

ADV Part 2B Brochure Supplement – Thomas “Tom” Searson

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**4500 Cameron Valley Parkway, Suite 270
Charlotte, NC 28211
(704) 215-4420**

Thomas “Tom” Searson

October 17, 2023

This brochure supplement provides information about Tom Searson that supplements Providence Capital Advisor’s brochure. You should have received a copy of that brochure. Please contact Tom Searson at (704) 215-4420 if you did not receive Providence Capital Advisor’s brochure or if you have any questions about the contents of this supplement.

Additional information about Tom Searson is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Thomas “Tom” Michael Searson was born in 1976.

Education

Bachelor of Business Administration, Accounting 1998
University of Notre Dame

Master of Business Administration 2004
University of North Carolina at Chapel Hill

Designations

Chartered Financial Analyst (CFA®)
CFA Institute

Chartered Financial Analyst (CFA®)

The Chartered Financial Analyst (CFA®) certification is a globally recognized, graduate-level investment credential, recognized for its foundation in investment analysis and portfolio management skills, and emphasizes the highest ethical and professional standards. To attain the right to use the CFA® marks, an individual must satisfactorily fulfill the following requirements:

Prerequisites/Experience: Complete either an undergraduate degree and four years of professional experience involving investment decision-making, or four years of qualified work experience (full time, but not necessarily investment related).

Educational Requirements: Complete a self-study program (250 hours of study for each of the three levels).

Examination Type: Pass the comprehensive CFA® Certification Examination. The examination consists of three comprehensive exams which are six hours in length each.

Ethics: Agree to be bound by CFA Institute's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFA® professionals.

CFA® professionals who fail to comply with the above standards and requirements may be subject to CFA Institute’s enforcement process, which could result in suspension or permanent revocation of their CFA® certification.

Business History

Prior to co-founding Providence Capital Advisors, LLC, Tom served as Managing Director and Portfolio Manager at Willingdon Wealth Management for 10 years. He was the lead portfolio manager on the Covered Call and Income Portfolio strategies, as well as a supporting analyst on the Core Equity strategy. For approximately half of his tenure at Willingdon, Tom was also the lead Fixed Income portfolio manager.

Willingdon grew from \$5 million in assets under management to over \$260 million during his time at the firm.

Prior to beginning his investment career, Tom worked for Ernst and Young LLP in Chicago providing audit services for public and private clients in all industries with a focus on the retail, distribution, and manufacturing segment.

February 2015 – Present	Co-Founder, Chief Investment Officer and Chief Compliance Officer of Providence Capital Advisors, LLC
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July 2004 - January 2015	Managing Director and Portfolio Manager at Willingdon Wealth Management
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Item 3 - Disciplinary Information

Tom Searson does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Tom Searson has no outside business activities.

Item 5 - Additional Compensation

There is no additional compensation awarded to Tom Searson for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

In the course of his supervisory duties as CCO, Tom Searson will periodically review advisory accounts, correspondence, financial plans, and advisory activities. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – Brian Jones

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Brian Jones

October 17, 2023

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Additional information about Brian Jones is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Brian Summers Jones was born in 1978.

Education

Bachelor of Business Administration, Economics 2000
University of North Carolina at Chapel Hill

Designations

CFP® 2006
College of Financial Planning, Denver, CO

Certified Financial Planner (CFP)

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Prerequisites/Experience: Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year)

Educational Requirements: Complete an advanced college level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination Type: Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, 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.

Ethics: Agree to be bound by CFP Board's Standards of Professional/Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

Continuing Education/Experience Requirements: Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards

of Professional Conduct to maintain competence and keep up with developments in the financial planning field.

Ethics: Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Business History

Prior to co-founding Providence Capital Advisors, LLC, Brian served as the Director of Financial Planning at Willingdon Wealth Management. Brian joined Willingdon in 2009, became a partner of the firm the same year, and played a key role in Willingdon growing from just under \$65 million in assets under management to over \$260 million during his 5-year tenure.

Brian began his career in financial services in 2000 with Bank of America. During his 9 years at Bank of America, Brian managed a banking center, was a Client Manager in the Premier Banking and Investments group and a Financial Advisor with the Wealth Management Division.

February 2015 – Present	Co-Founder and Director of Financial Planning for Providence Capital Advisors, LLC
March 2009 - January 2015	Partner and Director of Financial Planning at Willingdon Wealth Management
March 2000 – March 2009	Client Manager and Financial Advisor at Banc of America Investment Services, Inc.

Item 3 - Disciplinary Information

Brian Jones does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Brian Jones has no outside business activities.

Item 5 - Additional Compensation

There is no additional compensation awarded to Brian Jones for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

Brian Jones is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – Stephen Ratcliffe

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Stephen Ratcliffe

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Additional information about Stephen Ratcliffe is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Stephen Patrick Ratcliffe was born in 1978.

Education

Bachelor of Science, Business 2001
University of North Carolina at Chapel Hill

Designations

CFP® 2004
College of Financial Planning, Denver, CO

Certified Financial Planner (CFP)

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Prerequisites/Experience: Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year)

Educational Requirements: Complete an advanced college level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination Type: Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, 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.

Ethics: Agree to be bound by CFP Board's Standards of Professional/Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

Continuing Education/Experience Requirements: Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards

of Professional Conduct to maintain competence and keep up with developments in the financial planning field.

Ethics: Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

CLU/ChFC 2009
The American College

Chartered Financial Consultant (ChFC)

Prerequisites/Experience Required: 3 years of full-time business experience within the five years preceding the awarding of the designation

Educational Requirements: 6 core and 2 elective courses

Examination Type: Final proctored exam for each course

Continuing Education/Experience Requirements: 30 hours every 2 years

Chartered Life Underwriter (CLU)

Issuing Organization: The American College

Prerequisites/Experience Required: 3 years of full-time business experience within the five years preceding the awarding of the designation

Educational Requirements: 5 core and 3 elective courses

Examination Type: Final proctored exam for each course

Continuing Education/Experience Requirements: 30 hours every 2 years

Business History

Prior to joining Providence Capital Advisors, Stephen was a Wealth Management Advisor with Northwestern Mutual. Stephen joined Northwestern Mutual in 2001 after receiving his bachelor's degree in Business Administration from the University of North Carolina at Chapel Hill. During his 15 years with Northwestern Mutual, Stephen worked with his clients to build comprehensive financial plans and strategies through the use of both insurance and investment-related strategies.

Jun 2016 – Present	Director of Financial Planning at Providence Capital Advisors, LLC
Jan 2002 – Jun 2016	Investment Adviser Representative at Northwestern Mutual Investment Services, LLC
Jun 2001 – Jun 2016	Financial Representative at Northwestern Mutual Life Insurance Company

Item 3 - Disciplinary Information

Stephen Ratcliffe does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Stephen Ratcliffe may recommend insurance products and may also, as independent insurance agents, sell those recommended insurance products to clients. The sale of these products accounts for approximately 10-30% of his time. When such recommendations or sales are made, a conflict of interest exists as the insurance licensed IARs earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. We require that all IARs disclose this conflict of interest when such recommendations are made. Also, we require IARs to disclose that clients may purchase recommended insurance products from other insurance agents not affiliated with us.

Item 5 - Additional Compensation

Stephen Ratcliffe may receive additional compensation from sales of insurance products. Stephen Ratcliffe may be eligible to receive incentive awards (including prizes such as trips or bonuses) for recommending certain types of insurance policies or other investment products that he recommends.

While Stephen Ratcliffe endeavors at all times to put the interest of our clients first as part of our fiduciary duty, the possibility of receiving incentive awards creates a conflict of interest and may affect his judgment when making recommendations. We require that all IARs disclose this conflict of interest when such recommendations are made. Also, we require IARs to disclose that clients may purchase recommended insurance products from other insurance agents not affiliated with us.

Item 6 - Supervision

Stephen Ratcliffe is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – Melissa S. Wall

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Melissa S. Wall

October 17, 2023

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Additional information about Melissa Wall is available on the SEC's website at www.adviserinfo.sec.gov.

Continuing Education/Experience Requirements: Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct to maintain competence and keep up with developments in the financial planning field.

Ethics: Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

CPA®

American Institute of Certified Public Accountants

Certified Public Accountant (CPA)

The CPA is a license to provide accounting services directly to the public. It is awarded by each of the 50 states for practice in that state. State licensing requirements vary, but the minimum standard requirements include passing the Uniform Certified Public Accountant Examination, 150 semester units of college education, and one year of accounting related experience. Continuing professional education (CPE) is also required to maintain licensure. The requirement can be fulfilled through attending live seminars, webcast seminars, or through self-study (textbooks, videos, online courses, all of which require a test to receive credit). As part of the CPE requirement, most states require their CPAs to take an ethics course at some frequency (such as every or every other renewal period).

Business History

Prior to joining Providence Capital Advisors, Melissa was a VP Analyst, Executive Advisory Services with Bank of America. Melissa joined Bank of America in 2004 after spending 3 years with Deloitte as a Tax Consultant.

Sep 2017 – Present	Senior Wealth Advisor at Providence Capital Advisors, LLC
Aug 2004 – Sep 2017	VP Analyst, Executive Advisory Services at Bank of America
Oct 2001 – Aug 2004	Tax Consultant at Deloitte

Item 3 - Disciplinary Information

Melissa Wall does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Melissa Wall has a tax preparation business. This is not investment related and does not provide a conflict of interest.

Item 5 - Additional Compensation

There is no additional compensation awarded to Melissa Wall for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

Melissa Wall is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – Brian Alderson

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Brian Alderson

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Additional information about Brian Alderson is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Brian Alderson was born in 1988.

Education

Bachelor of Science, Accounting and Master of Accounting 2010
The Pennsylvania State University

Designations

Chartered Financial Analyst (CFA®)
CFA Institute

Chartered Financial Analyst (CFA®)

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Prerequisites/Experience: Complete either an undergraduate degree and four years of professional experience involving investment decision-making, or four years of qualified work experience (full time, but not necessarily investment related).

Educational Requirements: Complete a self-study program (250 hours of study for each of the three levels).

Examination Type: Pass the comprehensive CFA® Certification Examination. The examination consists of three comprehensive exams which are six hours in length each.

Ethics: Agree to be bound by CFA Institute's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFA® professionals.

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CPA ®

American Institute of Certified Public Accountants

Certified Public Accountant (CPA)

The CPA is a license to provide accounting services directly to the public. It is awarded by each of the 50 states for practice in that state. State licensing requirements vary, but the minimum standard requirements include passing the Uniform Certified Public Accountant Examination, 150 semester units of college education, and one year of accounting related experience. Continuing professional education (CPE) is also required to maintain licensure. The requirement can be fulfilled through attending live seminars, webcast seminars, or through self-study (textbooks, videos, online courses, all

of which require a test to receive credit). As part of the CPE requirement, most states require their CPAs to take an ethics course at some frequency (such as every or every other renewal period).

Business History

Prior to joining Providence Capital Advisors, Brian was a Manager with Ernst and Young, LLP working in the wealth and asset management practice.

Jan 2021 – Present	Portfolio Manager at Providence Capital Advisors, LLC
July 2016 – Jan 2021	Research Analyst at Providence Capital Advisors, LLC
Sept 2011 – May 2016	Manager at Ernst and Young, LLP

Item 3 - Disciplinary Information

Brian Alderson does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Brian Alderson has no outside business activities.

Item 5 - Additional Compensation

There is no additional compensation awarded to Brian Alderson for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

Brian Alderson is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – Dennis Park

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Dennis Park

October 17, 2023

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Additional information about Dennis Park is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Dennis Park was born in 1978.

Education

Bachelor of Arts, Psychology 2000
University of North Carolina

Business History

Prior to joining Providence Capital Advisors, Dennis was a Financial Advisor Trainee with Raymond James & Associates, Inc. working in the wealth and asset management practice.

November 2020 – Present	Investment Operations Manager at Providence Capital Advisors, LLC
February 2020 – October 2020	Financial Advisor Trainee at Raymond James & Associates, Inc.
January 2019 – February 2020	Associate at Karl Park & Associates
December 2018 – January 2019	CFO at Elevation LLC
April 2017 – December 2018	Unemployed
November 2002 – April 2017	CFO at MAK Capital One LLC

Item 3 - Disciplinary Information

Dennis Park does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Dennis Park has no outside business activities.

Item 5 - Additional Compensation

There is no additional compensation awarded to Dennis Park for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

Dennis Park is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – Marcie Rae Haines, CFP®

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Marcie Rae Haines

October 17, 2023

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Additional information about Marcie Rae Haines is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Marcie Rae Haines, CFP® was born in 1974.

Education

Bachelor of Science and Master of Science in Accounting 1997
East Carolina University

Designations

CFP® 2002
College of Financial Planning, Denver, CO

Certified Financial Planner (CFP)

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To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Prerequisites/Experience: Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year)

Educational Requirements: Complete an advanced college level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination Type: Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, 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.

Ethics: Agree to be bound by CFP Board's Standards of Professional/Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

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Continuing Education/Experience Requirements: Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct to maintain competence and keep up with developments in the financial

planning field.

Ethics: Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

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CPA® 2000

American Institute of Certified Public Accountants

Certified Public Accountant (CPA)

The CPA is a license to provide accounting services directly to the public. It is awarded by each of the 50 states for practice in that state. State licensing requirements vary, but the minimum standard requirements include passing the Uniform Certified Public Accountant Examination, 150 semester units of college education, and one year of accounting related experience. Continuing professional education (CPE) is also required to maintain licensure. The requirement can be fulfilled through attending live seminars, webcast seminars, or through self-study (textbooks, videos, online courses, all of which require a test to receive credit). As part of the CPE requirement, most states require their CPAs to take an ethics course at some frequency (such as every or every other renewal period).

Business History

Prior to joining Providence Capital Advisors Marcie was an Executive Financial Advisor with Bank of America.

June 2022 – Present	Senior Wealth Advisor at Providence Capital Advisors, LLC
Dec 2000 – May 2022	Executive Financial Advisor at Bank of America
Sept 1997 – Dec 2000	Tax Consultant at Dixon Odom PLLC
Sept 1997 – Dec 2000	Tax Consultant at Gilliam, Coble & Moser LLP

Item 3 - Disciplinary Information

Marcie Rae Haines does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

Marcie Rae Haines has no outside business activities.

Item 5 - Additional Compensation

There is no additional compensation awarded to Marcie Rae Haines for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

Marcie Rae Haines is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.

ADV Part 2B Brochure Supplement – David Huff

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David Huff

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Additional information about David Huff is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

David Huff was born in 1989.

Education

Bachelor of Business Administration in Finance 2011
University of Notre Dame

Master of Business Administration in Capital Markets and Investments 2018
University of North Carolina, Chapel Hill

Designations

Chartered Financial Analyst (CFA®)
CFA Institute

Chartered Financial Analyst (CFA®)

The Chartered Financial Analyst (CFA®) certification is a globally recognized, graduate-level investment credential, recognized for its foundation in investment analysis and portfolio management skills, and emphasizes the highest ethical and professional standards. To attain the right to use the CFA® marks, an individual must satisfactorily fulfill the following requirements:

Prerequisites/Experience: Complete either an undergraduate degree and four years of professional experience involving investment decision-making, or four years of qualified work experience (full time, but not necessarily investment related).

Educational Requirements: Complete a self-study program (250 hours of study for each of the three levels).

Examination Type: Pass the comprehensive CFA® Certification Examination. The examination consists of three comprehensive exams which are six hours in length each.

Ethics: Agree to be bound by CFA Institute's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFA® professionals.

CFA® professionals who fail to comply with the above standards and requirements may be subject to CFA Institute's enforcement process, which could result in suspension or permanent revocation of their CFA® certification.

Business History

Prior to joining Providence Capital Advisors, David was a Client Advisor with JPMorgan Chase Bank / JPMorgan Securities.

Oct 2023 – Present

Senior Wealth Advisor at Providence Capital Advisors, LLC

Aug 2019 – Oct 2023

Client Advisor at JPMorgan Chase Bank / JPMorgan Securities LLC

Aug 2017 – May 2019

Student at University of North Carolina Kenan-Flagler Business School

Item 3 - Disciplinary Information

David Huff does not have any disciplinary history to disclose.

Item 4 - Other Business Activities

David Huff may recommend insurance products and may also, as independent insurance agents, sell those recommended insurance products to clients. The sale of these products accounts for approximately 10% of his time. When such recommendations or sales are made, a conflict of interest exists as the insurance licensed IARs earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. We require that all IARs disclose this conflict of interest when such recommendations are made. Also, we require IARs to disclose that clients may purchase recommended insurance products from other insurance agents not affiliated with us.

Item 5 - Additional Compensation

There is no additional compensation awarded to David Huff for providing advisory services, such as sales awards or prizes.

Item 6 - Supervision

David Huff is supervised by the CCO, Tom Searson. Please contact him at (704) 215-4420 with questions regarding supervision.
