

# J. Mercer Treadwell, CFA®

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## FinTrust Capital Advisors, LLC

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**This brochure supplement provides information about J. Mercer Treadwell that supplements the FinTrust Capital Advisors, LLC (“FCA”) brochure. You should have received a copy of that brochure. Please contact the Chief Compliance Officer at (864) 288-2849 if you did not receive FCA’s brochure or if you have any questions about the contents of this supplement.**

**Additional information about Mr. Treadwell is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

### **Item 2 - Educational Background and Business Experience**

J. Mercer Treadwell, b. August 7, 1972

#### Educational Background

University of Georgia- BBA, Accounting  
Chartered Financial Analyst® (CFA®)

The Chartered Financial Analyst® (CFA®) designation is issued by the CFA Institute after candidates pass three course exams involving 250 hours of self-study time for each of the three levels. In order to qualify to sit for the exams, candidates must have an undergraduate degree or four years of qualified professional experience or a combination of work and college experience that totals at least four years. Candidates are also required to sign a Professional Conduct Statement and a Candidate Responsibility Statement.

#### Business Experience

<b>Dates</b>	<b>Position</b>	<b>Firm</b>
2019 – Present	Senior Vice President, Investment Advisor	FinTrust Capital Advisors, LLC
2018 – Present	Registered Representative	FinTrust Brokerage Services, LLC
2008 – 2019	Chief Investment Officer	FinTrust Capital Advisors, LLC
2010 – 2017	Registered Representative	Silver Oak Securities, Inc.

### **Item 3 - Disciplinary Information**

Mr. Treadwell has no information applicable to this Item.

### **Item 4 - Other Business Activities**

FCA is related due to the common ownership to FinTrust Brokerage Services, LLC ("FTBS"). FTBS is an affiliated broker-dealer firm that is registered with the SEC and is a member of FINRA/SIPC. FCA and FTBS share office space, personnel and facilities, and on occasion serve the same clients.

Mr. Treadwell is a Registered Representative of FTBS. In his capacity as a registered representative he may be compensated through commissions based on the sale of securities, investment products and trails received from the sale of mutual funds or other products. This additional compensation may present a conflict of interest because it creates an incentive to recommend products and services based upon compensation, rather than on your needs. However, Mr. Treadwell is constrained by fiduciary principles to act in your best interest. Mr. Treadwell will explain the costs associated with any recommendations he makes, and you are under no obligation to purchase any recommended products.

### **Item 5 - Additional Compensation**

Mr. Treadwell does not receive compensation for advisory services by anyone who is not a client.

### **Item 6 - Supervision**

Valerie Smithey serves as FCA's Chief Compliance Officer responsible for oversight and supervision. Mrs. Smithey can be reached at (864) 288-2849.

Mr. Treadwell is required to adhere to FCA's processes and procedures as described in our Code of Ethics. FCA and its CCO monitor the advice that Mr. Treadwell gives by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, account activity is reviewed periodically to ensure that trading is in line with your stated objectives. Following these reviews, reports are prepared to assist Mrs. Smithey in supervising and monitoring the accounts. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings. Periodically, the members of FCA's investment committee meet to review portfolio holdings and suggest to the other members any changes that may need to be made.