication & Direct Investing Panel*

April 30, 2019 – IMN Real Estate Family Office & Private Wealth Management Forum, Dana Point, CA – *Late Cycle Debt Investment*

February 11, 2019 – Super Return US West 2019 – *Family Office Panel*

January 18, 2019 – IMN 16th Annual Winter Forum – Real Estate & Private Investing, Laguna Beach, CA – *Family Office & High Net Worth Panel*

May 16, 2018 - IMN's 4th Annual Real Estate Family Office & Private Wealth Management Forum, Dana Point, CA – *Separating the Family from the Family Business*

May 1, 2018 – ALTS Capital Summit, Beverly Hills, CA – *Master Class Session 4: Family Offices*

October 19, 2017 – Markets Group Private Equity Pacific Forum – Los Angeles, CA – *Real Asset Investing*

July 18, 2017 – Markets Group Pacific Institutional Real Estate Investor Forum, Los Angeles, CA – *Value-Added and Opportunistic Investing in Today's Market*

May 11, 2017 – IMN 3rd Annual Real Estate Family Office & Private Wealth Management Forum, Huntington Beach, CA – *Multi-Family Offices v. Wealth Managers*

October 20, 2016 – Markets Group Private Equity Pacific Forum, Los Angeles, CA – *Private Debt & Mezzanine Investments*

May 5, 2015 – IMN Real Estate Family Office & Private Wealth Management Forum, Carlsbad, CA – *Niche Real Estate Sectors*

December 8, 2014 – Opal Alternative Investing Summit, Dana Point, CA – *Private Equity/Venture Capital and Angel Investing Opportunities*

September 8, 2014 – Opal Investment Trends Summit, Santa Barbara, CA – *Challenges Investors are Facing*

December 9, 2013 – Opal Alternative Investing Summit, Dana Point, CA – *Outsourced CIO*

September 25, 2013 – Opal Investment Trends Summit, Santa Barbara, CA – *Outsourced CIO – The Current Trend*

March 14, 2013 – IMN's 2013 Spring Investment Series, Huntington Beach, CA – *Alternative Investments: New Alternatives Boom Imminent?*

January 29, 2013 – World Congress, Beverly Hills, CA – *Alternatives Go Mainstream – Still the Road to Alpha?*

September 12, 2012 – Opal Investment Trends Summit, Santa Barbara, CA – *Practical Analysis of Asset Allocation Strategies*

May 29, 2012 – IMN 7th Annual ILPERS Summit, Chicago, IL – *Alternative Investments*

May 29, 2012 – Opal Emerging Manager Conference, Chicago, IL – *Investing in Emerging Managers: What does the research really show?*

March 26, 2012 – IMN Spring Investment Series, San Diego, CA – *Family Office Perspective*