



# **DODD L. MCGOUGH**

## **STRATEGY BASECAMP, LLC**

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### **REGISTRATIONS HELD:**

General Securities Representative (Series 7): 1990 – 2008\*  
General Securities Principal (Series 24): 1990 – 2008\*  
General Financial / Operations Principal (Series 27): 1990 – 2008\*  
Municipal Securities Principal (Series 53): 2000 – 2008  
Uniform Securities Agent State (Series 63): 1990 – 2008\*  
Life and Health Insurance Agent: 1994 – 1995

\* Registrations were not active during the period working with Securities Consultants International, Inc.

### **EDUCATION AND TRAINING:**

Bachelors of Science in Business Administration (Finance), Auburn University

Securities Industry Institute at Wharton, Securities Industry Association

NASD Phase I (financial / operational), Phase II (sales practices), Phase III (advanced investigations)

NASD Arbitration Training (initial session)

### **EMPLOYMENT HISTORY:**

Managing Member/Co-Founder | Strategy Basecamp LLC | '13- Present

Independent Industry Consultant | Three Runs Consulting, LLC | '09 – Present

SVP Independent Alliances | NFP Securities, Inc. | Jun. '04 – Aug. '08

Chief Compliance Officer | NFP Securities, Inc. | Feb. '00 – Dec. '04

Consultant | Securities Consultants International, Inc. | Jan. '98 – Jan. '00

SVP, Chief Compliance Officer | Securities Service Network, Inc. | Jan. '97 – Dec. '97

AVP Compliance | Keogler Morgan & Co, Inc. | Mar. '96 – Dec. '96

VP Compliance & Ops | Centennial Capital Management, Inc. | Jun. '95 – Mar. '96

Investment Broker | J.C. Bradford & Co., Inc. | Jan. '93 – May '95

VP Compliance & Operations | Securities Service Network, Inc. | Oct. '90 – Nov. '92

Compliance Examiner | NASD (n/k/a FINRA) District #7 | Sept. '87 – Sept. '90

## **MISCELLANEOUS PROJECT EXPERIENCE:**

**Technology Overview and Strategic Plan:** With an alliance partner, provided a national independent BD/IA an assessment of their current technology offering. Provided a Gap Analysis comparing the firm to their competitors and provided a short term strategic plan for the immediate six months.

**Project Manager** for a regional independent BD/IA client seeking a front office system to provide a full service integrated tech package for producers. Project involved reviewing various possibilities for a la carte vendors (document management, CRM, data aggregation) and total solution packages that combined various bundled solutions (Investigo, Interactive Advisory Services). Final package included a unique deal with a bundled solution that also provided for data warehouse management for the client.

**Consultant** that assisted a BD/IA client in implementing a new commission system including working with holding company's technology department to integrate the new system within the firm's technology ecosystem. Worked with the vendor and the client firm to maintain communication, training and implementation schedules.

**SEC Independent Consultant selected to perform review of practices and procedures** of a firm that was subject to an SEC Order. Reviewed current procedures and practices of the firm and made recommendations for enhancing practices and procedures to prevent future occurrence of the violations in the Order.

**Performed the Due Diligence for an acquisition of an independent BD/IA.** Reviewed business model, synergies, and risks of the target firm and provided feedback/insights on deal terms. Process involved interviewing personnel, reviewing pertinent firm information and discussing strategic integration of the purchase

**Project Management for Mutual Fund Creation:** Assisted a client in the strategic process of selecting a vendor for Fund Administrative services. Oversaw the due diligence of selected vendor and negotiated the contract. Managed the decision-making process for determining various fund characteristics and worked with outside parties (vendor and legal) as well as internal parties (trading, investment officers, compliance, accounting and marketing) to get funds registered.