

SUPERVISED PERSON BROCHURE

FORM ADV PART 2B

Arthur “J” Smithee Jr., CFP®



Diamond

Wealth Management, LLC

Office Address:

11433 E Desert Raptor Loop
Tucson, AZ 85747

Tel: 801-216-4811

Email: jsmithee@diamondwealthmgt.com

www.Diamondwealthmgt.com

This brochure supplement provides information about Arthur “J” Smithee Jr. and supplements the Diamond Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Arthur “J” Smithee Jr. if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Arthur “J” Smithee Jr. (CRD #7036136) is available on the SEC's website at www.adviserinfo.sec.gov.

March 2024

Brochure Supplement (Part 2B of Form ADV)

Supervised Person Brochure

Arthur "J" Smithee Jr., CFP®

- Year of birth: 1959
-

Item 2 Educational Background and Business Experience

Educational Background:

- Brigham Young University; Course work in Personal Finance; Attended 1977 – 1978; 1980 – 1981

Business Experience:

- Diamond Wealth Management, LLC; Investment Advisor Representative; 09/2018-Present
- Zellim, Inc.; Board Member; 04/2021 - Present
- Joshua Management Group, LLC; Manager; 09/2009 – Present
- Novox LLC; Manager; 02/2018 - Present
- Omninox Technologies LLC; Manager; 02/2018 – Present
- Arthur J Smithee, Jr., Sole Proprietor; Insurance Agent; 07/1981 - Present
- BCF Planning, Inc.; Investment Advisor Representative; 11/2017 – 01/2018
- Berthel, Fisher & Company Financial Services, Inc.; Registered Representative; 08/2017 – 01/2018
- BCF Planning, Inc.; Investment Advisor Representative; 02/2015 – 05/2017
- Berthel, Fisher & Company Financial Services, Inc.; Registered Representative; 01/2015 – 05/2017
- LPL Financial LLC; Investment Advisor Representative/Registered Representative; 05/2004 – 01/2015

Item 3 Disciplinary Information

Criminal or Civil Action: None to report.

Administrative Proceeding: None to report.

Self-Regulatory Proceeding: *Self-Regulatory Proceeding:* J Smithee was suspended and fined by FINRA on 04/25/2017 for failure to disclose outside business activities and a private securities transaction (docket case 2015044115601).

Item 4 Other Business Activities

J Smithee has a financial affiliated business as an insurance agent as a sole proprietor. Approximately 1% of his time is spent on this activity. He will offer Clients services from those activities. As an insurance agent, he may receive separate yet typical compensation. He also consults in areas of Business and Estate planning, Family succession planning and charitable and tax strategy planning. For which he may receive separate yet typical compensation.

This practice represents a conflict of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent or consultant of their choosing.

Mr. Smithee holds a real estate license, and undertakes investing in real estate. He spends approximately 5% of his time with this practice.

Mr. Smithee also manages Joshua Management Group, LLC a technology consulting firm; Omninox Technologies LLC and Novox LLC, medical device development and manufacturing firms. He spends approximately 1% of his time in these capacities. There are no conflicts of interest as advisory clients of Diamond Wealth Management, LLC are not solicited for services for Joshua Management Group, LLC, Novox LLC and Omninox Technologies LLC. Mr. Smithee is also on the board of directors for Zelem, Inc. a software development company. He spends approximately 5% of this time in this practice.

Item 5 Additional Compensation

Mr. Smithee receives additional compensation as an insurance agent and he may receive compensation for his role as manager in the other firms he is affiliated with, as well as receiving compensation for his role as board member.

Item 6 Supervision

Mr. Smithee is supervised by David Hill, Chief Compliance Officer of DWM. He reviews Mr. Smithee's work through client account review, quarterly personal transaction reports as well as face-to-face and phone interactions. David Hill can be contacted at the following information:

PHONE: 801-216-4811 EMAIL: dave@diamondwealthmgt.com