



**The Main Street Group**  
*Independent Wealth Manager*

## Form ADV Part 2B – Brochure Supplement

for

**Jon-Michael Gugliotta**

**Effective: February 21, 2019**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Jon-Michael Gugliotta (CRD# [5470560](#)) 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 Mr. Gugliotta is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# [5470560](#).

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<http://www.themainstreetgroup.com>

## 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 for at least the preceding five years.

Jon-Michael Gugliotta

Year of birth: 1976

### 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.

University of Florida: 1994 - 1997

### Employment History:

Investment Advisor Representative, The Main Street Group, LTD	2/2019 to Present
Registered Representative, Kestra Financial Services	1/2019 to Present
Managing Director, Mid State Financial Services	2019 to Present
Registered Representative, Summit Brokerage Services	2017 - 2018
President, Auxano Wealth Management	2017 - 2018
Associate Private Banker, Morgan Stanley Private Bank	2015 - 2016
Director of Finance, Mid State Wealth Management	2012 - 2014
VP, Business Services Officer, BB&T	2010 - 2012
VP, Community Banker, Regions Financial	2009 - 2010
VP, Relationship Manager; Bank of America / US Trust	2001 - 2009

## Item 3 – Disciplinary Information

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**There are no legal, civil or disciplinary events that require disclosure for Mr. Gugliotta.**

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 that require disclosure regarding Mr. Gugliotta.**

## Item 4 – Other Business Activities

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### Broker-Dealer Affiliation

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

### Insurance Agency Affiliations

Mr. Gugliotta is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart Mr. Gugliotta's role with The Main Street Group. As an insurance professional, Mr. Gugliotta

may receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Gugliotta is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This may cause a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Mr. Gugliotta or the Advisor.

#### **Item 5 – Additional Compensation**

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Mr. Gugliotta has additional business activities detailed in Item 4 above.

#### **Item 6 – Supervision**

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Mr. Gugliotta is supervised by Carol Beth Cook, the Chief Compliance Officer. Ms. Cook can be reached at 804-270-4470.

The 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, The Main Street Group is subject to regulatory oversight by various agencies. These agencies require registration by The Main Street Group and its Supervised Persons. As a registered entity, The Main Street Group is subject to examinations by regulators, which may be announced or unannounced. The 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.