

# **Shane D. O’Hara, CFP®**

## **Brochure Supplement**

**(Part 2B of Form ADV)**

**Dated 6/12/2019**

## **ProVise Management Group, LLC**

**SEC File Number: 801 – 32172**

**611 Druid Road, Suite 105**

**Clearwater, Florida 33756**

**[www.provise.com](http://www.provise.com)**

**This brochure supplement provides information about Shane D. O’Hara that supplements the ProVise Management Group, LLC (“ProVise”) brochure. You should have received a copy of that brochure. Please contact V. Raymond Ferrara, Chief Compliance Officer at (727) 441-9022 or [info@provise.com](mailto:info@provise.com) if you did not receive ProVise’s brochure or if you have any questions about the contents of this supplement.**

**Additional information about Shane D. O’Hara is available on the SEC’s website at [www.sec.gov/investor/brokers.htm](http://www.sec.gov/investor/brokers.htm).**

**The information in this brochure supplement has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.**

## **Educational Background and Business Experience**

Shane O'Hara was born in 1992. He graduated from the University of Central Florida with a Bachelor's degree in finance and accounting. In the years to follow, he obtained his securities licenses, his State of Florida #215 Insurance License and the CFP® designation. The CFP® designation is explained in further detail below:

- CERTIFIED FINANCIAL PLANNER™ (CFP®) – Issued by the Certified Financial Planner Board of Standards (202-379-2200, [www.cfp.net](http://www.cfp.net)). The CFP® designation is conveyed to financial professionals who have met rigorous professional standards and have agreed to the principles of integrity, objectivity, competence, fairness, confidentiality, professionalism and diligence when dealing with clients. Successful candidates must typically hold a Bachelor's degree, complete required course of study, hold relevant work experience, pass a background check, pass an extensive examination and comply with a code of ethics. Continuing Education Requirements - 30 hours every two years.

As a student at UCF, Shane was employed as a waiter to help finance his education and interned with Charles Schwab's Advisory Services division. Before graduation, Shane visited ProVise Management Group, LLC ("ProVise") as an intern and was intrigued by the culture of the company and the passion of its advisors to serve their clients.

After graduating in December 2014, ProVise offered him a position and in January 2015, Shane joined ProVise as a Financial Planning Associate. Shortly after joining ProVise, he obtained his Series 7, General Securities Representative and Series 66, Investment Advisor Representative and Blue Sky Agent. He is registered with Kestra Investment Services, LLC, a Broker-Dealer and member of FINRA/SIPC, as well as Kestra Advisory Services, LLC. After obtaining his CFP® designation, Shane was promoted to an Investment Advisory Representative of ProVise and serves as a Financial Planner.

## **Disciplinary Information**

NONE

## **Outside Business Activities**

### *Kestra Investment Services, LLC – Registered Representative*

ProVise is affiliated with Kestra Investment Services, LLC (“Kestra IS”). Shane, in his separate and individual capacity, may receive commissions, bonuses and other compensation based on the sale of securities or other investment products as a registered representative of Kestra Investment Services, LLC (Broker-Dealer). This may create a conflict of interest and give him an incentive to recommend products based on the compensation received, rather than on the client’s needs. However, as a CFP® professional, Shane is bound to a Code of Ethics to work with his clients on a fiduciary basis placing his client’s interests ahead of his own. Additionally, as an investment advisor representative of ProVise, he is also required to act as a fiduciary. Thus, conflicts such as the one above, if they cannot be eliminated, are disclosed and managed. When Shane sells an investment product on a commission basis, ProVise generally does not charge an advisory fee in addition to the commission you pay for such product. Conversely, when ProVise receives advisory fees for its services, Shane does not also receive commission for such advisory services. However, you may engage ProVise to provide investment management services on an advisory fee basis and separately Shane, in his capacity as an agent of a broker-dealer, may also receive compensation, from the sale of a certain security or investment products recommended. All of his compensation from Kestra IS is assigned to ProVise. His time spent on this activity is 15%.

## **Additional Compensation**

NONE

## **Supervision**

ProVise has established a system of compliance and supervision we believe is reasonably designed to oversee the activities of Shane O’Hara in accordance with applicable law. Ray Ferrara, Chairman/CEO and CCO, is his designated supervisor. Ray (and/or his designee) monitors Shane’s activities throughout our client relationship management system and with frequent office interactions.

Ray Ferrara may be contacted via email at [ferrara@provise.com](mailto:ferrara@provise.com) or via phone at 727-441-9022, ext. 232. Ray’s designee, Marianne Commorato, may be contacted via email at [commorato@provise.com](mailto:commorato@provise.com) or via phone at 727-441-9022, ext. 234.