

*This brochure supplement provides information about Bryan Smith that supplements the Naples Asset Management Co., LLC brochure. You should have received a copy of that brochure. Please contact Bryan Smith if you did not receive Naples Asset Management Co., LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Bryan Smith is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*



## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**Bryan Smith, CFP<sup>®</sup>, AIF<sup>®</sup>**

Personal CRD Number: 2324786

**Investment Adviser Representative**

**NAMCOA<sup>®</sup> - Naples Asset Management Co., LLC<sup>®</sup>**

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## Item 2: Educational Background and Business Experience

**Name:** Bryan Smith                      **Born:** 1969

### **Educational Background and Professional Designations:**

#### **Examination Licenses:**

Series 7 (General Securities) - 2005

Series 66 (Securities Agent/Investment Adviser Representative - 2006

Florida Life Variable Annuity and Health License - 2006

#### **Post-Secondary Education**

B.S. Financial Planning, *summa cum laude*, Franklin University

#### **Designations:**

##### **CFP® - Certified Financial Planner**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

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.

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

- Education – 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 – Pass the comprehensive CFP® Certification Examination. The examination 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.
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- 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:

- i. Continuing Education – 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; and
- ii. 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.

## **AIF® - Accredited Investment Fiduciary**

Bryan Smith has been awarded the Accredited Investment Fiduciary® (AIF®) and Professional Plan Consultant™ (PPC™) designations from the Center for Fiduciary Studies™ (the Center), the standards- setting body for fi360.

The AIF designation signifies specialized knowledge of fiduciary responsibility and the ability to implement policies and procedures that meet a defined standard of care. The designation is the culmination of a rigorous training program, which includes a comprehensive, closed-book final examination under the supervision of a proctor, and agreement to abide by the Code of Ethics and Conduct Standards. On an ongoing basis, completion of continuing education and adherence to the Code of Ethics and Conduct Standards are required to maintain the AIF and PPC designations.

Based near Pittsburgh, Pa., fi360 is the first full-time training and research facility for fiduciaries and conducts training programs throughout the United States and abroad. The Center for Fiduciary Studies confers the AIF designation as well as the Professional Plan Consultant™ (PPC™) designations.

## **Business Background:**

**Naples Asset Management Company, LLC:** Estero, Florida, President, Director of Asset Management and Retirement Plan Services. From 2008 to Present.

**MSC-BD, LLC:** Naples, Florida, Registered Representative. FINRA Broker Dealer Member of SIPC 2008 - 2012

**UBS Financial Services, Inc.:** Ft Myers, Florida, Registered Representative 2007 - 2008

**Key Banc Capital Markets Inc.:** Florida, Registered Representative 2006 - 2007

**Registered Representative/ Licensed Insurance Agent:** For FINRA member Broker/Dealers and insurance companies 1992 - Present

## **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

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

Bryan Smith is a licensed insurance agent. From time to time, he will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. Naples Asset Management Co., LLC always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Naples Asset Management Co., LLC in their capacity as a licensed insurance agent.

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

Bryan Smith does not receive any economic benefit from any person, company, or organization, other than Naples Asset Management Co., LLC in exchange for providing clients advisory services through Naples Asset Management Co., LLC.

#### **Item 6: Supervision**

As a representative of Naples Asset Management Co., LLC, Bryan Smith is supervised by Paul McIntyre, the firm's Chief Compliance Officer. Paul McIntyre is responsible for ensuring that Bryan Smith adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Paul McIntyre is (239) 287-3789.

