
Colin J. Burns

Item 2: Educational Background and Business Experience

CRD (Central Registration Depository) Number: 7551765

Year of Birth: 2000

Formal Education:

- ▶ Roanoke College, BA, 2023
- ▶ Roanoke College, MBA, 2024

Business Background:

- ▶ Associate Advisor, Greenwood Capital, Sept 2024 to present
- ▶ Research Analyst, Goepper Burkhardt, June 2024 to Sept 2024
- ▶ Financial Management Intern, UBS, June 2022 – Aug 2022
- ▶ Mr. Burns also held various part-time positions while pursuing his secondary education.

***Item 3: Disciplinary Information***

Mr. Burns has not been the subject of any material legal or disciplinary event.

Item 4: Other Business Activities

Mr. Burns is not engaged in any business activities other than those related to Greenwood Capital.

Item 5: Additional Compensation

Mr. Burns is eligible to receive a percentage of the advisory fee paid to us by clients obtained because of his direct or indirect efforts as an incentive to bring new and maintain business under our management. In addition, Mr. Burns is eligible to receive cash referral bonuses as part of the relationship with Greenwood Capital's parent company, TCB Corporation, for successful client referrals made to any of Greenwood Capital's related entities. Mr. Burns may also receive a bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts.

Item 6: Supervision

Mr. Burns is supervised by Denise H. Lollis, Chief Operating Officer and Chief Compliance Officer. Mrs. Lollis can be reached at (864) 941-4049. Mr. Burns is supervised by requiring that he adhere to our Policies and Procedures and Code of Ethics. Greenwood Capital monitors the advice that Mr. Burns provides to clients by performing the following reviews:

- ▶ A review of relevant account opening documentation when the relationship is established,
- ▶ A daily review of account transactions,
- ▶ A review of custodial information on a quarterly basis to assess account activity,
- ▶ Perform annual oversight to ensure awareness of your current financial situation, objectives, and individual investment needs,
- ▶ A review of client correspondence on an as needed basis.