

**FORM ADV PART 2B BROCHURE SUPPLEMENT - Roman N. Franklin**

**Item 1 – Cover Page**

Roman N. Franklin  
SMC Global USA, Inc.  
1345 Avenue of the Americas  
New York, NY 10105  
(212) 878-3600

Date of Supplement: January 2016

**This brochure supplement provides information about Roman N. Franklin that supplements the SMC Global USA, Inc. (“SMC Global”) disclosure brochure. You should have received a copy of that brochure. Please contact Roman N. Franklin at (212) 878-3600 or at [RF@smcglobalusa.com](mailto:RF@smcglobalusa.com) if you did not receive SMC Global’s brochure or if you have any questions about the contents of this supplement.**

**Additional information about Roman N. Franklin is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 – Educational Background and Business Experience**

**Roman N. Franklin**

Born 1983, CRD # 4829054

***Post-Secondary Educational Background:***

Barry University, Bachelor’s Degree in Business Administration: 2007

Stetson University, Masters of Business Administration: 2011

***Business Background:***

SMC Global, Chief Investment Officer/Chief Compliance Officer, 01/2016 to Present;

Axis India, LLC, Co-founder, 07/2015 to Present

Bauerle Financial Inc., Investment Advisor Representative, 05/2014 to Present

Franklin Financial Planning, Inc., Owner, Investment Advisor Representative, 08/2006 to 12/2014

**Item 3 – Disciplinary Information**

Roman N. Franklin has no legal or disciplinary events to report.

**Item 4 – Other Business Activities**

*See Item 10 – Other Financial Industry Activities and Affiliations.*

**Item 5 – Additional Compensation**

Mr. Franklin will receive normal and customary fee only compensation from Axis India and from Bauerle in his various roles.

**Item 6 – Supervision**

Roman N. Franklin is the Chief Compliance Officer of SMC Global. He is responsible for overseeing and enforcing the firm's compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives. Roman N. Franklin can be contacted at (212) 878-3600.