
Callie M. Roper

Item 2: Educational Background and Business Experience

CRD (Central Registration Depository) Number: 7377436

Year of Birth: 1999

Formal Education:

- ▶ Clemson University, BA, 2021

Business Background:

- ▶ Associate Advisor, Greenwood Capital, Nov 2024 to present
- ▶ Private Client Specialist, Greenwood Capital, Aug 2022 to Nov 2024
- ▶ Associate Financial Services Rep, E*Trade Securities LLC, June 2021 to Aug 2022
- ▶ Mrs. Roper also held part-time positions while pursuing her secondary education.



Item 3: Disciplinary Information

Mrs. Roper has not been the subject of any material legal or disciplinary event.

Item 4: Other Business Activities

Mrs. Roper is not engaged in any business activities other than those related to Greenwood Capital.

Item 5: Additional Compensation

Mrs. Roper is eligible to receive a percentage of the advisory fee paid to us by clients obtained because of her direct or indirect efforts as an incentive to bring new and maintain business under our management. In addition, Mrs. Roper 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. Mrs. Roper 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

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

- ▶ A review of relevant account opening documentation when the relationship is established,
- ▶ Review of relevant account-opening documentation at the establishment of the client relationship;
- ▶ Ongoing review of client account transactions on a daily basis;
- ▶ Quarterly review of custodial information to assess account activity;
- ▶ Annual supervisory oversight to confirm continued understanding of each client's financial situation, investment objectives, and individual investment needs; and,
- ▶ Review of client correspondence on an as-needed basis.