
Anne J. Thompson, CRPC®

Item 2: Educational Background and Business Experience

CRD (Central Registration Depository) Number: 6496376

Year of Birth: 1971

Formal Education:

- ▶ Western Carolina University, BA, 1993

Business Background:

- ▶ Private Client Advisor, Greenwood Capital, Nov 2024 to present
- ▶ Owner/Consultant, Tel Alt, LLC, Feb 2010 to present
- ▶ Wealth Advisor, Ballentine Capital Advisors, Inc, March 2023 to Oct 2024
- ▶ VP, Financial Consultant, Charles Schwab Bank & Charles Schwab & Co., Inc, May 2019 to March 2023
- ▶ Business Development/Financial Advisor, Merrill Lynch & Bank of America, May 2015 to March 2019



Professional Designation(s):

Chartered Retirement Planning Counselor® (CRPC) – is a professional financial planning designation awarded by the College for Financial Planning. Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct, and complying with self-disclosure requirements.

Item 3: Disciplinary Information

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

Item 4: Other Business Activities

Mrs. Thompson is also licensed for Life, Accident, and Health Insurance and Greenwood Capital has established a revenue sharing arrangement with Countybank Insurance Services, Inc. Countybank Insurance Services, Inc. is related to Greenwood Capital Associates, LLC through common ownership. Mrs. Thompson is the owner of Tel Alt, LLC and Computer/IT Service company. She receives continuing compensation for services installed at client sites between 2010-2015.

Item 5: Additional Compensation

Mrs. Thompson 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. Thompson 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. Thompson may also receive a bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts.

If insurance products are purchased through Mrs. Thompson's affiliation with Countybank Insurance Services, Inc., she may receive a share of the revenue paid to Greenwood Capital. This creates a conflict of interest as there could be a potential incentive for Mrs. Thompson to make recommendations based upon the amount of compensation received rather than based upon client needs. The specific costs associated with any recommended insurance will be explained to a prospect or client upon request. Clients have the option to purchase insurance products through other agents who are not affiliated with Greenwood Capital.

Item 6: Supervision

Mrs. Thompson is supervised through Greenwood Capital's policies and procedures, including adherence to the firm's Code of Ethics. Greenwood Capital monitors the advice Mrs. Thompson 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.