

Douglas Callan, CFA®

XML Financial Group
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This document provides information about Douglas Callan that supplements the XML Financial Group (XML) ADV 2A Brochure and Wrap Fee Program Brochure ("Brochures"). If you were not provided with a Brochure or if you have questions about the content of this supplement please contact Compliance at info@xmlfg.com or 703.827.2300. The Brochures and additional information about XML and Douglas Callan are available on the SEC's website at adviserinfo.sec.gov.

ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Doug is a CFA® charter holder and member of the CFA Society of Philadelphia. He has earned a Master of Business Administration with a concentration of Finance from Seton Hall University in 2010 and a Bachelor of Science in Business Administration with a concentration of Financial Services from Bryant University in 2006. Douglas joined XML Financial Group in 2022 as Senior Portfolio Manager with the Samson Wealth Management Group division. He is also a registered representative with the affiliated broker-dealer, XML Securities, LLC, member FINRA/SIPC ("XML BD"). Previously, Douglas was Vice President Investment Analyst with Wells Fargo Advisors Financial Network, LLC. Before joining Samson Wealth Management Group, Doug spent eight years at UBS Financial Services, Inc. where he led a team responsible for servicing financial advisors and investment managers with the firm's separately managed account program.

CHARTERED FINANCIAL ANALYST (CFA)

The curriculum for this designation is a self-study program consisting of three levels requiring approximately 250 hours of study for each level. Candidates must pass an exam for each level, as well. Prerequisites include an undergraduate degree and four years of professional experience involving investment decision-making or four years qualified work experience. There are no continuing education requirements. Areas of study involve fundamental investment principles, such as ethical and professional standards, economics, quantitative methods, corporate finance, portfolio management and wealth planning. The program's professional conduct requirements demand that both CFA candidates and charter holders adhere to the highest standards of ethical responsibility.

ITEM 3 DISCIPLINARY INFORMATION - None

ITEM 4 OTHER BUSINESS ACTIVITIES

BROKER AGENT: Douglas is a registered representative with XML BD. This enables him to effect securities transactions for a commission in his capacity as a broker agent. He is able to offer brokerage services to both clients and non-clients of XML. When acting in the capacity as a broker agent, he will receive compensation based on the sale of securities and brokerage products including, but not limited to, mutual fund share classes that pay sale charges and distribution or service ("trail") fees, transaction commissions, markup and markdowns on principal trades in bonds and other compensation as detailed in the Reg BI Disclosure document. This creates a conflict of interest as there is an inherent incentive to recommend brokerage products and effect transactions based on the broker agent's compensation. Please discuss any questions regarding brokerage compensation and the related conflicts of interest with this professional. Visit <https://www.xmlfg.com/brokerage-services> to view the Reg BI Disclosure and additional disclosures and policies.

ITEM 5 ADDITIONAL COMPENSATION - None

ITEM 6 SUPERVISION

XML's investment advisor supervisory system includes, but is not limited to, principal approval of advisory agreements and amendments, email sample review, outside account review and trade monitoring. This individual's designated supervisor is Mark D. Samson at 215-693-5000.