



## **Form ADV Part 2B – Brochure Supplement**

**for**

**Carol Beth Buchanan**

**Effective: March 30, 2018**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Carol Beth Buchanan (CRD# 5850507) in addition to the information contained in the The Main Street Group, LTD (“Main Street Group” or the “Advisor”, CRD# 175502) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Main Street Group Disclosure Brochure or this Brochure Supplement,

Additional information about Ms. Buchanan is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with her full name or her Individual CRD# 5850507.

## Item 2 – Educational Background and Business Experience

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This section of the brochure supplement includes the supervised person's name, age (or year of birth), formal education after high school, and business background (including an identification of the specific positions held) for the preceding five years.

Carol Beth Buchanan

Year of birth: 1958

### Education

The following information details your Financial Advisor's formal education. If a degree was attained, the type of the degree will be listed next to the name of the institution. If a degree is not listed, the Financial Advisor attended the institution but did not attain a degree.

Master of Business Administration, University of Richmond, (1990) Bachelor of Business Administration,

The College of William and Mary, (1980)

### Employment History:

Investment Advisor Representative, The Main Street Group, LTD	09/2010 to Present
Registered Representative, Kestra Investment Services, LLC	11/2017 to Present
Real Estate Agent, Long and Foster Realtors	01/2000 to Present
Registered Representative, LPL Financial LLC	07/2016 to 11/2017
Investment Advisor Representative, LPL Financial LLC	07/2016 to 11/2017
Administrative Associate, LPL Financial LLC	03/2016 to 11/2017

## Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Ms. Buchanan.*** Ms. Buchanan has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Buchanan.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Buchanan.***

## Item 4 – Other Business Activities

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### Broker-Dealer Affiliation

Ms. Buchanan is also a registered representative of Kestra Investment Services, LLC ("Kestra"). Kestra is a registered broker-dealer (CRD# 42046), member FINRA, SIPC. In Ms. Buchanan's separate capacity as a registered representative, Ms. Buchanan will typically receive commissions for the implementation of recommendations for commissionable transactions. Clients are not obligated to implement any recommendation provided by Ms. Buchanan. Neither the Advisor nor Ms. Buchanan will earn ongoing investment advisory fees in connection with any products or services implemented in Ms. Buchanan's separate capacity as a registered representative.

## Item 5 – Additional Compensation

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Ms. Buchanan has additional business activities that are detailed in Item 4 above.

## **Item 6 – Supervision**

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Ms. Buchanan is supervised by Steven Crawford, the Chief Compliance Officer. Steven Crawford can be reached at (804) 270-4470.

Main Street Group has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Main Street Group. Further, Main Street Group is subject to regulatory oversight by various agencies. These agencies require registration by Main Street Group and its Supervised Persons. As a registered entity, Main Street Group is subject to examinations by regulators, which may be announced or unannounced. Main Street Group is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

## **Item 7 – Requirements for State Registered Advisors**

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Ms. Buchanan does not have any additional information to disclose.