

## **RONALD GELOK & ASSOCIATES LLC**

999 Vanderbilt Beach Road, Suite 200  
Naples, Florida 34108

A New Jersey and Florida Registered Advisory Firm<sup>1</sup>

### **Supervised Persons**

Ronald Gelok J.D. Principal  
Brian Ginty

## **BROCHURE SUPPLEMENT, MARCH 2024**

This brochure supplement provides information about the investment advisory representatives that supplements Ronald Gelok & Associates, LLC. (“RGA”) brochure. You should have received a copy of that brochure. Please contact RGA at (800) 467-3808 if you did not receive RGA’s brochure or if you have any questions about the content of this supplement.

Additional information about the above-referenced Supervised Persons is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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<sup>1</sup> SEC or State registration does not and should not imply any certain level of skill or training.

**RONALD GELOK, J.D**

**Item 2. Educational Background and Business Experience**

Born: 1960

Education:

Montclair State University, B.A., Political Science, *Magna Cum Laude*

University of California, San Francisco, J.D., 1984

Recent Business Background:

2022- Present	Registered Rep., AAG Capital, LLC
2018 -Present	Investment Advisor Rep./Principal, Ronald Gelok & Assoc, LLC
2019 – 2020	Registered Rep. Purshe Kaplan Sterling Investments Inc. 2019-2020
2010-2018	Investment Advisor Representative, Global Financial Private Capital, LLC
2010-2018	Registered Representative, GF Investment Services, LLC
2008-present	Attorney (Member), Gelok & Macchia, LLC
2000-present	President/Financial Consultant, Ronald Gelok & Associates

Licenses, Examinations and Professional Designations:

FINRA Series 6,7, 24, 63

Registered Financial Consultant, January 2004

Licensed Attorney, New Jersey

Licensed Real Estate Broker, New Jersey

**Item 3. Disciplinary Information**

RGA is required to disclose the pertinent facts regarding any legal or disciplinary events material to a client's evaluation of Ronald Gelok. RGA has no information to disclose in relation to this Item.

**Item 4. Other Business Activities:**

**Registered Representative of a Broker-Dealer**

Ronald Gelok is a registered representative of AAG Capital Inc., ("AAG"), a SEC registered broker-dealer and member of FINRA. In this capacity, Mr. Gelok may provide securities brokerage services and implement securities transactions under a commission-based arrangement. Mr. Gelok may be entitled to a portion of the brokerage commissions paid to AAG. He may also be entitled to a portion of any ongoing distribution or service ("trail") fees from the sale of mutual funds. A conflict of interest exists to the extent that Mr. Gelok recommends the purchase of securities where he receives commissions or other additional compensation as a result. This practice gives him an incentive to recommend investment products based on compensation received rather than on the client's needs. RGA has procedures in place to ensure that any recommendations made by Mr. Gelok are in the best interest of clients regardless of any additional compensation earned.

**Licensed Insurance Agent**

Mr. Gelok is a licensed insurance agent with various insurance companies and, in such capacity, may recommend, on a fully disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that RGA recommends the purchase of insurance products where Mr. Gelok receives insurance commissions or other additional compensation. RGA has

procedures in place to ensure that any recommendations made by Mr. Gelok are in the best interest of clients regardless of any additional compensation earned.

**Item 5. Additional Compensation**

Ron Gelok does not receive an economic benefit for providing advisory services from someone that is not a client of RGA.

**Item 6. Supervision**

RGA requires that all investment advisors have acquired, at a minimum, a college degree with a major in finance or related field. Mr. Gelok is responsible for the supervision of RGA's investment advisory representatives (IARs). Mr. Gelok's supervision includes a review of correspondence, (e.g., email, letters), advertising, client accounts statements and such other documentation to ensure that RGA's IARs are conducting themselves in accordance with its compliance and supervisory procedures and applicable investment advisory rules and regulations.

**Item 7. Requirements for State-Registered Advisers**

RGA is required to disclose the material facts regarding Ron Gelok's involvement in certain civil, self-regulatory organization or administrative proceedings, arbitration awards or findings, or bankruptcy proceedings. RGA Wealth has no information to disclose in relation to this Item.

## **BRIAN GINTY**

### **Item 2. Educational Background and Business Experience**

Born: 1957

Education:

University of Maryland, Far East Division- Misawa, Japan (September 1976 thru March 1979)-  
BS degree, double major= Business Management and Psychology.

Recent Business Background:

2018 – Present	Ronald Gelok & Associates, LLC –Advisor Representative.
2022- Present	Registered Rep., AAG Capital, LLC
2017-2018	Mass Mutual/MML Investors, Inc.– Insurance Agent/Financial Advisor.
2016-2017	Merrill Lynch, Pierce, Fenner & Smith, Inc. – Financial Advisor.
2010-2016	LPL Financial Inc. – Financial Advisor

Licenses, Examinations and Professional Designations

Series 65 – Investment Advisor Registration Exam

Life& Health Insurance License

CSSC- Certified Structured Settlements Consultant

### **Item 3. Disciplinary Information**

RGA is required to disclose the pertinent facts regarding any legal or disciplinary events material to a client's evaluation of Brian Ginty. RGA has no information to disclose in relation to this Item.

### **Item 4. Other Business Activities:**

#### **Licensed Insurance Agent**

Mr. Ginty is a licensed insurance agent with various insurance companies and, in such capacity, may recommend, on a fully disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that RGA recommends the purchase of insurance products where Mr. Ginty receives insurance commissions or other additional compensation. RGA has procedures in place to ensure that any recommendations made by Mr. Ginty are in the best interest of clients regardless of any additional compensation earned

### **Item 5. Additional Compensation**

Brian Ginty does not receive an economic benefit for providing advisory services from someone that is not a client of RGA.

### **Item 6. Supervision**

RGA requires that all investment advisors have acquired, at a minimum, a college degree with a major in finance or related field. Mr. Gelok is responsible for the supervision of RGA's investment advisory representatives (IARs). Mr. Gelok's supervision includes a review of correspondence, (e.g., email, letters), advertising, client accounts statements and such other documentation to ensure that RGA's IARs are conducting themselves in accordance with its compliance and supervisory procedures and applicable investment advisory rules and regulations.

**Item 7. Requirements for State-Registered Advisers**

RGA is required to disclose the material facts regarding Brian Ginty's involvement in certain civil, self-regulatory organization or administrative proceedings, arbitration awards or findings, or bankruptcy proceedings. RGA has no information to disclose in relation to this Item.