



## IAPD Report

# KENNETH JOSEPH MCGUIRE

CRD# 1998997

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### KENNETH JOSEPH MCGUIRE (CRD# 1998997)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/30/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AAG CAPITAL, INC	CRD# 188	12/21/2022
<b>IA</b>	ACCURATE WEALTH MANAGEMENT, LLC	CRD# 298137	07/16/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	MCGUIRE FINANCIAL SERVICES, INC.	298695	WEST YARMOUTH, MA	12/07/2018 - 10/01/2024
<b>IA</b>	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	WEST YARMOUTH, MA	02/04/2010 - 12/12/2018
<b>IA</b>	REDHAWK WEALTH ADVISORS, INC.	146616	WEST YARMOUTH, MA	06/05/2008 - 02/26/2010

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **AAG CAPITAL, INC**  
Main Address: 2211 ASHLEY OAKS CIRCLE  
WESLEY CHAPEL, FL 33544  
Firm ID#: 188

Regulator	Registration	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	12/21/2022
<b>B</b> Arkansas	Agent	Approved	04/30/2025
<b>B</b> Connecticut	Agent	Approved	10/11/2023
<b>B</b> Florida	Agent	Approved	12/21/2022
<b>B</b> Hawaii	Agent	Approved	12/21/2022
<b>B</b> Maine	Agent	Approved	02/27/2023
<b>B</b> Massachusetts	Agent	Approved	12/21/2022
<b>B</b> Pennsylvania	Agent	Approved	12/21/2022
<b>B</b> Texas	Agent	Approved	12/21/2022
<b>B</b> Vermont	Agent	Approved	10/11/2023

### Branch Office Locations

349 Main Street  
Unit C  
West Yarmouth, MA 02673

349 Main Street  
Unit C  
West Yarmouth, MA 02673

### Employment 2 of 2



## Qualifications

Firm Name: **ACCURATE WEALTH MANAGEMENT, LLC**  
Main Address: 2211 ASHLEY OAKS CIRCLE  
WESLEY CHAPEL, FL 33544  
Firm ID#: 298137

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/25/2024
IA	Massachusetts	Investment Adviser Representative	Approved	08/02/2024
IA	Texas	Investment Adviser Representative	Approved	07/16/2024

### Branch Office Locations

**ACCURATE WEALTH MANAGEMENT, LLC**  
349 Main Street  
Unit C  
West Yarmouth, MA 02673



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	06/25/1998

#### General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	12/17/2022
Securities Industry Essentials Examination (SIE)	SIE	10/05/2022
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/05/1990

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/2022
Uniform Investment Adviser Law Examination (S65)	Series 65	02/26/2007

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/07/2018 - 10/01/2024	MCGUIRE FINANCIAL SERVICES, INC.	CRD# 298695	WEST YARMOUTH, MA
IA	02/04/2010 - 12/12/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	WEST YARMOUTH, MA
IA	06/05/2008 - 02/26/2010	REDHAWK WEALTH ADVISORS, INC.	CRD# 146616	WEST YARMOUTH, MA
IA	11/06/2006 - 06/06/2008	WORKMAN SECURITIES CORPORATION	CRD# 31898	WEST YARMOUTH, MA
B	01/03/2006 - 06/06/2008	WORKMAN SECURITIES CORPORATION	CRD# 31898	WEST YARMOUTH, MA
IA	01/05/2005 - 12/31/2005	INVESTORS CAPITAL ADVISORY	CRD# 30613	WEST YARMOUTH, MA
B	06/02/1998 - 12/31/2005	INVESTORS CAPITAL CORP.	CRD# 30613	WEST YARMOUTH, MA
IA	05/04/2000 - 12/31/2004	EASTERN POINT ADVISORS INC.	CRD# 107123	W. YARMOUTH, MA
B	02/06/1990 - 06/04/1998	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	02/06/1990 - 06/04/1998	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2024 - Present	Accurate Wealth Management	Investment representative	Y	Wesley Chapel, FL, United States
10/2022 - Present	AAG Capital, Inc.	REGISTERED REPRESENTATIVE	Y	Wesley Chapel, FL, United States
07/2005 - Present	MCGUIRE FINANCIAL SERVICES, INC.	PRESIDENT	Y	WEST YARMOUTH, MA, United States
09/2011 - 07/2021	Strategic Tax Advisor Resources, Inc.	President	N	W. Yarmouth, MA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2010 - 12/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SARASOTA, FL, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. MCGUIRE FINANCIAL SERVICES, INC./W. YARMOUTH, MA 02673/OWNER/INVESTMENT RELATED/SINCE 2005/INSURANCE SALES/CONSULT WITH CUSTOMERS IN DETERMINING NEEDS FOR AND SALES OF FIXED INSURANCE/30 HOURS PER MONTH DEVOTED
2. YARMOUTH AREA CHAMBER OF COMMERCE(FINANCE COMMITTEE) - COMMITTEE ESTABLISHED TO REVIEW, MONITOR, AND MAKE RECOMMENDATIONS TO THE BOARD OF DIRECTORS REGARDING FINANCES OF THE CHAMBER - START DATE 7/14/2016 - NON INVESTMENT-RELATED - 1 HOUR SPENT PER MONTH.
3. 349 MAIN STREET CONDO TRUST - 349 MAIN ST. UNIT C, W.YARMOUTH MA 02673 - REAL ESTATE TRUST - TRUSTEE OVERSEEING MANAGEMENT OF BUSINESS CONDO UNITS - START DATE 1/31/2017 - NON INVESTMENT-RELATED - 1 TO 2 HOURS SPENT PER MONTH.
4. BAM BAM LLC, 349 MAIN ST. UNIT C, W.YARMOUTH MA 02673 - OWNER/PRESIDENT - OVERSEE MANAGEMENT OF RENTAL REAL ESTATE - START DATE 2/17/2015 - NON INVESTMENT-RELATED - 2 HOURS SPENT PER MONTH.
5. AAG CAPITAL INC., W. YARMOUTH MA - REGISTERED REPRESENTATIVE - START DATE 10/2022 - INVESTMENT RELATED - 8 HOURS SPENT PER MONTH
6. MCGUIRE FINANCIAL SERVICES, INC./W. YARMOUTH, MA - IAR - START DATE 12/2018 - INVESTMENT RELATED - 100+ HOURS SPENT PER MONTH



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC
<b>Allegations:</b>	The clients invested in two privately-held REITs in 2014. The REITs went public in 2018 and their values declined on the open market. The clients allege that the recommendation of the REITS, was unsuitable.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$125,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	TRIAL COURT OF THE COMMONWEALTH SUPERIOR COURT DEPARTMENT
<b>Docket/Case #:</b>	2072CV00265
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/03/2020

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/20/2020
<b>Complaint Pending?</b>	No



**Status:** Settled  
**Status Date:** 09/18/2020  
**Settlement Amount:** \$10,000.00  
**Individual Contribution Amount:** \$10,000.00

**Civil Litigation Information**

**Type of Court:** State Court  
**Name of Court:** TRIAL COURT OF MASSACHUSETTS  
**Location of Court:** BAMSTABLE COUNTY, MA  
**Docket/Case #:** 2072CV00265  
**Date Notice/Process Served:** 07/20/2020  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 09/18/2020  
**Monetary Compensation Amount:** \$10,000.00  
**Individual Contribution Amount:** \$10,000.00

**Broker Statement**

Advisor met with the clients four separate times in 2014 in the development and then implementation of a diversified portfolio for them. Each part of their plan and allocation were explained thoroughly during these meetings and at each of the quarterly meetings since implementation. Signed records reflect their understanding and agreement to all parts of their plan. In the interest of putting the matter behind him, the advisor settled the matter.



## End of Report

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