

# KENNETH J. MCGUIRE

MCGUIRE FINANCIAL SERVICES, INC.

349 MAIN ST., UNIT C

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FIRM SUPPLEMENTAL BROCHURE

ADV PART 2B

MARCH 26, 2024

This Brochure Supplement provides information about Kenneth J. McGuire that supplements McGuire Financial Services, Inc.'s brochure. You should have received a copy of that brochure. Please contact Mr. McGuire at (508) 775-1700 if you did not receive McGuire Financial Services, Inc.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about Kenneth J. McGuire is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. The CRD number for Mr. McGuire is 1998997.

## Item 2 – Educational Background and Business Experience

**Kenneth J. McGuire**

**Born:** 1963

### **Education:**

***Bridgewater State University*** – Bachelor of Science degree in Political Science – 1988

***Cape Cod Community College*** – Associates of Science – 1985

***Registered Financial Consultant, RFC®*** – 2014

*Issued By:* International Association of Registered Financial Consultants

*Prerequisites/Experience Required:* Candidate must meet the following requirements:

- Three years full-time experience as a financial planning practitioner in the field of financial planning or financial planning services.
- Required licenses to engage in financial planning profession.
- A sound record of business integrity with no suspension or revocation of any professional designations or licenses. Must be in good standing with all licensing bodies and organizations.

*Educational Background:* Candidate either has attained a professional designation (i.e. AAMS, CLU, ChFC, and CFP, CFA, CPA, EA, LUTCF); a Series 65 Securities license or one of the following combinations: Series 6 & 63, Series 6 & 66, Series 7 & 63, Series 7 & 66; Life Insurance license; a bachelors' or advanced degree in business, finance, economics, or a related field; or education requirement can also be met by completing the entire course requirements for the following IARFC designations: RFA, RFC, MRFC.

*Examination Type:* None

*Continuing Education/Experience Requirements:* 40 hours every 2 years in the field of personal finance and professional practice management. 4 hours every 2 years must be devoted to ethics.

### **Business Background:**

***McGuire Financial Services, Inc.***

- President/Insurance Agent – July 2005 to Present
- Investment Adviser Representative – December 2018 to Present

***AAG Capital, Inc.*** – December 2022 to Present

- Registered Representative

***Strategic Tax Advisor Resources, Inc.*** – September 2011 to July 2021

- President

***Global Financial Private Capital, LLC*** – January 2010 to December 2018

- Investment Adviser Representative

***Coral Capital, Inc.*** – December 2003 to December 2010

- Financial Advisor

### Item 3 – Disciplinary Information

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that could be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

### Item 4 – Other Business Activities

Mr. McGuire is a licensed independent insurance agent. He is appointed with various insurance companies and may recommend insurance products to the firm's clients. He devotes approximately 15% of his time on this activity. This service pays Mr. McGuire commissions that are separate from the investment adviser fees outlined in Item 5 of the firm's ADV Part 2A. This is a conflict of interest because it creates a financial incentive to recommend the service. However, Mr. McGuire attempts to mitigate any conflicts of interest to the best of his ability by placing the client's interests ahead of his own and through the implementation of policies and procedures that address the conflict. Additionally, the client is informed that he or she always has the right to choose whether to act on the recommendation and he or she has the right to purchase recommended insurance through any licensed insurance agent.

Mr. McGuire is a registered representative of AAG Capital, Inc., an independent broker-dealer. He spends approximately 15% of his time on this activity. Through AAG Capital, Inc., he may sell securities to the adviser's clients for a commission or fees that are separate from the investment adviser fees outlined in Item 5 of the adviser's ADV Part 2A. This causes a conflict of interest because it creates a financial incentive to recommend these services. Mr. McGuire attempts to mitigate this conflict of interest to the best of his ability by placing the client's interest ahead of his own through his fiduciary duty. Additionally, it is the adviser's policy that recommended securities purchases do not have to be purchased through Mr. McGuire.

Mr. McGuire is on the finance committee for the Yarmouth Area Chamber of Commerce. A committee established to review, monitor, and make recommendations to the board of directors regarding finances of the chamber. He devotes 1% of his time on this non-investment related activity.

Mr. McGuire is also owner and/or board member of several real estate companies. First, he is owner of Bam Bam, LLC where he oversees management of rental real estate. He devotes 1% of his time on this non-investment related activity. Mr. McGuire is trustee of 349 Main Street Condo Trust where he oversees management of business condo units. He devotes 1% of his time to this non-investment related activity.

### Item 5 – Additional Compensation

Mr. McGuire does not receive any additional compensation.

### Item 6 – Supervision

Mr. McGuire is President and Chief Compliance Officer of the firm. As a result, he has no internal supervision placed over him. He is however, bound by the firm's Code of Ethics and policies and procedures. Mr. McGuire can be reached at (508) 775-1700.

## Item 7 – Requirements for State-Registered Advisers

### ARBITRATION OR CIVIL, SELF-REGULATORY ORGANIZATION OR ADMINISTRATIVE PROCEEDINGS

Mr. McGuire has not been the subject of any arbitration, civil, self-regulatory organization or administrative findings.

### BANKRUPTCY HISTORY

Mr. McGuire has not been the subject of a bankruptcy petition.