

Item 1 Cover Page

A.

Timothy F. Crandall

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer
10 N. Third Street
Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Timothy F. Crandall that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Timothy F. Crandall is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Timothy F. Crandall was born in 1962. Mr. Crandall attended Waubonsee Community College, Illinois, and received an Associate of Science degree in Accounting in 1982. Mr. Crandall graduated from Northern Illinois University in 1984, with a Bachelor of Science degree in Accounting. Mr. Crandall has been employed as an investment adviser representative of Leelyn Smith, LLC since November of 1997 and as a Registered Representative of LPL Financial Corporation since November of 2017. Mr. Crandall was also an investment adviser representative of LPL Financial Corporation from December of 2017 to May of 2018. Previously he worked as a Registered Representative of Securities America, Inc., from November of 1994 to January of 2011, and of National Planning Corporation from January of 2011 to November of 2017. From September of 2011 to December of 2017, he was the Chief Executive Officer for the firm. Mr. Crandall is the Managing Partner of Leelyn Smith Tax, LLC (from August of 1984 to the present).

Mr. Crandall has held the designation of Certified Public Accountant (“CPA”) since 1984. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA’s *Code of Professional Conduct* within their state accountancy laws or have created their own. In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

Mr. Crandall became an Accredited Investment Fiduciary® (AIF®) in November of 2014. The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

Item 3 Disciplinary Information

Customer Dispute. The site provides the following information: While Mr. Crandall was employed with Securities America, Inc., a client submitted a letter claiming bad investments, without a specific claim of damages other than a sum of \$5,000. The complaint was received on 8/21/2009. The matter was closed with no action taken (12/3/2009). Otherwise, there are no criminal or civil actions, no administrative enforcement proceedings, no self-regulatory organization enforcement proceedings or other proceedings to report.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Mr. Crandall is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer (CRD# 6413). Clients may choose to engage Mr. Crandall in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Crandall that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Crandall. Clients are reminded that they may purchase investment products recommended by Mr. Crandall through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Crandall. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Crandall is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. **Licensed Insurance Agent.** Mr. Crandall, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Crandall to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Crandall that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any insurance commission products from Mr. Crandall. Clients are reminded that they may purchase insurance products recommended by Mr. Crandall through other, non-affiliated insurance agents. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Certified Public Accountant (CPA). Mr. Crandall is a Certified Public Accountant and Managing Partner of Leelyn Smith Tax, LLC, an accountancy firm. Mr. Crandall, in his individual capacity, is a certified public accountant, and may recommend his tax preparation and/or accounting services. To the extent a client determines to engage Mr. Crandall to provide tax preparation and/or accounting services, such services shall be provided by Mr. Crandall in his individual capacity as a certified public accountant,

independent of Registrant. Registrant shall receive no portion of fees charged by Mr. Crandall for such services. **Conflict of Interest:** The recommendation by Mr. Crandall that a client elect his accounting services presents a *conflict of interest*, as the receipt of fees for accounting services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Mr. Crandall for accounting services. Clients are reminded that they may elect to obtain accounting services recommended by the Registrant through other non-affiliated certified public accountants. **The Registrant's Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Christopher J. Crandall

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Christopher J. Crandall that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Christopher J. Crandall is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Christopher J. Crandall was born in 1959. Mr. Crandall attended Waubonsee Community College, Illinois, where he earned an Associate of Science degree in Accounting in 1980. In 1992, he received a Bachelor of Science degree from Northern Illinois University in Accounting, and in 1996 a Master of Science degree in Finance from Northern Illinois University. Mr. Crandall has been employed as an investment adviser representative of Leelyn Smith, LLC since March of 1997 and as a Registered Representative of LPL Financial Corporation since November of 2017. Mr. Crandall was also an investment adviser representative of LPL Financial Corporation from December of 2017 to May of 2018. Previously he worked as a Registered Representative of Securities America, Inc., from August of 1997 to January of 2011, and of National Planning Corporation from January of 2011 to November of 2017. Mr. Crandall is also an accountant of Leelyn Smith Tax, LLC, (from August of 1997 to the present).

Mr. Crandall has held the designation of Certified Public Accountant (“CPA”) since 1994. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA’s *Code of Professional Conduct* within their state accountancy laws or have created their own.

In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

A. **Registered Representative of LPL Financial Corporation.** Mr. Crandall is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer (CRD# 6413). Clients may choose to engage Mr. Crandall in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.

1. **Conflict of Interest.** The recommendation by Mr. Crandall that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Crandall. Clients are reminded that they may purchase investment products recommended by Mr. Crandall through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

2. **Commissions.** In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Mr. Crandall. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Crandall is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.
- B. **Licensed Insurance Agent.** Mr. Crandall, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Crandall to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Crandall that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Crandall. Clients are reminded that they may purchase insurance products recommended by Mr. Crandall through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Certified Public Accountant (CPA). Mr. Crandall is a Certified Public Accountant of Leelyn Smith Tax, LLC, an accountancy firm. Mr. Crandall, in his individual capacity, is a certified public accountant, and may recommend his tax preparation and/or accounting services. To the extent a client determines to engage Mr. Crandall to provide tax preparation and/or accounting services, such services shall be provided by Mr. Crandall in his individual capacity as a certified public accountant, independent of Registrant. Registrant shall receive no portion of fees charged by Mr. Crandall for such services. **Conflict of Interest:** The recommendation by Mr. Crandall that a client elect his accounting services presents a *conflict of interest*, as the receipt of fees for accounting services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Mr. Crandall for accounting services. Clients are reminded that they may elect to obtain accounting services recommended by the Registrant through other non-affiliated certified public accountants. **The Registrant's Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

J. Brian Dorn

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about J. Brian Dorn that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about J. Brian Dorn is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

J. Brian Dorn was born in 1972. Mr. Dorn graduated from Lake Forest College in 1995, with a Bachelor of the Arts degree in Economics. Mr. Dorn has been employed as an investment adviser representative of Leelyn Smith, LLC since November of 2012 and as a Registered Representative of LPL Financial Corporation since November of 2017. Mr. Dorn was also an investment adviser representative of LPL Financial Corporation from December of 2017 to May of 2018. Previously he worked as a Registered Representative of National Planning Corporation from November of 2012 to November of 2017, as an Investment Consultant for Arrow Funds from 2006-2012, as a Product Developer for Rydex Funds from 2004-2006, as a Project Manager from Morningstar, Inc. from 2002-2004 and as a Product Manager at Thomson Financial from 1998-2002.

Mr. Dorn became an Accredited Investment Fiduciary® (AIF®) in April of 2016. The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Mr. Dorn is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer (CRD# 6413). Clients may choose to engage Mr. Dorn in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Dorn that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Dorn. Clients are reminded that they may purchase investment products recommended by Mr. Dorn through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Dorn. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Dorn is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

Mr. Dorn's annual compensation is based, in part, on the amount of assets under management that Mr. Dorn introduces to the Registrant. Accordingly, Mr. Dorn has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Andrew R. Grider

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Andrew R. Grider that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Andrew R. Grider is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Andrew R. Grider was born in 1979. Mr. Grider graduated from Purdue University in 2001, with a Bachelor of Science degree in Management & Finance. Mr. Grider has been employed as an investment adviser representative of Leelyn Smith, LLC since December of 2011 and has served as CEO since December of 2017 and CCO since March of 2021; he previously served as President from September of 2011 to December of 2017. He has also been a Registered Representative of LPL Financial Corporation, since December of 2017. Mr. Grider was an investment adviser representative of LPL Financial Corporation from December of 2017 to May of 2018. Previously he has worked as a Registered Representative of Securities America, Inc., from September of 2007 to January of 2011, and of National Planning Corporation from January of 2011 to November of 2017. From August of 2001 to September of 2007, Mr. Grider was employed as an analyst of Goodrich Corporation. Mr. Grider is the Owner of Leelyn Smith Tax, LLC (from March of 2020 to the present).

Mr. Grider has been a CFA[®] Charterholder since 2012. CFA[®] designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst[®] (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.

There are currently more than 170,000 CFA[®] Charterholders working in over 170 countries and regions. 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.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA[®] Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA[®] charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA[®] Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA[®] charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

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.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Mr. Grider is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer (CRD# 6413). Clients may choose to engage Mr. Grider in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Grider that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Grider. Clients are reminded that they may purchase investment products recommended by Mr. Grider through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Grider. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Grider is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

Registrant’s Managing Member, Andrew Grider, has personally been offered by LPL and has accepted a loan as an incentive to develop new business and to expand his relationship with the broker-dealer. For clarity purposes this loan has not been made to Registrant. In order for the personal loan to be forgiven by FSC over a period of years, Mr. Grider is required to maintain his securities license in good standing in the industry, make any required note payments to LPL in a timely manner, not become insolvent or declare bankruptcy, and remain affiliated with LPL without cause for termination throughout the duration of the term for the note. Amounts due under the loan shall be collected by reducing net commissions and fees due to Mr. Grider from LPL. This loan agreement provides Mr. Grider with an incentive to remain affiliated with LPL for the specified number of years, which is deemed a *conflict of interest* for his clients. However, to help mitigate this conflict of interest, Mr. Grider conducts regular reviews of his relationship with LPL in light of changing financial industry conditions which could impact his clients’ best interests. He is free to terminate his affiliation with LPL at any

time and immediately repay any remaining note balances due plus any accrued interest. Mr. Grider has been affiliated with *LPL* since 2017, yet he maintains adequate liquid funds in order to repay any outstanding note balances in the event he should choose to terminate his affiliation with *LPL* in the future.

- B. **Licensed Insurance Agent.** Mr. Grider, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Grider to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Grider that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Grider. Clients are reminded that they may purchase insurance products recommended by Mr. Grider through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Charles R. Hartman

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer
10 N. Third Street
Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Charles R. Hartman that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Charles R. Hartman is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Charles R. Hartman was born in 1965. Mr. Hartman graduated from the College of Dupage in 1992, with an Associate of Science degree in Accounting. Mr. Hartman has been employed as an investment adviser representative of Leelyn Smith, LLC, since March of 1999 and as a Registered Representative of LPL Financial Corporation since November of 2017. Mr. Hartman was also an investment adviser representative of LPL Financial Corporation from December of 2017 to May of 2018. Previously he worked as a Registered Representative of Securities America, Inc., from November of 1998 to January of 2011, and of National Planning Corporation from January of 2011 to November of 2017.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Mr. Hartman is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer (CRD# 6413). Clients may choose to engage Mr. Hartman in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Hartman that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Hartman. Clients are reminded that they may purchase investment products recommended by Mr. Hartman through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Hartman. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Hartman is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. **Licensed Insurance Agent.** Mr. Hartman, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Hartman to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Hartman that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any insurance commission products from Mr. Hartman. Clients are reminded that they may purchase insurance products recommended by Mr. Hartman through other, non-affiliated insurance agents. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Jean M. Baert

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Jean M. Baert that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Jean M. Baert is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Jean M. Baert was born in 1961. Ms. Baert graduated from Northern Illinois University in 1994, with a Bachelor of Science degree in Accounting. Ms. Baert has been employed as an investment adviser representative of Leelyn Smith, LLC, since August of 2010 and as a Registered Representative of LPL Financial Corporation since November of 2017. Ms. Baert was also an investment adviser representative of LPL Financial Corporation from December of 2017 to May of 2018. Previously she worked as a Registered Representative of Securities America, Inc., from June of 2008 to January of 2011, and of National Planning Corporation from January of 2011 to November of 2017. Ms. Baert is the Vice President of and a Certified Public Accountant for Leelyn Smith Tax, LLC (from September of 1994 to the present).

Ms. Baert has been a CERTIFIED FINANCIAL PLANNER™ professional since January of 2008. Certified Financial Planner Board of Standards, Inc. ("CFP Board") owns the CFP® certification mark, the CERTIFIED FINANCIAL PLANNER™ certification mark, and the CFP® certification mark (with flame design) logo in the United States (these marks are

collectively referred to as the “CFP® marks”). The CFP Board authorizes use of the CFP® marks by individuals who successfully complete the CFP Board’s initial and ongoing certification requirements.

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 88,000 individuals have obtained CFP® certification.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete a college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services or an accepted equivalent, including [completion of a financial plan development capstone course](#), and attain a Bachelor’s Degree from an accredited college or university. CFP Board’s financial planning subject areas include professional conduct and regulation, general principles of financial planning, education planning, risk management and insurance planning, investment planning, income tax planning, retirement savings and income planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 6 hours, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – CFP Board requires 6,000 hours of experience through the Standard Pathway, or 4,000 hours of experience through the Apprenticeship Pathway that meets additional requirements; and
- Ethics – Agree to be bound by CFP Board’s *Code of Ethics and Standards of Conduct*, which put clients’ interest first; acknowledge CFP Board’s right to enforce them through its *Disciplinary Rules and Procedures*; comply with the *Financial Planning Practice Standards* which determine what clients should reasonably expect from the financial planning engagement and complete a CFP® Certification Application which requires disclosure of an individual’s background, including involvement in any criminal, civil, governmental, or self-regulatory agency proceeding or inquiry, bankruptcy, customer complaint, filing, termination/internal reviews conducted by the individual’s employer or firm.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours accepted by the CFP Board every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and

- Ethics – CFP® professionals agree to adhere to the high standards of ethics and practice outlined in CFP Board’s Code of Ethics and Standards of Conduct and to acknowledge CFP Board’s right to enforce them through its Disciplinary Rules and Procedures. The Code of Ethics and Standards of Conduct require that CFP Professionals provide financial planning services in the best interests of their clients.
- Certification Application – Properly complete a Certification Application to (i) acknowledge voluntary adherence to the [terms and conditions of certification with CFP Board](#) and (ii) disclose any involvement in criminal and civil proceedings, inquiries or investigations, bankruptcy filings, internal reviews and customer complaints.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

You may [verify an individual's CFP®](#) certification and background through the CFP Board. The verification function will allow you to verify an individual’s certification status, CFP Board’s disciplinary history and any bankruptcy disclosures in the past ten years. Additional regulatory information may also be found through [FINRA’S BrokerCheck](#) and the [SEC’s Investment Adviser Public Disclosure databases](#), which are free tools that may be used to conduct research on the background and experience of CFP® professionals and those who held CFP® certification at one time, including with respect to employment history, regulatory actions, and investment-related licensing information, arbitrations, and complaints.

Ms. Baert has held the designation of Certified Public Accountant (“CPA”) since January of 1995. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA’s *Code of Professional Conduct* within their state accountancy laws or have created their own. In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

Ms. Baert became an Accredited Investment Fiduciary® (AIF®) in 2014. The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their

application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Ms. Baert is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer (CRD# 6413). Clients may choose to engage Ms. Baert in her individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Ms. Baert that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Ms. Baert. Clients are reminded that they may purchase investment products recommended by Ms. Baert through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Ms. Baert. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Ms. Baert is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. **Licensed Insurance Agent.** Ms. Baert, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Baert to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. Baert that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt

of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. Baert. Clients are reminded that they may purchase insurance products recommended by Ms. Baert through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Certified Public Accountant (CPA). Ms. Baert is a Certified Public Accountant and part owner of Leelyn Smith Tax, LLC, an accountancy firm. Ms. Baert, in her individual capacity, is a certified public accountant, and may recommend her tax preparation and/or accounting services. To the extent a client determines to engage Ms. Baert to provide tax preparation and/or accounting services, such services shall be provided by Ms. Baert all in her individual capacity as a certified public accountant, independent of Registrant. Registrant shall receive no portion of fees charged by Ms. Baert for such services. **Conflict of Interest:** The recommendation by Ms. Baert that a client elect her accounting services presents a *conflict of interest*, as the receipt of fees for accounting services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Ms. Baert for accounting services. Clients are reminded that they may elect to obtain accounting services recommended by the Registrant through other non-affiliated certified public accountants. **The Registrant's Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

MaKinzie R. Stack

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about MaKinzie R. Stack that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about MaKinzie R. Stack is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

MaKinzie R. Stack was born in 1985. Ms. Stack graduated from the University of Illinois Springfield in 2007, with a Bachelor of Science degree in Business Administration and Minor in Information Technology. Ms. Stack has been employed as an investment adviser representative of Leelyn Smith, LLC since May of 2018; she previously served as Customer Service Associate from January of 2013 to May of 2018. She has also been a Registered Representative of LPL Financial Corporation since November of 2017. Previously she was employed as an investment adviser representative of LPL Financial Corporation from May of 2018 to August of 2020, as Customer Service Representative of Principal Financial from 2011-2013, as Member Representative of AAA Chicago Motor Club from 2010-2011, and as Assistant Manager of Ann Taylor Loft from 2007-2010.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Ms. Stack is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Ms. Stack in her individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Ms. Stack that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Ms. Stack. Clients are reminded that they may purchase investment products recommended by Ms. Stack through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Ms. Stack. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Ms. Stack is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. **Licensed Insurance Agent.** Ms. Stack, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Stack to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. Stack that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any insurance commission products from Ms. Stack. Clients are reminded that they may purchase insurance products recommended by Ms. Stack through other, non-affiliated insurance agents. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Kevin J Prendergast

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Kevin J Prendergast that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Kevin J Prendergast is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Kevin J Prendergast was born in 1987. Mr. Prendergast graduated from University of Illinois in 2008, with a Bachelor of Science degree in Finance. Mr. Prendergast has been employed as an investment adviser representative of Leelyn Smith, LLC since May of 2019, and of LPL Financial Corporation since May of 2019. He has also been a Registered Representative of LPL Financial Corporation, since May of 2019. Previously he has worked as a Registered Representative of Valmark Securities from July of 2012 to May of 2019, as a Registered Representative of Woodbury Financial Services from May of 2009 to July of 2012 and as investment adviser representative of Woodbury Financial Services from June of 2009 to July of 2012 and as an investment adviser representative of EFG Advisors from May of 2013 to September of 2017.

Mr. Prendergast has been a CFA[®] Charterholder since August of 2014. CFA[®] designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst® (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.

There are currently more than 170,000 CFA® Charterholders working in over 170 countries and regions. 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.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

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.

Mr. Prendergast has been a CERTIFIED FINANCIAL PLANNER™ professional since December of 2018. Certified Financial Planner Board of Standards, Inc. (“CFP Board”) owns the CFP® certification mark, the CERTIFIED FINANCIAL PLANNER™ certification mark,

and the CFP® certification mark (with flame design) logo in the United States (these marks are collectively referred to as the “CFP® marks”). The CFP Board authorizes use of the CFP® marks by individuals who successfully complete the CFP Board’s initial and ongoing certification requirements.

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 87,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete a college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services or an accepted equivalent, including [completion of a financial plan development capstone course](#), and attain a Bachelor’s Degree from an accredited college or university. CFP Board’s financial planning subject areas include professional conduct and regulation, general principles of financial planning, education planning, risk management and insurance planning, investment planning, income tax planning, retirement savings and income planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 6 hours, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – CFP Board requires 6,000 hours of experience through the Standard Pathway, or 4,000 hours of experience through the Apprenticeship Pathway that meets additional requirements; and
- Ethics – Agree to be bound by CFP Board’s *Code of Ethics and Standards of Conduct*, which put clients’ interest first; acknowledge CFP Board’s right to enforce them through its *Disciplinary Rules and Procedures*; comply with the *Financial Planning Practice Standards* which determine what clients should reasonably expect from the financial planning engagement and complete a CFP® Certification Application which requires disclosure of an individual’s background, including involvement in any criminal, civil, governmental, or self-regulatory agency proceeding or inquiry, bankruptcy, customer complaint, filing, termination/internal reviews conducted by the individual’s employer or firm.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours accepted by the CFP Board every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and

- Ethics – CFP® professionals agree to adhere to the high standards of ethics and practice outlined in CFP Board’s Code of Ethics and Standards of Conduct and to acknowledge CFP Board’s right to enforce them through its Disciplinary Rules and Procedures. The Code of Ethics and Standards of Conduct require that CFP Professionals provide financial planning services in the best interests of their clients.
- Certification Application – Properly complete a Certification Application to (i) acknowledge voluntary adherence to the [terms and conditions of certification with CFP Board](#) and (ii) disclose any involvement in criminal and civil proceedings, inquiries or investigations, bankruptcy filings, internal reviews and customer complaints.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

You may [verify an individual's CFP®](#) certification and background through the CFP Board. The verification function will allow you to verify an individual’s certification status, CFP Board’s disciplinary history and any bankruptcy disclosures in the past ten years. Additional regulatory information may also be found through [FINRA’S BrokerCheck](#) and the [SEC’s Investment Adviser Public Disclosure databases](#), which are free tools that may be used to conduct research on the background and experience of CFP® professionals and those who held CFP® certification at one time, including with respect to employment history, regulatory actions, and investment-related licensing information, arbitrations, and complaints.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative and Investment Adviser Representative of LPL Financial Corporation.** Mr. Prendergast is a registered representative and an investment adviser representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer and an SEC registered investment advisor firm (CRD# 6413). Clients may choose to engage Mr. Prendergast in his individual capacity as a registered representative and investment adviser representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Prendergast that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Prendergast. Clients are reminded that they may purchase investment products recommended by Mr. Prendergast through other, non-affiliated broker dealers. **The Registrant’s Chief**

Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.

2. **Commissions.** In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Mr. Prendergast. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Prendergast is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

Mr. Prendergast's annual compensation is based, in part, on the amount of assets under management that Mr. Prendergast introduces to the Registrant. Accordingly, Mr. Prendergast has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Wendi Kathleen Svitak

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Wendi Kathleen Svitak that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Wendi Kathleen Svitak is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Wendi Kathleen Svitak was born in 1983. Ms. Svitak graduated from Eastern Illinois University in 2006 with a Bachelor of Science degree in business management, and from Elmhurst College in 2013 with a Master of Business Administration degree in finance. Ms. Svitak has been employed as a relationship manager of Leelyn Smith, LLC since May of 2019. She has also been an investment adviser representative and a registered representative of LPL Financial Corporation since May of 2019. From February of 2010 to May of 2019, she was employed as a client service associate of Morgan Stanley. Ms. Svitak was employed by OakBrook Investments, LLC from January of 2010 to February of 2016 as an office manager (2010 - 2012), marketing associate (2012 - 2014), and a client administrator (2014 - 2016).

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative and Investment Adviser Representative of LPL Financial Corporation.** Ms. Svitak is a registered representative and an investment adviser representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer and an SEC registered investment advisor firm (CRD# 6413). Clients may choose to engage Ms. Svitak in her individual capacity as a registered representative and investment adviser representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Ms. Svitak that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Ms. Svitak. Clients are reminded that they may purchase investment products recommended by Ms. Svitak through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Ms. Svitak. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Ms. Svitak is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Laura Lynn Chamness

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer

10 N. Third Street

Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Laura Lynn Chamness that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Laura Lynn Chamness is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Laura Lynn Chamness was born in 1974. Ms. Chamness graduated from Northern Illinois University in 2017 with a Bachelor of Science degree in corporate communications. Ms. Chamness has been employed as client service specialist of Leelyn Smith, LLC since October of 2017. She has also been an investment adviser representative and a registered representative of LPL Financial Corporation since November of 2017. Previously she was employed as a client service associate of HighPoint Adviser Group from August of 2013 to October of 2016.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative and Investment Adviser Representative of LPL Financial Corporation.** Ms. Chamness is a registered representative and an investment adviser representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer and an SEC registered investment advisor firm (CRD# 6413). Clients may choose to engage Ms. Chamness in her individual capacity as a registered representative and investment adviser representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Ms. Chamness that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Ms. Chamness. Clients are reminded that they may purchase investment products recommended by Ms. Chamness through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Ms. Chamness. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Ms. Chamness is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “Act”). The Registrant’s Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the

Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.

Item 1 Cover Page

A.

Christopher F. Dieckow

Leelyn Smith, LLC

ADV Part 2B, Brochure Supplement

Dated: May 6, 2021

Contact: Andrew Grider, Chief Compliance Officer
10 N. Third Street
Geneva, Illinois 60134

B.

This Brochure Supplement provides information about Christopher F. Dieckow that supplements Leelyn Smith, LLC's Brochure; you should have received a copy of that Brochure. Please contact Andrew Grider, Chief Compliance Officer, if you did *not* receive Leelyn Smith, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Christopher F. Dieckow is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Christopher F. Dieckow was born in 1985. Mr. Dieckow graduated from The University of Colorado at Boulder in 2009, with a Bachelor of Science degree in finance. Mr. Dieckow has been employed as a wealth advisor of Leelyn Smith, LLC since May of 2021. Mr. Dieckow has also been a registered representative of LPL Financial Corporation since April of 2021. From November of 2014 to May of 2021 Mr. Dieckow was employed as a private client advisor of Schwab Private Client Investment Advisory, Inc., and from July of 2009 to May of 2021 he was an active trader and high net worth representative of Charles Schwab and Co. Inc.

Mr. Dieckow has been a CFA[®] Charterholder since 2017. CFA[®] designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst[®] (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.

There are currently more than 170,000 CFA® Charterholders working in over 170 countries and regions. 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.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

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.

Mr. Dieckow has held the Certified Wealth Strategist (CWS) designation since 2020. The CWS certification is an application focused designation that aligns the needs of financial services firms, advisors, and consumers. The designation is administered through the Cannon Financial Institute. Prerequisites for the CWS certification are three years of financial services experience that must also include direct interaction with clients and a 4-year degree from an accredited school. To obtain the CWS certification, candidates must complete two instructor-led training sessions, a self-directed study on numerous wealth management issues and a capstone project. CWS designees must report 33 hours of continuing education credits every two years to maintain the certification.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of LPL Financial Corporation.** Mr. Dieckow is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Dieckow in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Dieckow that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Dieckow. Clients are reminded that they may purchase investment products recommended by Mr. Dieckow through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Andrew Grider, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Dieckow. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Dieckow is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

Mr. Dieckow’s annual compensation is based, in part, on the amount of assets under management that Mr. Dieckow introduces to the Registrant. Accordingly, Mr. Dieckow has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client’s best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Andrew Grider, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Grider at (630) 232-8995.