
John B. Proctor, Jr.

Item 2: Educational Background and Business Experience

CRD (Central Registration Depository) Number: 6592300

Year of birth: 1992

Formal education:

- ▶ West Virginia, BS - Finance, 2015

Business Background:

- ▶ Advisor Portfolio Specialist, Greenwood Capital, Nov 2024 to Present
- ▶ Client Portfolio Advisor, Greenwood Capital, March 2021 to Nov 2024
- ▶ Account Executive, Fisher Investments, May 2018 to Sep 2020
- ▶ Associate Agent, Northwestern Mutual Wealth, Jan 2016 to March 2018



Item 3: Disciplinary Information

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

Item 4: Other Business Activities

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

Item 5: Additional Compensation

Mr. Proctor 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. Proctor 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 affiliated entities. Mr. Proctor may also receive a bonus that is based, all or in part, investment performance, the number or amount of sales, client referrals, or new accounts.

Item 6: Supervision

Mr. Proctor is supervised through Greenwood Capital's policies and procedures, including adherence to the firm's Code of Ethics. Greenwood Capital monitors the advice Mr. Proctor provides to clients through the following supervisory reviews:

- ▶ Ongoing daily review of account transactions;
- ▶ Quarterly review of custodial information to assess account activity;
- ▶ Review of client correspondence on an as-needed basis.