

Form ADV**Disclosure Brochure for Investment Advisers****Part 2A-Page 1**

Name of Investment Adviser: New England Guild Wealth Advisors, Inc.

Address: 139 Simsbury Road, Avon, CT 06001

Contact Information: (860) 404-5900, (860) 404-5598 (Fax), www.neguild.com

Date of Brochure: March 21, 2014

This brochure provides information about the qualifications and business practices of New England Guild Wealth Advisors, Inc. If you have any questions about the contents of this brochure, please contact us at (860) 404-5900. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

(Item 2) Material Changes: New England Guild Wealth Advisors, Inc. is now accepting custody for a limited number of client accounts (see Item 15). New England Guild Wealth Advisors, Inc. no longer votes proxies on behalf of clients (see Item 17).

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4a. (Principal Owners)

New England Guild Wealth Advisors, Inc. ("Guild") began its business as an investment adviser in 1991 by providing investment advisory services to individuals, families, retirement plans, trusts and endowments, on both a discretionary and a non-discretionary basis. There are three owners of the Guild: Harold L. Rives, III, E. Patrick Logue, and Susan M. Grayson. Eliot P. Williams retired from active firm management in 2012. He continues as an investment advisor for a limited number of clients.

4b. (Types of Advisory Services)

Our advisory services include a review of a client's financial position, development of investment objectives, and design and implementation of an investment program customized for that client. We utilize investment types including open-end and closed-end mutual funds, individual stocks and bonds, and Exchange Traded Funds (ETF). We also advise our clients about Investment Company Act securities including variable life insurance separate accounts, variable annuity separate accounts and mutual funds.

4c. (Individual Needs of Clients)

We customize our advice to fit client-identified needs by conducting a review of the client's financial position, developing investment objectives agreed by the client to meet the client's future need for cash, and then designing and implementing an investment program for the client.

4d. (Wrap Fee Programs)

Not applicable.

4e. (Assets Under Management)

As of December 31, 2013 we managed a total of \$343.7 million of client assets. Of this total, \$343.2 million was managed on a discretionary basis and \$0.5 million was managed on a non-discretionary basis.

5a. (Fees and Compensation-Fee Schedules)

We charge an asset-based fee for advisory services based upon assets under management. This is a separate fee from any fees charged by unaffiliated investment managers. This fee does not include any fees or costs which may be charged by a brokerage firm or custodian selected by the client to execute transactions. Our asset-based fee will generally be based on the following schedule:

First \$1,000,000	1.00% (Annually)
Next \$2,000,000	0.75%
Next \$2,000,000	0.50%
Over \$5,000,000	0.25%

New England Guild Wealth Advisors, Inc. in its sole discretion may charge a different advisory fee based upon certain criteria (including, but not limited to, anticipated additional assets, related accounts, account composition, or negotiations with client).

5b. (Fees and Compensation-Deduction of Fees)

Fees are payable quarterly in advance based on the market value of the managed assets on the last day of the preceding quarter. Clients may elect to have these fees deducted from one or more of their managed accounts or they may elect to pay their bill in another manner.

5c. (Fees and Compensation-Other Fees and Expenses)

As noted in 5a above, our clients may incur other fees and expenses charged by brokers, mutual funds, and custodians utilized in the management of their investments.

5d. (Fees and Compensation-Prepaid Fees)

Our clients are billed in advance for our fees. If the advisory contract is terminated for any reason before the end of the billing period we will refund that portion that has been prepaid but has not yet been used on a pro-rata basis.

5e. (Fees and Compensation-Sale of Securities)

Our Firm does not, nor do our employees, receive compensation for the sale of securities or any other investment products.

6. (Performance-Based Fees and Side-by-Side Management)

Our Firm does not, nor do our employees, receive performance-based fees.

7. (Types of Clients)

Most of the clients of the Guild are individuals and families. We also have a number of clients that are Trusts, Foundations, and Endowments. We reserve the right, in our sole discretion, to charge a different investment management fee based upon certain criteria (including, but not limited to, anticipated additional assets, related accounts, account composition, or negotiations with client).

8a. (Methods of Analysis, Investment Strategies and Risk of Loss-General Description)

Almost all of the New England Guild Wealth Advisors' business involves giving advice to clients to help them meet their future needs for cash. This is done by analyzing the client's resources and projected needs in the beginning of a relationship. We then recommend asset allocation targets designed to meet a client's future needs for cash. The resulting investment policy is then implemented using diversification as the primary process. To help achieve this diversification, we utilize open-end mutual funds broadly in client portfolios to meet the client's asset allocation targets and to mitigate investment risk. Other investment vehicles used include Exchange Traded Funds and closed-end mutual funds. Individual stocks and bonds are rarely purchased or sold in client accounts, and when they are traded, it is at the client's direction. In all of our

investment strategies we strive to explain to clients that investing in securities involves risk of loss that our clients should be prepared to bear.

8b. (Methods of Analysis, Investment Strategies and Risk of Loss-Material Risks for Investment Strategies)

We analyze industry data available to the public using analytical tools as a way of selecting the particular investment vehicle or vehicles recommended for a client. We believe that many small risks are preferable to a few large risks. Therefore, we believe in broad-based diversification within and across capital markets. This may include investments in less traditional asset classes that offer the potential to improve the portfolio's risk/return relationship by reducing asset class correlation.

9. (Disciplinary Information)

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of New England Guild Wealth Advisors, Inc.'s advisory business or the integrity of our management.

10a and b. (Other Financial Industry Activities and Affiliations)

Neither our firm nor any of our employees are registered, nor have an application pending to register, with any other organization such as broker-dealer, futures commission merchant, commodity pool operator, commodity trading advisor, or other similar organizations.

10c. (Other Financial Industry Activities and Affiliations)

New England Guild Wealth Advisors, Inc. has no relationship or arrangement with any other firm that is material to our advisory business. None of our employees have relationships or arrangements with any other firm that is material to our advisory business.

10d. (Other Financial Industry Activities and Affiliations)

We do not recommend, nor do we select, other investment advisers for our clients where we would receive any compensation directly or indirectly that would create a material conflict of interest.

11. (Code of Ethics, Participation or Interest in Client Transactions and Personal Trading)

Our firm has implemented an investment policy relative to personal securities transactions as part of its Code of Ethics. The Code of Ethics serves to establish a standard of business conduct for all of our employees that is based upon fundamental principles of openness, integrity, honesty and trust. A copy is available upon request. In addition, we also maintain and enforce written policies designed to prevent the misuse of material non-public information by our firm or any person associated with our firm.

We allow our employees to maintain personal securities accounts as long as any personal investing by an employee in any accounts in which the employee has a beneficial interest is consistent with the Code of Ethics. It is our intent to avoid any

conflict of interest, or appearance of conflict of interest, between trades undertaken for family and personal accounts, and clients of the Guild. Consequently, client trades will always have priority over trades for family and personal accounts. While trades in open-end mutual funds may be undertaken simultaneously for clients and family and personal accounts, no trades in individual securities should occur in family or personal accounts on the same day as a trade is undertaken in a client account. If a trade occurs in a family or personal account before it is known that a client trade in that same security is to be executed, an explanation of the timing and background of the trade will be prepared by the client's advisor. All family and personal accounts are organized within a single master account, distinct from client master accounts. Family and Personal Account trades of individual securities should be pre-cleared before execution by the Investment Operations Manager. In a situation in which the Investment Operations Manager is executing family or personal trades, one of our Principals is selected to review the trade requests. Family and personal trades are reviewed through the preclearance process to ensure the securities being traded have not already been traded in client accounts that day. If the securities have been traded in a client account that day, the requested personal or family trade is not executed until a following day. Furthermore, the transaction ledger is reviewed daily for related trades in client and personal accounts. If related transactions are found, the Chief Compliance Officer is notified and investigates the reason for the same day trades.

The Compliance Officer reviews all employees' reports of personal securities transactions for compliance with the firm's policies, including the Insider Trading Policy, regulatory requirements and the firm's fiduciary duty to its clients, among other things.

12. (Brokerage Practices)

In the event that a client requests that our firm recommend a broker-dealer/custodian for execution and/or custodial services (exclusive of those clients that may direct us to use a specific broker-dealer/custodian), we generally recommend that investment management accounts be maintained at Charles Schwab & Co., Inc. ("Schwab"). Prior to engaging us to provide investment management services, the client will be required to enter into a formal Advisory Agreement with us setting forth the terms and conditions under which we shall manage the client's assets, and a separate custodial/clearing agreement with each designated broker-dealer/custodian.

Currently, we recommend that clients primarily allocate investment management assets among various individual equity and/or fixed income securities, mutual funds and/or independent investment managers or programs, on a discretionary or non-discretionary basis, in accordance with the client's designated investment objective(s). As discussed above, unless the client directs otherwise, we shall generally recommend that Schwab serve as the broker-dealer/custodian for client investment management assets. Broker-dealers such as Schwab charge brokerage commissions and/or transaction fees for effecting certain securities transactions (i.e., transaction fees are charged for certain no-load mutual funds; and, commissions are charged for individual equity and fixed income securities transactions).

In addition to the Guild's advisory fee and Schwab's brokerage commissions and/or transaction fees, the client will also incur, relative to all mutual fund and exchange

traded fund purchases, charges imposed at the fund level (e.g. management fees and other fund expenses).

Both the Guild's Advisory Agreement and the custodial/ clearing agreement may authorize the custodian to debit the client's account for the amount of our investment advisory fee and to directly remit that management fee to us in compliance with regulatory procedures. The Advisory Agreement between the Guild and the client will continue in effect until terminated by either party by written notice in accordance with the terms of the Advisory Agreement. Upon termination, the Guild shall provide a pro-rata refund of advanced fees paid.

Factors that we consider in recommending Schwab (or any other broker-dealer/custodian to clients) include historical relationship with the Guild, financial strength, reputation, execution capabilities, pricing, research, and service. Although the commissions and/or transaction fees paid by our clients shall comply with our duty to obtain best execution, a client may pay a commission that is higher than another qualified broker-dealer might charge to effect the same transaction where we determine, in good faith, that the commission/transaction fee is reasonable in relation to the value of the brokerage and research services received. In seeking best execution, the determinative factor is not the lowest possible cost, but whether the transaction represents the best qualitative execution, taking into consideration the full range of broker-dealer services, including the value of research provided, execution capability, commission rates, and responsiveness. Accordingly, although we will seek competitive rates, we may not necessarily obtain the lowest possible commission rates for client account transactions. The brokerage commissions or transaction fees charged by the designated broker-dealer/custodian are exclusive of, and in addition to, our investment management fee. Our best execution responsibility is qualified if securities that we purchase for client accounts are no-load mutual funds that trade at net asset value as determined at the daily market close.

12a1. (Brokerage Practices-Soft Dollars)

The Guild does not utilize research, research-related products and other services obtained from broker-dealers, or third-parties, on a soft dollar commission basis.

We may, however, recommend that clients establish brokerage accounts with the Schwab Advisor Services division of Charles Schwab & Co., Inc. (Schwab), a FINRA registered broker-dealer, member SIPC, to maintain custody of clients' assets and to effect trades for their accounts. Although we may recommend that clients establish accounts at Schwab, it is the client's decision to custody assets with Schwab. New England Guild Wealth Advisors, Inc. is independently owned and operated and not affiliated with Schwab.

Schwab provides us with access to its institutional trading and custody services, which are typically not available to Schwab retail investors. These services generally are available to independent investment advisors on an unsolicited basis, at no charge to them so long as the Schwab minimum amount of the advisor's clients' assets are maintained in accounts at Schwab Advisor Services. These services are not contingent upon the Guild's committing to Schwab any specific amount of business (assets in custody or trading commissions). Schwab's brokerage services include the execution of

securities transactions, custody, research, and access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment. For our client accounts maintained in its custody, Schwab generally does not charge separately for custody services but is compensated by account holders through commissions and other transaction-related or asset-based fees for securities trades that are executed through Schwab or that settle into Schwab accounts. Schwab Advisor Services also makes available to us other products and services that benefit us but may not directly benefit our clients' accounts. Many of these products and services may be used to service all or some substantial number of our clients' accounts, including accounts not maintained at Schwab.

Schwab's products and services that assist us in managing and administering clients' accounts include software and other technology that (i) provide access to client account data (such as trade confirmations and account statements); (ii) facilitate trade execution and allocate aggregated trade orders for multiple client accounts; (iii) provide research, pricing and other market data; (iv) facilitate payment of our management fees from our clients' accounts; and (v) assist with back-office functions, recordkeeping and client reporting.

Schwab Advisor Services also offers other services intended to help us manage and further develop our business enterprise. These services may include: (i) compliance, legal and business consulting; (ii) publications and conferences on practice management and business succession; and (iii) access to employee benefits providers, human capital consultants and insurance providers. Schwab may make available, arrange and/or pay third-party vendors for the types of services rendered to our firm.

Schwab Advisor Services may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees of a third-party providing these services to us. Schwab Advisor Services may also provide other benefits such as educational events or occasional business entertainment of the Guild's employees. In evaluating whether to recommend that clients custody their assets at Schwab, we may take into account the availability of some of the foregoing products and services and other arrangements as part of the total mix of factors we consider and not solely on the nature, cost or quality of custody and brokerage services provided by Schwab, which may create a potential conflict of interest.

12a.2. (Brokerage Practices-Client Referrals)

The Guild does not receive client referrals from Charles Schwab & Co., Inc. ("Schwab"), or from any other source for which we pay for those referrals.

12a.3 (Brokerage Practices-Directed Brokerage)

The Guild does not recommend, request or require that a client direct us to execute transactions through a specified broker-dealer. Furthermore, it is our practice to not accept client's instructions for directing their brokerage transactions to a particular broker-dealer.

12b. (Brokerage Practices-Aggregation)

The aggregation or blocking of client transactions allows us to execute transactions in a more timely, equitable, and efficient manner and seeks to reduce overall commission charges to clients. Our firm's policy is to aggregate client transactions where possible and when advantageous to clients. In these instances clients participating in any aggregated transactions will receive an average share price and transaction costs will be shared equally and on a pro-rata basis. Accounts of our employees may not be included in block trades involving client accounts (other than open-end mutual funds). Trades for our employees may not occur on the day of the completion of a block trade. This policy will apply as well to principal participation in tender offers in which limits are set on the number of shares that may be accepted.

13a and b. (Review of Accounts)

Those of our clients for whom we provide advisory services receive account reviews on a periodic basis, usually quarterly, conducted by our Principals and/or Advisors who have responsibility for client relationship management. Our investment supervisory clients are advised that it remains their responsibility to advise the Guild of any changes in their investment objectives and/or financial situation. Clients are encouraged (in person, via email, or via telephone) to comprehensively review investment objectives and account performance with the Guild on an annual basis.

13c. (Review of Accounts)

Clients are provided with transaction confirmation notices and regular summary account statements directly from the broker-dealer/custodian and/or program sponsor for the client accounts. Those clients to whom we provide advisory services shall also receive periodic reports (usually quarterly) from us summarizing account holdings and performance.

14a and b. (Client Referrals and Other Compensation)

The Guild recommends mutual funds to our clients based on our analysis of risk-adjusted performance of the funds. We are not compensated directly or indirectly by the mutual fund companies.

We offer financial advisory services to clients referred to us by existing clients and by law, accounting, and pension advisory firms. There are no referral fees paid by us for these arrangements.

15. (Custody)

Under rule 206(4)-(2) of the Investment Advisors Act of 1940 New England Guild Wealth Advisors, Inc. is deemed to have custody of client assets. An adviser has custody if it or its related person holds, directly or indirectly, client funds or securities or has any authority to obtain possession of them. For example, we may at our discretion serve as a trustee for a client trust or have full access to a client account for which we are able to transfer funds to accounts other than those registered to the client. These

two types of responsibilities would give us custody. As a result we are required to take the steps listed below to ensure the safekeeping of client assets.

- Use of “qualified custodians” to hold client assets. An adviser with custody generally must maintain client funds and securities at a qualified custodian (e.g., a bank or a broker-dealer), either in a separate account for the client under the client’s name or in an account under the adviser’s name as agent or trustee for the adviser’s clients that contains only client assets (i.e., client assets may not be commingled with the adviser’s assets). All New England Guild Wealth Advisor, Inc. accounts are held by a qualified custodian.
- As required under the rules, the qualified custodians we use send notices to clients detailing how their assets are being held.
- As required, the qualified custodians we use send account statements to our clients at least quarterly.
- Annual surprise exams. Advisers that have custody of client assets in many cases must undergo an annual surprise examination by an independent public accountant that verifies client funds and securities. We have engaged a qualified CPA firm to conduct such surprise exams.

16. (Investment Discretion)

Client assets must be maintained in an account at a “qualified custodian,” generally a broker-dealer or bank. We recommend that our clients use Charles Schwab & Co., Inc. (“Schwab”), a registered broker-dealer, member SIPC, as the qualified custodian. We are independently owned and operated and are not affiliated with Schwab. Schwab will hold our clients’ assets in a brokerage account and buy and sell securities when they or we instruct them to. While we recommend that you use Schwab as custodian/broker, you will decide whether to do so and will open your account with Schwab by entering into an account agreement directly with them. We do not open the account for you, although we may assist you in doing so. Many of our clients give us discretionary authority to manage securities accounts on their behalf. This authority is expressed in the new account agreement with Schwab. Some clients wish us to manage their investments but do not give us authority to manage the securities accounts. In these cases (non-discretionary) we will not be able to assist in the activity of buying and selling securities.

17. (Voting Client Securities)

As a matter of policy New England Guild Wealth Advisors, Inc. does not vote proxies on the behalf of clients.

18a. (Financial Information)

We do not require or solicit prepayment of more than \$1,200 in fees per client, six months or more in advance, so no response is required under the rules for this section of the Brochure.

18b. (Financial Information)

There are no financial conditions that are reasonably likely to impair our ability to meet contractual commitments to clients.

18c. (Financial Information)

Our firm has not been the subject of a bankruptcy petition at any time.

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Name of Investment Adviser: New England Guild Wealth Advisors, Inc.

Address: 139 Simsbury Road, Avon, CT 06001

Contact Information: (860) 404-5900, (860) 404-5598 (Fax), www.neguild.com

Date of Brochure Supplement: March 21, 2014

This brochure supplement provides information about Susan M. Grayson that supplements the New England Guild Wealth Advisors, Inc. brochure. You should have received a copy of that brochure. Please contact us at (860) 404-5900 if you did not receive the New England Guild Wealth Advisors, Inc. brochure or if you have any questions about the contents of this supplement.

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

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2. (Educational Background and Business Experience)

SUSAN M. GRAYSON

Date of Birth: March 11, 1949

Formal Education After High School:

1967-1971: Springfield College, BS

1990-1993: University of Connecticut, MBA

Business Background for the Preceding Five Years:

January 2001 - Present: New England Guild Wealth Advisors, Inc., Principal

3. (Disciplinary Information) There are no legal or disciplinary events material to a client's or prospective client's evaluation of Susan M. Grayson.

4. (Other Business Activities) Mrs. Grayson is not actively engaged in any other investment-related business or occupation. Mrs. Grayson does not receive commissions, bonuses or other compensation based on the sale of securities or other investment products.

5. (Additional Compensation) No one other than clients of New England Guild Wealth Advisors, Inc. provides an economic benefit to Mrs. Grayson for providing advisory services.

6. (Supervision) Advice given by Mrs. Grayson to clients of our firm is monitored through periodic review of clients' investment policy statements, and investment reports by other Principals of our firm. These Principals are E. Patrick Logue and Harold L. Rives, III, and they can be reached at (860) 404-5900.

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Date of Brochure Supplement: March 21, 2014

This brochure supplement provides information about E. Patrick Logue that supplements the New England Guild Wealth Advisors, Inc. brochure. You should have received a copy of that brochure. Please contact us at (860) 404-5900 if you did not receive the New England Guild Wealth Advisors, Inc. brochure or if you have any questions about the contents of this supplement.

Additional information about E. Patrick Logue is available on the SEC's website at www.adviserinfo.sec.gov.

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2. (Educational Background and Business Experience)

E. PATRICK LOGUE

Date of Birth: March 10, 1957

Formal Education After High School:

1979-1982: University of Massachusetts, Amherst, MA, BBA

1985-1987, University of Hartford, Hartford, CT, MBA

Business Background for the Preceding Five Years:

July 1995 - Present: New England Guild Wealth Advisors, Inc., Principal

3. (Disciplinary Information) There are no legal or disciplinary events material to a client's or prospective client's evaluation of E. Patrick Logue.

4. (Other Business Activities) Mr. Logue is not actively engaged in any other investment-related business or occupation. Mr. Logue does not receive commissions, bonuses or other compensation based on the sale of securities or other investment products.

5. (Additional Compensation) No one other than clients of New England Guild Wealth Advisors, Inc. provides an economic benefit to Mr. Logue for providing advisory services.

6. (Supervision) Advice given by Mr. Logue to clients of our firm is monitored through periodic review of clients' investment policy statements, and investment reports, by other Principals of our firm. These Principals are Susan M. Grayson and Harold L. Rives, III, and they can be reached at (860) 404-5900.

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Additional information about Harold L. Rives, III is available on the SEC's website at www.adviserinfo.sec.gov.

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2. (Educational Background and Business Experience)

HAROLD L. RIVES, III

Date of Birth: June 8, 1943

Formal Education After High School:

1961-1965: Texas Tech University, Lubbock, TX BBA

Business Background for the Preceding Five Years:

July 1991 - Present: New England Guild Wealth Advisors, Inc., Avon, CT, Principal and Chief Compliance Officer

3. (Disciplinary Information) There are no legal or disciplinary events material to a client's or prospective client's evaluation of Harold L. Rives, III.

4. (Other Business Activities) Mr. Rives is not actively engaged in any other investment-related business or occupation. Mr. Rives does not receive commissions, bonuses or other compensation based on the sale of securities or other investment products.

5. (Additional Compensation) No one other than clients of New England Guild Wealth Advisors, Inc. provides an economic benefit to Mr. Rives for providing advisory services.

6. (Supervision) Advice given by Mr. Rives to clients of our firm is monitored through periodic review of clients' investment policy statements, and investment reports, by other Principals of our firm. These Principals are Susan M. Grayson and E. Patrick Logue, and they can be reached at (860) 404-5900.

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Date of Brochure Supplement: March 21, 2014

This brochure supplement provides information about Eliot P. Williams that supplements the New England Guild Wealth Advisors, Inc. brochure. You should have received a copy of that brochure. Please contact us at (860) 404-5900 if you did not receive the New England Guild Wealth Advisors, Inc. brochure or if you have any questions about the contents of this supplement.

Additional information about Eliot P. Williams is available on the SEC's website at www.adviserinfo.sec.gov.

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2. (Educational Background and Business Experience)

ELIOT P. WILLIAMS

Date of Birth: July 4, 1942

Formal Education After High School:

1960-1964: Haverford College, BA Economics

1964-1966: University of Virginia, MBA

Business Background for the Preceding Five Years:

July 2012 – Present: New England Guild Wealth Advisors, Inc., Of Counsel

January 1997 – June 2012: New England Guild Wealth Advisors, Inc., Principal

3. (Disciplinary Information) There are no legal or disciplinary events material to a client's or prospective client's evaluation of Eliot P. Williams.

4. (Other Business Activities) Mr. Williams is not actively engaged in any other investment-related business or occupation. Mr. Williams does not receive commissions, bonuses or other compensation based on the sale of securities or other investment products.

5. (Additional Compensation) No one other than clients of New England Guild Wealth Advisors, Inc. provides an economic benefit to Mr. Williams for providing advisory services.

6. (Supervision) Advice given by Mr. Williams to clients of our firm is monitored through periodic review of clients' investment policy statements, and investment reports, by other Principals of our firm. These Principals are E. Patrick Logue, Susan M. Grayson, and Harold L. Rives, III, and they can be reached at (860) 404-5900.

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Date of Brochure Supplement: March 21, 2014

This brochure supplement provides information about William R. Pfeiffer Jr. that supplements the New England Guild Wealth Advisors, Inc. brochure. You should have received a copy of that brochure. Please contact us at (860) 404-5900 if you did not receive the New England Guild Wealth Advisors, Inc. brochure or if you have any questions about the contents of this supplement.

Additional information about William R. Pfeiffer Jr. is available on the SEC's website at www.adviserinfo.sec.gov.

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2. (Educational Background and Business Experience)

William R. Pfeiffer Jr.

Date of Birth: November 30, 1978

Formal Education After High School:

1997-2001: Saint Anselm College, BA History

2006-2009: Bentley University, MSFP

Business Background for the Preceding Five Years:

October 2012 – Present: New England Guild Wealth Advisors, Inc., Investment Advisor

March 2011 – October 2012: GlobeOp Financial Services, Senior Associate Operations

June 2008 – August 2010: Apex Investment Services, Inc., Portfolio Manager

3. (Disciplinary Information) There are no legal or disciplinary events material to a client's or prospective client's evaluation of William R. Pfeiffer Jr.

4. (Other Business Activities) Mr. Pfeiffer is not actively engaged in any other investment-related business or occupation. Mr. Pfeiffer does not receive commissions, bonuses or other compensation based on the sale of securities or other investment products.

5. (Additional Compensation) No one other than clients of New England Guild Wealth Advisors, Inc. provides an economic benefit to Mr. Pfeiffer for providing advisory services.

6. (Supervision) Advice given by Mr. Pfeiffer to clients of our firm is monitored through periodic review of clients' investment policy statements, and investment reports, by Principals of our firm. These Principals are E. Patrick Logue, Susan M. Grayson, and Harold L. Rives, III, and they can be reached at (860) 404-5900.