

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**June 25<sup>th</sup>, 2020**

**David M. Smith**

**Redwood Park Advisors**  
**3 Twin Dolphin Drive, Suite 210**  
**Redwood City, CA 94065**

**Firm Contact:**  
**Benjamin Pettigrew**  
**Chief Compliance Officer**

This brochure supplement provides information about Mr. Smith that supplements our brochure. You should have received a copy of that brochure. Please contact Benjamin Pettigrew if you did not receive Redwood Park Advisors, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Smith is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #4892506.

## Item 2: Educational Background & Business Experience

**David M. Smith**

**Year of Birth:** 1980

### **Educational Background:**

- 2003: San Diego State University; B.S. in Business Administration, Finance

### **Business Background:**

- 06/2020 – Present Redwood Park Advisors; Member & Investment Advisor Representative
- 06/2016 – 05/2020 LPL Financial, LLC; Registered Representative & Financial Advisor
- 01/2016 – 06/2016 Sabbatical
- 07/2013 – 12/2015 Stamos Capital Partners, L.P.; Senior Analyst
- 11/2012 – 07/2016 Alameda County Employees' Retirement Association (ACERA); Senior Consultant & Investment Analyst
- 05/2006 – 11/2012 Sutter Securities Incorporated; Vice President

### **Exams, Licenses & Other Professional Designations:**

- 2016: Series 7 & Series 63 Exams
- 2009: Chartered Financial Analyst (CFA®)

### **Chartered Financial Analyst (CFA®)**

The CFA® charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA® Institute — the largest global association of investment professionals. To earn the CFA® charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA® Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA® Institute Code of Ethics and Standards of Professional Conduct. The CFA® Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession. To learn more about the CFA® charter, visit [www.CFAinstitute.org](http://www.CFAinstitute.org).

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Mr. Smith.

<sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

#### **Item 4: Other Business Activities**

Mr. Smith does not have any outside business activities to report.

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

Mr. Smith does not receive any other economic benefit for providing advisory services in addition to advisory fees.

#### **Item 6: Supervision**

Benjamin Pettigrew is the other principal of Redwood Park Advisors and as such supervises and monitors Mr. Smith's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Pettigrew if you have any questions about Mr. Smith's brochure supplement at 1-866-579-8808.

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

Mr. Smith has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.