



## Timothy B. Smith

CRD# 2758223

Insurance License # 904791

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**This Brochure Supplement provides information about Timothy Smith that supplements the Lion Street Advisors, LLC Brochure. You should have received a copy of that Brochure. Please contact Advisor Services at 512/776-8400 if you did not receive Lion Street Advisors, LLC Brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2- Educational Background and Business Experience**

**Born:** 10/20/1964

**Full Legal Name:** Timothy Brian Smith

**Education:**

BA Business Administration - Governors State University

**Employment History:**

**02/2014 - present** Lion Street Advisors, LLC

Houston TX. Investment Advisor

**02/2014 - present** Lion Street Financial, LLC

Houston TX. Registered Representative

**02/2014 - present** Lion Street Inc.

Houston TX. Insurance Agent

**12/2003 - 01/2014** AXA Advisors, LLC

New York NY. Registered Representative

## **Item 3- Disciplinary Information**

There have been no disciplinary actions against Mr. Smith while in the Financial Services Industry.

## **Item 4- Other Business Activities**

Mr. Smith is a Registered Representative with Lion Street Financial, LLC, a broker dealer and an insurance agent with Lion Street, Inc. an insurance agency. His affiliation with these entities creates a conflict of interest because he may recommend transactions based upon the potential compensation he might receive. This compensation is in addition to any fees Mr. Smith may receive in his role as an Investment Adviser representative with Lion Street Advisors, LLC. To mitigate this conflict, Lion Street Advisors reviews transactions to ensure they are in the client's best interests. In addition, Lion Street Financial, LLC reviews all transactions for suitability and appropriateness. We require that all Investment Adviser Reps disclose this conflict of interest when such recommendations are made and to disclose to Clients that they may purchase recommended products from other representatives not affiliated with us.

## **Item 5- Additional Compensation**

Mr. Smith is eligible to receive incentive awards (including prizes such as trips or bonuses) for recommending certain types of insurance policies or products that he recommends.

Mr. Smith does not receive any additional compensation related to the provision of investment advisory services.

### **Item 6 - Supervision**

Mr. Smith is supervised by Kyle Wardlaw, Director of Sales Supervision, who may be reached at 512-709-1517.

### **Item 7 - Requirements for State-Registered Advisers**

Mr. Smith does not have any disciplinary events that are required to be disclosed. He has not been the subject of a bankruptcy petition.