

**Shane D. O’Hara, CFP®,  
CPWA®**

**Brochure Supplement  
(Part 2B of Form ADV)  
Dated 8/29/2024**

**ProVise Management Group, LLC**  
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**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 Shane O’Hara, 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 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 and the CFP® and CPWA® certifications. The CFP® and CPWA® certifications are explained in further detail below:

- **CERTIFIED FINANCIAL PLANNER® or (CFP®)** – Issued by the Certified Financial Planner Board of Standards (202-379-2200, [www.cfp.net](http://www.cfp.net)). The CFP® certification 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 a 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.
- **Certified Private Wealth Advisor® (CPWA®)** – The CPWA® certification signifies that an individual has met initial and on-going experience, ethics, education, and examination requirements for the job of private wealth advisor, which is centered on management topics and strategies for high-net-worth clients. Prerequisites for the CPWA certification are: a Bachelor's degree from an accredited college or university or one of the following designations, certifications, or licenses: CIMA®, CIMC®, RMA®, CFA®, CFP®, ChFC® CPA; acceptable ethical background/compliance history as decided in an admissions peer review process governed by the Ethics Board and five years of professional client-centered experience in financial services or a related industry. CPWA certificants must complete a six-month pre-class educational component and an executive education program through an IWI-approved registered education program. CPWA certificants are required to adhere to IWI's Code of Professional Responsibility and Guidance Document, Disciplinary Rules and Procedures, and Rules and Guidelines for Use of the Marks. CPWA certificants must report 40 hours of continuing education credits, including two ethics and one tax/regulations hours, every two years to maintain the certification. The certification is administered through the Investments and Wealth Institute.

After meeting the ProVise team during an internship while at UCF and 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.

After obtaining his CFP® certification, Shane was promoted to an Investment Advisory Representative of ProVise. On January 1, 2021, Shane became a Principal of ProVise and a year later, he was elected to Executive Vice President of ProVise. In April 2024, Shane became Chief Compliance Officer (CCO).

**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. 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. V. Raymond Ferrara, Executive Chair, is his designated supervisor. Ray monitors Shane’s activities throughout our client relationship management system and with frequent office interactions. V. Raymond Ferrara may be contacted via email at [ferrara@provis.com](mailto:ferrara@provis.com) or via phone at 727-441-9022, ext. 232.