

# Paul M. Gordon, CFP<sup>®</sup>, CTFA

## FinTrust Capital Advisors, LLC

124 Verdae Boulevard, Suite 504

Greenville, SC 29607

Phone: (864) 288-2849

Toll Free: (866) 626-5295

Fax: (864) 288-5218

[www.fintrustadvisors.com](http://www.fintrustadvisors.com)

July 25, 2023

**This brochure supplement provides information about Paul Gordon 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. Gordon is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

Paul Gordon, b. 1981

#### Educational Background

College of Charleston - BS, Business Administration

Furman University – Postbaccalaureate, Accounting

The CERTIFIED FINANCIAL PLANNER™ (CFP<sup>®</sup>)

Certified Trust and Fiduciary Advisor (CTFA)

The CERTIFIED FINANCIAL PLANNER™ (CFP<sup>®</sup>) designation is issued by the Certified Financial Planner Board of Standards, Inc after candidates pass the CFP Certification Examination. The examination, administered in 6 hours, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real-world circumstances. In addition, certified individuals are required to complete 30 hours of continuing education every two years, including two hours on the Code of Ethics and other parts of the Standard of Professional Conduct. As a prerequisite for the CFP Certification Examination, candidates must hold a bachelor’s degree (or higher) from an accredited college or university and have at least 6,000 hours of full-time personal financial planning experience. In addition, candidates must complete a CFP-Board registered program.

The Certified Trust and Fiduciary Advisor (CTFA) is issued by American Bankers Association (ABA). To earn the CTFA designation, candidates must meet certain eligibility requirements, submit a completed application and fees, and pass the CTFA examination. The educational requirements to qualify for certification vary depending on a candidate's years of wealth management experience in the field. Wealth Management experience is defined as direct client interaction to deliver fiduciary services — planning and advice, asset management, trusts, estates, IRAs, qualified retirement plans, and custody

services. In addition, each candidate must sign the ABA Professional Certifications' Code of Ethics statement. Certified individuals must complete 45 continuing education credits every three years, pay an annual fee, and adhere to the Professional Code of Ethics.

#### Business Experience

<b>Dates</b>	<b>Position</b>	<b>Firm</b>
2018 – Present	Sr. Vice President, Investment Advisor	FinTrust Capital Advisors, LLC
2018 – Present	Insurance Agent	FinTrust Insurance and Benefits, Inc.
2014 – Present	Registered Representative	FinTrust Brokerage Services, LLC
2014 – 2018	Sr. Vice President, Investment Advisor	FinTrust Investment Advisory Services, LLC
2014 – 2018	Insurance Agent	FinTrust Insurance Services, LLC
2011 – 2014	Financial Advisor	Raymond James
2005 – 2011	Financial Advisor	HD Vest

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

Mr. Gordon 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”) and FinTrust Insurance and Benefits, Inc. FTBS is an affiliated broker-dealer firm that is registered with the SEC and is a Member FINRA/SIPC. FinTrust Insurance and Benefits, Inc. is an insurance agency. FCA, FTBS, and FinTrust Insurance and Benefits, Inc. share office space, personnel and facilities, and on occasion serve the same clients.

Mr. Gordon is a Registered Representative of FTBS and a licensed Insurance Agent of FinTrust Insurance and Benefits, Inc. 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. In his capacity as an insurance agent he may be compensated through commissions based on the sale of insurance 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. Gordon is constrained by fiduciary principles to act in your best interest. Mr. Gordon 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. Gordon 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. Gordon 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. Gordon 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.