

# RIVERPLACE ♦ CAPITAL ♦

*Riverplace Capital Management, Inc.*  
*Brochure Supplement (Part 2B of Form ADV)*  
*Dated 03/08/2022*

*Riverplace Capital Management, Inc.*  
*1301 Riverplace Blvd., Suite 2130*  
*Jacksonville, FL 32207 (904) 346-3460*  
*[www.riverplacecapital.com](http://www.riverplacecapital.com)*

**Item 1 Peter E. Bower – President & CEO, Designated Principal**

**Item 2 Education and Business Experience**

Peter E. Bower was born in 1950. Mr. Bower graduated from Arizona State University with a Bachelor's in Science in Quantitative Systems and from the University of North Florida with a Master's in Business Administration in Finance. Mr. Bower worked for Merrill Lynch from June 1979 to February 1997; St. Johns Investment Management from February 1997 until September 1998. Mr. Bower has worked for Riverplace Capital since September 1998.

**Item 3 Disciplinary Information**

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

**Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in non-investment-related business and occupation for compensation.

**Item 5 Additional Compensation**

No Additional compensation.

**Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisor's Act ("Act"). The Registrant's Chief Compliance Officer, Anny Campos, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Campos at (904) 346-3460.

**Item 1            Terri C. Kimball – Executive Vice President, Controller**

**Item 2            Education and Business Experience**

Terri C. Kimball was born in 1954. Ms. Kimball graduated from the University of Florida with a Bachelor's in Science in Business Administration. Ms. Kimball worked for E. F. Hutton/Shearson Lehman from October 1987 to April 1992; Douglas Capital Management, Inc. from February 1993 to August 1999; for Prudential Securities from August 1999 to February 2000. Ms. Kimball has worked for Riverplace Capital since February 2000.

**Item 3            Disciplinary Information**

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

**Item 4            Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in non-investment-related business and occupation for compensation.

**Item 5            Additional Compensation**

No Additional compensation.

**Item 6            Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisor's Act ("Act"). The Registrant's Chief Compliance Officer, Anny Campos, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Campos at (904) 346-3460.

**Item 1            Mark W. Ross – Vice President, Portfolio Manager**

**Item 2            Education and Business Experience**

Mark W. Ross was born in 1967. Mr. Ross graduated from Florida Southern College with a Bachelor's in Arts in Marketing. Mr. Ross worked for Merrill Lynch from November 1992 to November 2003; Life Management Advisors from January 2004 to January 2017; MegaStar Financial from October 2013 to March 2015; the Mortgage Firm from March 2015 to September 2019; Riverplace Capital since January 2017 to present; FCFS Mortgage from September 2019 to present.

**Item 3            Disciplinary Information**

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

**Item 4            Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. Mr. Ross is a Senior Loan Originator with FCFS Mortgage.

**Item 5            Additional Compensation**

No Additional compensation.

**Item 6            Supervision**

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**Item 1            Scott C. Wohlers – Vice President, Portfolio Manager**

**Item 2            Education and Business Experience**

Scott C. Wohlers was born in 1988. Mr. Wohlers graduated from Union University with a Bachelor's in Science in Organizational Leadership. Mr. Wohlers worked for Manpower Group from March 2010 to September 2012; Regions Bank from September 2012 to July 2017; for Advantage Dermatology from July 2017 to September 2017. Mr. Wohlers has worked for Riverplace Capital Management, Inc. since February 2018.

**Item 3            Disciplinary Information**

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

**Item 4            Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in non-investment-related business and occupation for compensation.

**Item 5            Additional Compensation**

No Additional compensation.

**Item 6            Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisor's Act ("Act"). The Registrant's Chief Compliance Officer, Anny Campos, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Campos at (904) 346-3460.

