

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**April 2022**

**Roger Graham**

**Braintrust Capital, LLC**  
**405 Oak Meadow Lane**  
**San Antonio, TX 78253**

**Firm Contact:**  
**Roger Graham**  
**Chief Compliance Officer**

This brochure supplement provides information about Roger Graham that supplements our brochure. You should have received a copy of that brochure. Please contact Roger Graham if you did not receive Braintrust Capital, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Roger Graham is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #5942837.

## Item 2: Educational Background & Business Experience

**Roger A. Graham**  
**Year of Birth:** 1965

### **Educational Background:**

- 1992: University of Michigan Law School; Juris Doctor in Law
- 1987: Santa Clara University; Bachelor of Science in Economics

### **Business Background:**

- 04/2022 – Present      Braintrust Capital, LLC; Managing Director
- 06/2019 – 02/2022      Wells Fargo Advisors; Senior VP & Portfolio Manager
- 09/2014 – 06/2019      UBS; Vice President & Portfolio Manager
- 06/2011 – 09/2014      Morgan Stanley; Financial Advisor

### **Exams, Licenses & Other Professional Designations:**

- 2011: Series 7 Exam
- 2011: Series 66 Exam
- 2011: Series 31 Exam
- 2016: Series 24 Exam
- 2020: Certified Exit Planning Advisor (CEPA)

### **Certified Exit Planning Advisor (CEPA)**

The CEPA designation is made available through the Exit Planning Institute (“EPI”). Candidates must have or be: (1) 5 years of full-time or equivalent experience working directly with business owners as a financial advisor, attorney, CPA, business broker, investment banker, commercial lender, estate planner, insurance professional, business consultant or in a related capacity; (2) Undergraduate degree from a qualifying institution; if no qualifying degree must submit additional professional work experience (2 years of relevant professional experience may be substituted for each year of required undergraduate studies); and (3) Exit Planning Institute member in good standing. The CEPA Program offers professionals an innovative learning experience, performance-enhancing resources, and the strategic tools to help advance their exit planning practice.

Renewing certificants must have completed a minimum of 40 hours of exit planning related professional development, or a minimum of 30 hours of exit planning related professional development plus 10 hours of qualifying leadership, authorship, and teaching activities contributing to the exit planning profession. Qualifying leadership activities include volunteer service as a chairman, Chair-Elect, or officer for committee service to a qualifying organization other than the applicant's employer. Renewal applicants must again agree in writing that they will adhere to the EPI Professional Standards and Code of Ethics, and must re-attest that they have not been convicted of a felony related to the practice of exit planning.

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events material to the evaluation of Roger Graham.

### **Item 4: Other Business Activities**

Roger Graham is a licensed insurance agent/broker. He may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Roger Graham, as a fiduciary, will act in the client's best interest. He will not, however, be offering insurance products nor will he receive customary fees as a result of insurance sales.

### **Item 5: Additional Compensation**

Roger Graham does not receive any other economic benefit for providing advisory services in addition to advisory fees.

### **Item 6: Supervision**

Roger Graham is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

### **Item 7: Requirements for State-Registered Advisers**

Roger Graham has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.