

*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, CRPS<sup>®</sup>, AIF<sup>®</sup>**

Personal CRD Number: 2324786

**Investment Adviser Representative**

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

999 VANDERBILT BEACH ROAD, SUITE 200

NAPLES, FL 34108

OFFICE: (239) 481-7550

FAX: 813-200-8308

DIRECT: 239.233.4354

[bsmith@namcoa.com](mailto:bsmith@namcoa.com)

UPDATED: 12/12/2018

## 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:**

##### **CRPS® - Chartered Retirement Plans Specialist**

The CHARTERED RETIREMENT PLANS SPECIALIST™, CRPS® is a professional designation credential focusing on retirement plan administration, granted in the United States by the College for Financial Planning, which is accredited by the Higher Learning Commission (HLC), and is a member of the North Central Association (NCA).

The CRPS® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CRPS® certification. The program is recognized in the United States as the industry benchmark for credentials focusing on business retirement plan administration.

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

- Education – Complete a graduate-level course of study addressing the 10 major subject areas that the College has determined as necessary for the competent and professional delivery of services. Subject areas include Defined Benefit plans, Defined Contribution plans, SEP and SIMPLE plans, Nonprofit Organization and Government plans, Retirement Plan Distributions, and Fiduciary Responsibilities, Prohibited Transactions, and Investment Issues.
- Examination – Pass the comprehensive CRPS® Certification Examination.
- Standards of Professional Conduct – Agree to adhere to standards of acceptable professional conduct, and to disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, proceeding relating to ones professional or business conduct.

Individuals who become certified must complete 16 hours of continuing education every two years.

### **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.

