

Financial & Tax Architects, LLC

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Form ADV Part 2B

Jason Smitka

Jason Smitka Office Location

13200 Metcalf Avenue, Suite 105

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This brochure supplement provides information about Jason Smitka that supplements Financial & Tax Architects, LLC's brochure. You should have received a copy of that brochure. . Please contact Gordon Haave, Chief Compliance Officer, if you did not receive Financial & Tax Architects, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Jason Smitka (CRD #3079456) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Brochure Supplement (Part 2B of Form ADV)

Jason Smitka

Investment Advisor Representative

Year of Birth: 1977

### Item 2 Educational Background and Business Experience :

#### Educational Background:

- Ottawa University; Bachelor of Science Degree – Business

#### Business Experience:

- Investment Advisor Representative: Financial and Tax Architects, LLC; 02/2022–Present
- Investment Advisor Representative: Scout Wealth Management, LLC; 06/2018–01/2022
- Investment Advisor Representative: AE Wealth Management, LLC; 01/2017–06/2018
- Registered Representative/Investment Advisor Representative: Client One Securities, LLC; 01/2014–12/2016
- Owner/Licensed Insurance Agent: Smitka & Associates, LLC; 03/2011–Present
- Director of Education: Creative Marketing; 06/2007–03/2011
- Regional Manager: PlanChoice, Inc.; 10/2006–06/2007
- Regional Manager: Kansas City Life Insurance Company; 04/2002–09/2006
- Registered Representative: The Lewer Agency; 11/2000–03/2002
- Registered Representative: Simmers Capital Management; 08/1998–10/2000

### Item 3 Disciplinary Information

- Criminal or Civil Action: None to report.
- Administrative Proceeding: None to report.
- Self-Regulatory Proceeding: None to report.

### Item 4 Other Business Activities

Jason Smitka is the Owner Smitka & Associates, LLC, an insurance agency. Mr. Smitka is a licensed agent of Smitka & Associates, LLC. Mr. Smitka only sells insurance products in states where he is licensed.

This practice represents a conflict of interest. There is a financial incentive for Mr. Smitka to recommend products that pay him a commission or other additional compensation. The conflict mitigation steps include client disclosures, the Code of Ethics, and Mr. Smitka's fiduciary obligation to place the best interests of his client before his own. There is no obligation to purchase insurance and annuity products through Mr. Smitka. The decision to purchase such products does not impact the availability or cost of advisory services.

**AdvisorMax, LLC:** AdvisorMax, LLC is an affiliate of FTA which sells insurance and annuity products to FTA clients. AdvisorMax, LLC, is an insurance and annuity field marketing organization ("FMO") A FMO is a platform that brings insurance companies and insurance agents together. AdvisorMax recruits insurance agents to its wholesale platform of insurance products

and product support. The platform allows agents to access the product offerings of insurance product underwriters. When a supported agent sells a product, the insurance or annuity company pays a sales commission directly to AdvisorMax. The selling agent also is paid a commission based on the value of the product. The insurance company pays AdvisorMax the commission. In some instances, FTA's investment advisory representatives may sell insurance products using AdvisorMax as the FMO. Sales commissions paid to FTA advisory representatives are separate from FTA's advisory fees.

Jason Smitka is also a consultant for AdvisorMax, LLC. This outside activity provides a substantial source of Jason Smitka's income and involves a substantial amount of his time.

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

Mr. Smitka does not receive additional compensation from his advisory activities. He does receive additional compensation from the outside business activities described above.

Mr. Smitka is not paid performance-based fees.

#### **Item 6 Supervision**

Gordon Haave is the Chief Compliance Officer of Financial & Tax Architects, LLC. Gordon Haave and FTA's senior management supervise the advisory activities of Mr. Smitka. Gordon Haave can be reached by phone at 314-377-5565 or by email at [ghaave@fta-ria.com](mailto:ghaave@fta-ria.com).