

“Our people make us great.”



## James Smith

Institutional Team Leader, Chief Compliance Officer  
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### EXPERIENCE

James Smith is the manager of Phillip and Company's 401(k), 403(b), and Defined Benefits Team. He joined the firm in 1994 and has more than 25 years of industry experience; experience which he leverages to coordinate team resources, as well as ensure clients and plan participants are receiving the highest level of service. James is also experienced in providing investment advice to corporations, foundations, endowments, and high-net worth individuals.

James has served as a Principal, Chief Compliance Officer, Chief Financial Officer, and Chief Operations Officer. He earned a Bachelor of Science in Business Administration from Pepperdine University in 1989 and completed his Juris Doctorate at Lewis and Clark Law School in 2016.

### RESPECT

James was named as one of *Financial Times'* Top 401 Retirement Advisers (September 2016).

### COMMUNITY INVOLVEMENT

Active in his community, James has volunteered for and supported the Boy Scouts, numerous youth sports programs, charities serving the homeless and elderly, and organizations serving those who are fighting cancer.