

PART 2B OF FROM ADV

Item 2. Educational Background and Business Experience

Kenneth Kaszak
DOB: 04/29/58
D.B.A. "valuekaszak"

1977 – 1979 CCAC- South Campus (earned 43 credits)
1979 – 1981 BSBA Duquesne University (concentration in Economics and Finance)

Accredited by the Pennsylvania Board of Accountancy as a CPE Instructor
The class I teach is Investor Psychology (a.k.a. Behavioral Finance).
Accreditation expires on 12/31/2025.

2003 – 2010 Investors Capital Corporation Lynnfield, MA 01940
2010 – Present Trustmont Financial Group, licensed as a Registered Representative (RR) and Investment Advisory Representative (IAR)

Was previously licensed with various firms, none worth mentioning. Prior to entering the investment industry, I was employed by a real estate development company that operated multiple businesses including a savings bank in Tampa, FL. This job was instrumental as it provided me unique insight into two industries that rely on each other and taught me how to find value in assets, ideas, information, etc.

Item 3. N/A

Item 4. Other Business Activities

Kaszak is active as a Registered Representative with Trustmont Financial Group, and is involved in the sale of term life insurance. He is also involved in outside businesses activities that include: providing educational services in the areas of nutrition, fitness, lifestyle factors, etc. Kaszak also teaches a writing class and has self-published books through the Amazon KDP platform.

Item 5. N/A

Item 6 Supervision

Trustmont Advisory Group, Inc. has created policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and the rules that the Securities and Exchange Commission have adopted under the Act. Trustmont Advisory Group, Inc. does not oversee the direct investment advice that Kaszak gives to a client or potential client. Client or potential clients should rely exclusively on the expertise and knowledge of Kaszak for all advice

and recommendations. Trustmont Advisory Group, Inc. does have guidelines on the advice that Kaszak provides. These guidelines include but are not limited to: As an investment advisor representative Kaszak must provide advice that is in the client's best interest and must not place their interests ahead of the client's interest under any circumstances. Kaszak must follow specific fiduciary obligations when dealing with clients, obligations such as but not limited to: the duty to have a reasonable, independent basis for the investment advice provided, the duty to ensure that investment advice is suitable to meeting the client's individual objectives, needs and circumstances and a duty to be loyal to clients. Engaging in any fraudulent or deceitful conduct with clients or potential client is strictly prohibited. Examples of fraudulent conduct include but are not limited to: misrepresentation, nondisclosure of fees and/or misappropriation of client funds.

Kaszak is supervised by MaryLynne Hixenbaugh, Chief Compliance Officer, of Trustmont Advisory Group, Inc. Contact information can be found at trustmontgroup.com

Updates:

06/14/2021

02/10/2024