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## **BROCHURE SUPPLEMENT**

This brochure supplement provides information about Bryce James, Keith Campbell, Scott Sampson, and Mark Bergeron, and supplements the Smart Portfolios' brochure. You should have received a copy of that brochure. Please contact Bryce James, Chief Operating Officer, (206) 686-3644 or [bjames@smartportfolios.com](mailto:bjames@smartportfolios.com) if you did not receive Smart Portfolios' brochure or if you have any questions about the contents of this supplement.

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

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# Bryce James

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## **Educational Background and Business Experience**

Bryce James, born November 6, 1959, has over thirty-five years of hands-on investment experience. For the past 18 years Mr. James has served as president of Smart Portfolios, LLC, an institutional money management firm which he founded. Previously, Mr. James was a partner and founder of Shield Investment Advisors, a fixed-income fund of hedge funds. Prior to Shield Investment Advisors, Mr. James was a Senior Vice President with Morgan Stanley.

Mr. James has spent most of his career as a portfolio manager and consultant to corporations, trusts, retirement plans, ESOPs and ultra-high net worth individuals. He specializes in building custom trading algorithms, financial content delivery systems, and performance measurement software solutions.

Mr. James has been a principal and senior officer in several start-up companies, in addition to founding a non-profit angel investment organization called Investment Forum.

Mr. James holds a B.S. in Accounting, Finance and Marketing from Central Washington University.

## **Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Mr. James. There are no such events.

## **Other Business Activities**

Registered investment advisers are required to disclose all material facts regarding certain business activities that would be material to your evaluation of Mr. James. Mr. James is founder and president of Portfolio Mason, an online risk management and portfolio building suite of tools for the financial industry.

## **Additional Compensation**

Mr. James does not receive economic benefits for providing advisory services, other than the regular salary paid by Smart Portfolios, LLC.

## **Supervision**

Smart Portfolios, LLC provides investment advisory and supervisory services in accordance with its policies and procedures manual. The primary purpose of the firm's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The firm's Chief Compliance Officer, Kristin Copper, is primarily responsible for the implementation of the firm's policies and procedures and overseeing the activities of the firm's supervised

persons. Should an employee, independent contractor, investment adviser representative, or promoter of Smart Portfolios, LLC 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 firm's supervision or compliance practices, please contact Kristin Copper at (925) 743-8449.

# Keith Campbell

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## **Educational Background and Business Experience**

Keith Campbell has been a Senior Quantitative Researcher of Smart Portfolios, LLC since May 2012 and is responsible for implementing Smart Portfolio's quantitative asset allocation model. This includes code development, research, portfolio management and trade execution.

Mr. Campbell holds a master's degree in financial engineering from the University of Michigan. Prior to joining Smart Portfolios, Mr. Campbell was Head of Portfolio Construction and founding member of Reign Capital Management, a Managed Futures Commodity Trading Advisor (CTA).

In total, Mr. Campbell has over fifteen years of financial industry experience. He also served as a quantitative systems developer for Rotella Capital Management, CTA, and as a credit risk analyst for Bank One. He also holds a BS in Industrial Engineering from Purdue University and began his career with 2 years of engineering/manufacturing with General Electric. Mr. Campbell was born in 1979.

## **Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Mr. Campbell. There are no such events.

## **Other Business Activities**

Registered investment advisers are required to disclose all material facts regarding certain business activities that would be material to your evaluation of Mr. Campbell. Mr. Campbell is a partial owner in Portfolio Mason and spends a small amount of time working for Portfolio Mason.

## **Additional Compensation**

Mr. Campbell does not receive economic benefits for providing advisory services, other than the regular salary paid by Smart Portfolios, LLC.

## **Supervision**

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representative, or promoter of Smart Portfolios, LLC 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 firm's supervision or compliance practices, please contact Kristin Copper at (925) 743-8449.

# J. Scott Sampson

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## Educational Background and Business Experience

J. Scott Sampson was born in 1950. He received an AB in Psychology from University of California, Berkeley in 1972. Mr. Sampson has been a Senior Investment Adviser of Smart Portfolios, LLC since January 2019. Mr. Sampson has been the Principal of Sampson Investment Management, an investment advisory firm, since May 1993.

Mr. Sampson is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### **Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Mr. Sampson. There are no such events.

### **Other Business Activities**

Registered investment advisers are required to disclose all material facts regarding certain business activities that would be material to your evaluation of Mr. Sampson. Mr. Sampson currently has no outside business activities.

### **Additional Compensation**

Mr. Sampson does not receive economic benefits for providing advisory services, other than the regular salary paid by Smart Portfolios, LLC.

### **Supervision**

Smart Portfolios, LLC provides investment advisory and supervisory services in accordance with its policies and procedures manual. The primary purpose of the firm’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “Act”). The firm’s Chief Compliance Officer, Kristin Copper, is primarily responsible for the implementation of the firm’s policies and procedures and overseeing the activities of the firm’s supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of Smart Portfolios, LLC 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 firm’s supervision or compliance practices, please contact Kristin Copper at (925) 743-8449.

# Mark Bergeron

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## Educational Background and Business Experience

Mark Bergeron, born January 13, 1949, has over thirty-nine years of investment and financial planning experience with firms such as Quantum Planning & Investment Group, U.S. Bank, and ICM Asset Management out of Spokane, and The Adviser Source and WLFB, Inc., in Puget Sound. Mr. Bergeron has served as a Financial Planning Consultant of Smart Portfolios, LLC since April of 2019, and as President of his own boutique RIA, WLFB, Inc., in Bellevue, Washington since 1997. Mr. Bergeron has been specializing in financial planning since 1980. Mr. Bergeron holds both a B.A. and an M.A. in History from Washington State University.

Mr. Bergeron is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.



Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### **Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Mr. Bergeron. There are no such events.

### **Other Business Activities**

Mr. Bergeron, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Bergeron to purchase insurance products on a commission basis. The recommendation by Mr. Bergeron that a client purchase an insurance commission product presents a conflict of interest, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any insurance commission products from Mr. Bergeron. Clients are reminded that they may purchase insurance products recommended by Mr. Bergeron through other, non-affiliated insurance agents.

Mr. Bergeron is the owner, President and compliance officer of WLFB Inc., a Washington state registered investment advisory firm that delegates investment management services to third party money managers.

### **Additional Compensation**

Mr. Bergeron’s annual compensation is based, in part, on the amount of assets under management and the number of clients that Mr. Bergeron introduces to the firm. Accordingly, Mr. Bergeron has a conflict of interest for recommending the firm to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client’s best interests.

## **Supervision**

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