

NEW IDEAS. SOUND ADVICE. MAKING IT HAPPEN.

BACKGROUND

- Founded in **1994** by Steve Lockshin.
- In **2001**, majority interest was sold to Lydian Trust Company.
- Headquarters relocated to Washington, DC in **2003**.
- Completed the acquisition of Copper Beech Advisors and Windermere Investment Associates, LLC in **2004**.
- Re-branded as Convergent Wealth Advisors in **2007**.
- Expanded institutional capabilities with the addition of a team of 18 investment professionals.

OFFICE LOCATIONS

Corporate Headquarters
Washington, DC

Regional Offices

Atlanta
Los Angeles
New York
Philadelphia
Portland
Rochester
Seattle

AT A GLANCE

- Founded in 1994, Convergent provides investment consulting services to individuals, family offices and institutions nationwide
- Assets Under Advisement: over \$13 billion
- Total client relationships: 370
- Number of employees: 102
- Offices: Washington, DC (headquarters), Atlanta, Los Angeles, New York, Philadelphia, Portland (OR), Rochester (NY) and Seattle
- Majority owned subsidiary of City National Corporation (NYSE: CYN), the parent company of City National Bank
- Senior management has a significant ownership position in the Company

CORE CAPABILITIES

- Investment consulting services
- Estate planning
- Structural techniques and tax advice
- Asset allocation recommendations
- Alternative investments
- Consolidated reporting
- Specialty financing
- Endowment and foundation expertise

ACCOLADES

2010:

- Steve Lockshin ranked No. 4 in the state of California on *Barron's* 2010 Top 1,000 Advisors list. George Dunn ranked No. 9 in Maryland, and Lori Van Dusen ranked No. 46 in New York.

2009:

- Steve Lockshin ranked No. 2 on *Barron's* Top 100 Independent Financial Advisors list. George Dunn (No. 24) and Lori Van Dusen (No. 63) also made the list.
- Steve Lockshin ranked No. 19 on *Barron's* list of Top Financial Advisors in the United States.
- Ranked as No. 15 by *Wealth Manager* in its annual survey of the country's Top Wealth Managers.
- Ranked No. 9 in *Registered Rep's* Top 100 Registered Investment Advisors.
- Recognized by *Financial Advisor Magazine* as the 4th largest RIA in the United States.

EXECUTIVE TEAM

Steven Lockshin
Chief Executive Officer

David Elliott
CFO & Chief Compliance Officer

Lawrence Miles
Chief Operating Officer

David Zier
Executive Vice President