

# ASSET STRATEGY

## Form ADV Part 2B Investment Adviser Brochure Supplement

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### **Supervised Persons:**

**Kent A. Fitzpatrick**  
**William D. Mahony**  
**Rosario S. Salamone**  
**Rick R. Racine**  
**Sean D. Whalen**  
**John D. Gentry**  
**David C. O'Brien**  
**Johannes C. Ernharth**

**Bruce W. Hardy**  
**Michael J. Burwick**  
**William J. O'Neill**  
**Stephen C. Olsson**  
**Russell S. Swinton**

March 2022

This brochure supplement provides information about the Firm's Supervised Persons that supplements the Asset Strategy Advisors, LLC's ("ASA") Brochure, a copy of which you should have received.. Please contact Kent A. Fitzpatrick, Chief Compliance Officer, 781-235-4426, if you did not receive the ASA Brochure if you have any questions about the contents of this supplement. Additional information about the Firm's Supervised Persons is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Educational Background and Business Experience

Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Kent A. Fitzpatrick**

**Year of Birth: 1965**

CRD #1998842

### **Education:**

BA, Financial Economics, Saint Anselm College, Manchester, NH

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2007 – Present

- Managing Director
- Investment Adviser Representative
- Chief Compliance Officer

Asset Strategy Financial Group, Inc – Natick, MA: 1988 – Present

- President

Concorde Investment Services, LLC – MI: 2018 – Present

- Registered Representative

### **Professional Designations and Securities Qualifications:**

- **Accredited Investment Fiduciary Analyst (AIFA)**
- **Global Financial Steward (GFS)**

## Disciplinary Information

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

## Other Business Activities

1. Asset Strategy Financial Group, Inc.; 1989, 10Hrs/Mo; 24 Superior Drive, Ste 101, Natick, MA 01760; Insurance Related; Insurance Agency; President, Commission Income for Insurance Products Sold; Sales and Services of Life Insurance Products.
2. Asset Strategy Advisors, LLC; 2008, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Managing Director; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
3. Concorde Insurance Agency; 2018, 1-5 Hrs/Mo, 19500 Victor Parkway, Suite 550, Livonia, MI 48152; Licensed Insurance Producer, Insurance Sales.
4. Asset Strategy Real Estate Partners, LLC; 2021, 1-5 Hrs/Mo, 24 Superior Drive, Suite 101, Natick, MA, 01760. Non-Investment Related. Real Estate Consulting.
5. Notary Public; 2019, 1-5 Hrs/Mo. 24 Superior Drive, Suite 101, Natick, MA 01760. No compensation received. Non-Investment Related.

6. Asset Strategy Holdings, LLC; 2020, 1-5 Hrs/Mo, 24 Superior Drive, Suite 101, Natick, MA 01760, Non-Investment Related. Owner. Holding Corporation for Business Organization Purposes.
7. Asset Strategy Innovation Group, LLC – DBA MoneyLetter; 2020, 1-5 Hrs/Mo. 24 Superior Drive, Suite 101, Natick, MA 01760, Non-Investment Related. Owner. Marketing and Publishing.
8. Concorde Investment Services, 2018; 19500 Victor Parkway, Suite 550, Livonia, MI 48152, 10-20Hrs/Mo; Registered Representative; Securities Related.

### Additional Compensation

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Mr. Fitzpatrick does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

### Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Fitzpatrick by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**William D. Mahony**

**Year of Birth: 1956**

CRD #4578876

### **Education:**

BS, Business Administration, Boston College

JD, Suffolk University Law School

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2007 – Present

- Investment Adviser Representative

Concorde Investment Services, LLC – Natick, MA: 2018 – Present

- Registered Representative

### **Professional Designations and Securities Qualifications:**

- **Certified Public Accountant (CPA)**

## Disciplinary Information

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

## Other Business Activities

1. Asset Strategy Financial Group; Investment Related; 24 Superior Dr, Ste 101, Natick, MA 01760; Insurance Agency; Financial Advisor, Aug, 2019; 10Hrs/Mo; 1Hr Day; Commission Income for Insurance and Securities Products Sold; Sales and Services of Securities and Life Insurance Products;
2. Asset Strategy Advisors, LLC, Investment Related, 24 Superior Dr, Ste 101, Natick, MA 01760; Financial Advisor; Aug, 2019; 120 Hrs/Mo; 5-6Hrs/Day; Fee Income; Fee Based Investment Advisory Practice;
3. Concorde Insurance Agency, 24 Superior Dr, Ste 101, Natick MA 01760; Licensed Insurance Producer, Insurance Sales. 1-5 Hours/mo outside business hours
4. Mahony & Reeve, Natick, MA, CPA & Accounting Practice, 100 Hours/Mo

## Additional Compensation

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Mr. Mahony does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Mahony by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Rosario S. Salamone**

**Year of Birth: 1979**

CRD #6277552

### **Education:**

BS, Communications/Media, Fitchburg State University, Fitchburg, MA

MS, Accounting & Financial Management, DeVry University

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2013 – Present

- Director of Research
- Portfolio Management

### **Professional Designations and Securities Qualifications:**

- **Certified Investment Management Analyst ® (CIMA)**

## Disciplinary Information

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

## Other Business Activities

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1. Asset Strategy Advisors, LLC; 2013, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.

## Additional Compensation

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Mr. Salamone does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Salamone by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Richard R. Racine**

**Year of Birth: 1949**

CRD #1035713

### **Education:**

BS, Marine Biology, University of Massachusetts, Amherst, MA

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2015 – Present

- Investment Adviser Representative

Asset Strategy Financial Group, LLC – Natick, MA: 2015 – Present

- Licensed Insurance Representative

Concorde Investment Services, LLC – Natick, MA: 2018 – Present

- Registered Representative

### **Professional Designations and Securities Qualifications:**

- Accredited Investment Fiduciary (AIF)
- Professional Plan Consultant (PPC)
- Chartered Financial Consultant (ChFC)
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## Disciplinary Information

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

## Other Business Activities

1. Asset Strategy Advisors, LLC, Investment Related, 24 Superior Drive, Ste 101, Natick, MA 01760; Financial Advisor; Aug, 2019; 80 Hrs/Mo; 5-6Hrs/Day; Fee Income; Fee Based Investment Advisory Practice;
2. Licensed Insurance Producer, Insurance Sales. 1-5 Hours/mo outside business hours
3. The Racine Group, Medfield, MA, Health and Welfare Benefits Broker, 100 Hours/Mo; Commission for Insurance Products Sold. Sales and Services of Insurance Products

## Additional Compensation

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Mr. Racine does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Racine by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.



## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Sean D. Whalen**

**Year of Birth: 1976**

CRD #4000934

### Education:

BS, Business Administration, Seton Hall University, South Orange, NJ  
MS, Finance, Brandeis University, Waltham, MA

### Business Background (last 5 years):

Asset Strategy Advisors, LLC - Natick, MA: 2018 – Present

- Director of Business Development
- Investment Adviser Representative

Asset Strategy Financial Group, Inc – Natick, MA: 2018 – Present

- Licensed Insurance Representative

Concorde Investment Services, LLC – MI: 2018 – Present

- Registered Representative

### Professional Designations and Securities Qualifications:

- **Certified Financial Planner (CFP)**

## Disciplinary Information

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

## Other Business Activities

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1. Asset Strategy Financial Group, Inc.; 2018, 10Hrs/Mo; 24 Superior Drive, Ste 101, Natick, MA 01760; Insurance Related; Insurance Agency; Commission Income for Insurance Products Sold; Sales and Services of Life Insurance Products.
2. Asset Strategy Advisors, LLC; 2018, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
3. Concorde Insurance Agency; 2018, 1-5 Hrs/Mo, 19500 Victor Parkway, Suite 550, Livonia, MI 48152; Licensed Insurance Producer, Insurance Sales.
4. Concorde Investment Services, 2018; 19500 Victor Parkway, Suite 550, Livonia, MI 48152, 10-20Hrs/Mo; Registered Representative; Securities Related.
5. Owns a multifamily property

## Additional Compensation

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Mr. Whalen does not receive any economic benefit outside of regular compensation related to amount

of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Whalen by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**John D. Gentry**  
CRD #1907169

**Year of Birth: 1962**

### **Education:**

BS, Finance/Economics, University of Connecticut, Storrs, CT

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2019 – Present

- Director of Retirement

Streamline Partners, Boston, MA, 2015-2019

- Managing Director

### **Professional Designations and Securities Qualifications:**

- **Certified Financial Planner™ (CFP®)**
- **Accredited Investment Fiduciary (AIF)**
- **Certified Employee Benefits Specialist (CEBS®)**
- **Certified 401k Professional (CKP®)**

## Disciplinary Information

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

## Other Business Activities

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1. Asset Strategy Advisors, LLC; 2019, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
2. Investment Committee of local church; 2 Hours/Mo

## Additional Compensation

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Mr. Gentry does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Gentry by holding regular meetings, which may include staff,

investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**David C. O'Brien**  
CRD #151604

**Year of Birth: 1973**

### **Education:**

BS, Finance, University of Vermont, Burlington, VT

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2019 – Present

- Investment Adviser Representative

Asset Strategy Financial Group, LLC – Natick, MA: 2019 – Present

- Licensed Insurance Representative

Concorde Investment Services, LLC – Natick, MA: 2019 – Present

- Registered Representative

### **Professional Designations and Securities Qualifications:**

- **Certified Financial Planner™ (CFP®)**
- **Certified Alternative Investment Analyst (CAIA®)**

## Disciplinary Information

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

## Other Business Activities

1. Asset Strategy Financial Group, Inc.; 2019, 10Hrs/Mo; 24 Superior Drive, Ste 101, Natick, MA 01760; Insurance Related; Insurance Agency; Commission Income for Insurance Products Sold; Sales and Services of Life Insurance Products.
2. Asset Strategy Advisors, LLC; 2019, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
3. Concorde Insurance Agency; 2019, 1-5 Hrs/Mo, 19500 Victor Parkway, Suite 550, Livonia, MI 48152; Licensed Insurance Producer, Insurance Sales.
4. Concorde Investment Services, 2019; 19500 Victor Parkway, Suite 550, Livonia, MI 48152, 10-20Hrs/Mo; Registered Representative; Securities Related.

### Additional Compensation

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Mr. O'Brien does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

### Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. O'Brien by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Johannes C. Ernharth**

**Year of Birth: 1968**

CRD #2187434

### **Education:**

BA, History, Middlebury College, Middlebury, VT

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2019 – Present

- Investment Adviser Representative

Concorde Investment Services, LLC – Natick, MA: 2019 – Present

- Registered Representative

BNY Mellon Wealth Management – Pittsburgh, PA : 2008-2019

- Senior Wealth Manager

### **Professional Designations and Securities Qualifications:**

- **Accredited Investment Fiduciary Analyst (AIFA)**

## Disciplinary Information

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

## Other Business Activities

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1. Asset Strategy Advisors, LLC; 2021, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
2. RCX Capital Group, LLC; 2021, 1-5 Hrs/Mo. 271 Sleepy Valley Drive, Boone, NC 28607; Registered Representative.

## Additional Compensation

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Mr. Ernharth does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and

individual activities including Mr. Ernharth by holding regular meetings, which may include staff,



investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Bruce W. Hardy**  
CRD #1713101

**Year of Birth: 1955**

### Education:

BA, Biology/Economics, Middlebury College, Middlebury, VT

MBA, International Management and Finance, Boston University, Boston, MA

### Business Background (last 5 years):

Asset Strategy Advisors, LLC - Natick, MA: 2020 – Present

- Director of Private Asset Management
- Investment Adviser Representative

PRI Financial Advisors, Inc. – Holliston, MA: 2002-2020

- President & Chief Compliance Officer

PRI Financial Publishing, Inc. – Holliston, MA: 1998-2020

- President

Principal Resource, Inc. – Holliston, MA: 1996-2020

- President

## Disciplinary Information

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

### Other Business Activities

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1. Asset Strategy Advisors, LLC; 2020, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
2. Asset Strategy Innovation Group, LLC – DBA MoneyLetter; 2020, 1-5 Hrs/Mo. 24 Superior Drive, Suite 101, Natick, MA 01760, Non-Investment Related. Contributor. Marketing and Publishing.

## Additional Compensation

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Mr. Hardy does not receive any economic benefit outside of regular compensation related to amount of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Hardy by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. The firm also reviews client reports, emails and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Michael J. Burwick**

**Year of Birth: 1969**

CRD #4885553

### **Education:**

BA, Sociology, George Washington University, Washington, DC

BA, Sociology, Boston University, Boston, MA

JD, Georgetown University Law Center, Washington, DC

LLM, Georgetown University Law Center, Washington, DC

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2021 – Present

- Investment Adviser Representative

RCX Capital Group, LLC – Boone, NC: 2021 – Present

- Registered Representative

Greenspoon Marder – Ft. Lauderdale, FL: 2021-Present

- Attorney

Taylor English Duma, LLP – Atlanta, GA: 12/2020-4/2021

- Attorney

Freeman Mathis & Gary, LLP – Atlanta, GA 6/2020-11/2020

- Attorney

The Wagner Law Group – Boston, MA: 9/2018-5/2020

- Attorney

### **Disciplinary Information**

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

### **Other Business Activities**

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6. Asset Strategy Advisors, LLC; 2021, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
7. RCX Capital Group, LLC; 2021, 1-5 Hrs/Mo. 271 Sleepy Valley Drive, Boone, NC 28607; Registered Representative.
8. Greenspoon Marder; 2021, 160 Hrs/Mo. 200 East Broward Blvd, Suite 1800, Ft. Lauderdale, FL 33301; Non-Investment Related; Attorney

### **Additional Compensation**

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Mr. Burwick does not receive any economic benefit outside of regular salaries or bonuses related to the number of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Burwick by holding regular meetings, which may include staff, investment, compliance, and other ad hoc meetings. The firm also reviews client reports, emails, and trading, as well as personal securities transactions and hold

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**William J. O'Neill**

**Year of Birth: 1970**

CRD #7396734

### **Education:**

BA, Finance, Merrimack College

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2020 – Present

- Business Operations - Retirement

Asset Strategy Financial Group, LLC – Natick, MA: 2022 – Present

- Licensed Insurance Representative

RCX Capital, LLC – Boone, NC: 2022 – Present

- Registered Representative

Swagsalot Design – Holliston, MA 2016-2019

- Corporate Sales

## Disciplinary Information

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

### **Professional Designations and Securities Qualifications:**

- **Accredited Investment Fiduciary (AIF)**

## Other Business Activities

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1. Asset Strategy Advisors, LLC; 2021, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
2. RCX Capital Group, LLC; 2022, 1-5 Hrs/Mo. 271 Sleepy Valley Drive, Boone, NC 28607; Registered Representative.
3. Owns a multifamily property

## Additional Compensation

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Mr. O'Neill does not receive any economic benefit outside of regular compensation related to the number of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. O'Neill by holding regular meetings, which may include staff, investment, compliance, and other ad hoc meetings. The firm also reviews client reports, emails, and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Stephen C. Olsson**

**Year of Birth: 1948**

CRD #857922

### Education:

BS, Management, Boston University, Boston, MA

JD, New England School of Law, Boston, MA

### Business Background (last 5 years):

Asset Strategy Advisors, LLC - Natick, MA: 2021 – Present

- Investment Adviser Representative

IBN Financial Services, Inc. – Liverpool, NY: 2021 – Present

- Registered Representative

Ameritas Investment Company, Inc – Lincoln, NE: 2021-2021

- Registered Representative

Trust Advisory Group, LTC – Woburn, MA: 1994-2021

- Investment Adviser Representative

Advisory Group Equity Services LTD – Woburn, MA: 1984-2021

- Registered Representative

### Disciplinary Information

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

### Other Business Activities

1. Asset Strategy Advisors, LLC; 2021, 5-10 Hrs/Mo; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
2. IBN Financial Services, Inc; 2021, 120 Hrs/Mo
3. Wealth Insurance Services LLC; Investment Related; 902 Montgomery St, Manchester, NH 03102; Providing Life and Annuity Advice and Placement of Insurance Products; Equity Owners/Sales; 5/2020; Approximately 20 Hrs/Mo., All During Trading Hours; Involved in Providing Legal and Financial Advice that Integrate the use of Life and Annuities in the Overall Financial Plan.

### Additional Compensation

Mr. Olsson does not receive any economic benefit outside of regular compensation related to the number of sales, client referrals or new accounts.

### Supervision

Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Olsson by holding regular meetings, which may include staff, investment, compliance, and other ad hoc meetings. The firm also reviews client reports, emails, and trading, as well as personal securities transactions and holdings reports.

## Educational Background and Business Experience

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Asset Strategy Advisors (“ASA”) requires that advisers in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework and professional designations include: an MBA, CFP, CIMA, CFA, ChFC, JD, CTFA, EA, AIF, AIFA or CPA. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Russell S. Swinton**

**Year of Birth: 1991**

CRD #7117870

### **Education:**

BS, Physics, Eckerd College, St. Petersburg, FL

### **Business Background (last 5 years):**

Asset Strategy Advisors, LLC - Natick, MA: 2021 – Present

- Financial Consultant

RCX Capital Group, LLC – Boone, NC: 2021 - Present

- Registered Representative

LPL Financial, LLC – Bedford, MA: 2019-2021

- Wealth Manager

Self Employed – Hudson, MA: 2019 – 2021

- Tutor

Unemployed – Northborough, MA: 2018 – 2019

Self Employed – Northborough, MA: 2017 – 2018

- Founder – RisdomFI

Chef's Diner – Northborough, MA: 2017 – 2018

- Cook

PhiPhi Barakuda Scuba – Thailand: 2016 – 2017

- Divemaster

## Disciplinary Information

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

## Other Business Activities

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1. Asset Strategy Advisors, LLC; 2021, 120 Hrs/Mo; 6-7Hrs/Day; 24 Superior Drive, Ste 101, Natick, MA 01760; Investment Related, RIA, Fee Income; Fee Based Investment Advisory Firm.
2. RCX Capital Group, LLC; 2021, 1-5 Hrs/Mo. 271 Sleepy Valley Drive, Boone, NC 28607; Registered Representative.

## Additional Compensation

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Mr. Swinton does not receive any economic benefit outside of regular compensation related to the number of sales, client referrals or new accounts.

## Supervision

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Kent A. Fitzpatrick is the Chief Compliance Officer. Others at the firm regularly monitor firm and individual activities including Mr. Swinton by holding regular meetings, which may include staff, investment, compliance, and other ad hoc meetings. The firm also reviews client reports, emails, and trading, as well as personal securities transactions and holdings reports.