

### FINANCIAL INVESTMENT ADVISORY COMMITTEE APPLICATION

This form must be completed in full, signed, and notarized.

#### PERSONAL INFORMATION

1. Name: Mr. Eric Brian Smith, Jr., CFP®  
Dr./Mr./Mrs./Ms. First Middle/Maiden Last Suffix  
 Nickname/Preferred Name: Brian

2. Residence: 4117 Shoal Creek Lane E. Jacksonville, FL 32225 (Duval County)  
Street City County Zip Code  
 Post Office Box: \_\_\_\_\_ City: \_\_\_\_\_ County: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
 Telephone: (area code) number: (904) 642-6540 (h) Mobile: (area code) number: (904) 333-8865 (Preferred Number)

3. Business: Smith Financial Group  
Business Name  
4117 Shoal Creek Lane E. Jacksonville, FL 32225 (Duval County)  
Street City County Zip Code  
 Post Office Box: \_\_\_\_\_ City: \_\_\_\_\_ County: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
 Telephone: (area code) number: \_\_\_\_\_ Mobile: (area code) number: (904) 333-8865

4. Email: b.smith@jwcemail.com

5. To which address do you prefer correspondence regarding this application be sent?

Residence  Business

6. Is your address exempt from Chapter 119, Florida Statutes, regarding Public Records?

Yes  No

If yes, please explain: \_\_\_\_\_

7. Your Gender:  Male  Female

8. Describe yourself within one or more of the categories below. This information is requested pursuant to Section 760.80, Florida Statutes.

- Caucasian  "Asian American"  "physically disabled"
- "African American"  "Native American"
- "Hispanic American"  "American Woman"

9. As of what date have you been a continuous resident of:

A. Duval County? 7/7/1969 \* Except when I attended University of Florida. B. Florida? 7/7/1969  
Month/Day/Year Month/Day/Year

10. Are you a U.S. Citizen?  Yes  No

11. Are you registered to vote in Florida?  Yes  No If yes, County of Registration: Duval

### EDUCATION

12. High School: Sandalwood High School Jacksonville, FL  
Name City State

13. Postsecondary Institutions:

| Name and Location                              | Dates Attended   | Certificate/Degree Earned   |
|--|------------------|---|
| <u>University of Florida (Gainesville, FL)</u> | <u>1987-1992</u> | <u>B.A. Political Science with a Minor in Business Administration</u> |
|  |                  |   |
|  |                  |   |

### EMPLOYMENT

14. Provide the requested information for all employers within the last five years, beginning with the most current:

A. Self Employed 4117 Shoal Creek Lane E. Jacksonville, FL 32225  
Employer Address  
Investments and Insurance Financial Advisor More than 5 years  
Type of Business Occupation/Job Title Dates of Employment

B. \_\_\_\_\_  
Employer Address  
\_\_\_\_\_  
Type of Business Occupation/Job Title Dates of Employment

C. \_\_\_\_\_  
Employer Address  
\_\_\_\_\_  
Type of Business Occupation/Job Title Dates of Employment

## SPECIAL QUALIFICATIONS

15. List any special qualifications you think are relevant to your being appointed to the committee, including any type of licensure or certification you hold, as well as any civic, professional, or political organization to which you belong.

| <u>Type or Name of License or Certificate</u>         | <u>Number</u>                  | <u>Granting Agency</u> | <u>Date Granted</u> |
|---|--------------------------------|------------------------|---------------------|
| 220 General Lines (Property & Casualty)               | A245614                        | State of Florida       | 8/20/1993           |
| 214, 215, 216, & 218 Life, Health, & Variable Annuity | A245614                        | State of Florida       | 4/23/1998           |
| Series 6 License                                      | CRD# <del>104800</del> 3037048 | FINRA                  | 5/20/1998           |
| Series 63 License                                     | CRD# <del>65500</del> 3037048  | FINRA                  | 1/24/2000           |

  

| <u>Name of Civic, Professional or Political Organization</u> | <u>Offices Held</u> | <u>Membership Dates</u> |
|--|---------------------|-------------------------|
| see attachment   |                     |                         |

16. Give any additional information you believe is relevant to your appointment to the committee.

Certified Financial Planner™ practitioner - CFP® ID# 133753

## ETHICAL DISCLOSURE

17. As required by Board Rule, do you agree to file financial disclosure statements?  Yes  No

18. Have you been a registered lobbyist or have you lobbied at any level of government at any time during the past four years?  Yes  No

If yes, did you receive compensation other than reimbursement for expense?  Yes  No

| <u>Agency Lobbied</u> | <u>Principal(s) Represented</u> | <u>Dates</u> |
|-----------------------|---------------------------------|--------------|
|                       |                                 |              |
|                       |                                 |              |
|                       |                                 |              |

## Civic, Professional or Political Organizations

Jacksonville Chamber of Commerce Government Affairs Department Public Leadership Program  
2/99  
Ribault Clubhouse Preservation Task Force 1998  
Liberty Center for the Homeless Board of Directors 1998-02  
President, Jacksonville Jaycees 1997-98  
Selected for JCCI Forward, Forum for the future Nov. 1999  
Jacksonville Symphony Orchestra's Young Professionals Group, 2000  
Vice-Chair J.C.C.I. Forward Political Leadership and Civic Participation Committee 2000  
Chair JCCI Forward Political Leadership and Civic Participation Committee 2001  
Vice-Chair J.C.C.I. Forward Leadership Development Committee 2001-2003  
United Way of Northeast Florida, Employee Campaign Chair 1998, 1999, 2000  
United Way of N.E. Florida, Resource Management Team for Community Support Service  
Volunteer 2000, 2001, 2002  
Merrill Hills Homeowner's Association, Board Member 1999-2007  
Merrill Hills Homeowner's Association, Vice President 2000-2007  
Len Mattiase Charity Golf Tournament, Steering Committee Member 2000  
Bill Nelson for U.S. Senate, Duval County Steering Committee 2000  
Parliamentarian, Florida Jaycees 2002  
Chief of Staff, Florida Jaycees 2003  
JCCI Forward, Chair Elect 2003-2004  
Chair JCCI Forward, 2004-2005  
Immediate Past Chair, JCCI Forward 2005-2006  
JCCI Board of Directors 2005-2006  
CubScouts-Asst. Cubmaster  
Cubscouts-Cubmaster 2009-2011  
Boy Scouts--Friends of Scouting Fundraising Chair 2011-2015  
San Mateo Safety Patrol Parent Committee--VP 2011-12  
The Navy League Mayport Chapter Member 2011-Present  
Exchange Club of Jacksonville-Secretary 2011-12  
Exchange Club of Jacksonville-President Elect 2012-13  
Exchange Club of Jacksonville-Membership Committee Chair 2012-13  
Exchange Club of Jacksonville-President 2013-14  
Exchange Club of Jacksonville-Membership Committee Chair 2014-15  
Exchange Club of Jacksonville-District Convention Chair 2014-15

19. Has probable cause ever been found that you were in violation of:

A. Part III, Chapter 12, *Florida Statutes*, the Code of Ethics for Public Officers and Employees?

Yes  No

B. Chapter 602, *Jacksonville Municipal Code*, the Jacksonville Ethics Code?

Yes  No

If yes to either above, please provide:

| <u>Date</u> | <u>Nature of Violation</u> | <u>Disposition</u> |
|-------------|----------------------------|--------------------|
|             |                            |                    |
|             |                            |                    |
|             |                            |                    |

20. Have you ever been suspended from any public office or appointment?  Yes  No

If yes, please provide:

| <u>Title of Office</u> | <u>Date of Suspension</u> | <u>Reason for Suspension</u> | <u>Result (Reinstated/Removed)</u> |
|------------------------|---------------------------|------------------------------|------------------------------------|
|                        |                           |                              |                                    |
|                        |                           |                              |                                    |
|                        |                           |                              |                                    |

21. Have you ever been arrested, charged, or indicted for violation of any federal, state, county, or municipal law or ordinance? (Exclude traffic violations for which a fine of \$150 or less was paid.)

Yes  No

If yes, please provide:

| <u>Date</u> | <u>Place</u> | <u>Nature of Violation</u> | <u>Disposition</u> |
|-------------|--------------|----------------------------|--------------------|
|             |              |                            |                    |
|             |              |                            |                    |
|             |              |                            |                    |

22. Have you ever been refused a fidelity, surety, performance, or other bond?  Yes  No

If yes, please provide:

| <u>Type of Bond</u> | <u>Insurer or Bond</u> | <u>Date</u> | <u>Reason(s) Given</u> |
|---------------------|------------------------|-------------|------------------------|
|                     |                        |             |                        |
|                     |                        |             |                        |

23. Do you know any reason why you would not be able to attend fully to the duties of the committee to which you may be appointed?  Yes  No

If yes, please explain:

---

---

## HISTORY OF SERVICE

24. Have you ever been elected to any public office in Florida?  Yes  No  
If yes, please provide:

| <u>Office Title</u> | <u>Date of Election</u> | <u>Term of Office</u> | <u>Level of Government</u> |
|---------------------|-------------------------|-----------------------|----------------------------|
|---------------------|-------------------------|-----------------------|----------------------------|

---

---

---

25. Have you previously been appointed to any office that required confirmation by the Jacksonville City Council?  Yes  No  
If yes, please provide:

| <u>Title of Office</u> | <u>Term of Appointment</u> |
|------------------------|----------------------------|
|------------------------|----------------------------|

---

---

---

26. Have you ever been employed by any local governmental agency in Jacksonville/Duval County?  
 Yes  No  
If yes, please provide:

| <u>Position</u> | <u>Employing Agency</u> | <u>Dates of Employment</u> |
|-----------------|-------------------------|----------------------------|
|-----------------|-------------------------|----------------------------|

---

---

---

27. If you served on an appointed board, commission, council, or committee, and missed and regularly scheduled meetings, please provide:

| <u>Number of Meetings Attended</u> | <u>Number of Meetings Missed</u> | <u>Reason for Absence(s)</u> |
|------------------------------------|----------------------------------|------------------------------|
|------------------------------------|----------------------------------|------------------------------|

---

---

---