

Royal Fund Management, LLC DBA Advanced Financial Strategies

1515 Buenos Aires Blvd.
The Villages, FL 32159

(352) 750-1637

Form ADV Part 2B - Individual Disclosure Brochure

for

Bryan Douglas Baca

Investment Adviser Representative
CRD# 2482972

**110 S. 13th Street
Clinton, OK 73601**

(580) 323-6800

10/23/2023

www.royalfundmanagement.com

bbaca@royalfundmanagement.com

This brochure supplement provides information about Bryan Douglas Baca that supplements the Royal Fund Management, LLC brochure. You should have received a copy of that brochure. Contact us at 352-750-1637 if you did not receive Royal Fund Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Bryan Douglas Baca is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Your Financial Adviser: Bryan Douglas Baca

Year of Birth: 1965

Formal Education After High School:

- Southwestern Oklahoma State University, MA Education , 1991
- Southwestern Oklahoma State University, BA Industrial Technology, 1987

Business Background:

- Royal Fund Management, LLC, DBA Advanced Financial Strategies, Investment Adviser Representative, 12/2016 - Present
- Advanced Financial Strategies, Inc., Insurance Agent/President, 12/1997 - Present
- Summit Financial Group Inc., Investment Adviser Representative, 9/2016 - 12/2016
- Summit Brokerage Services, Inc., Registered Representative, 9/2016 - 12/2016
- VSR Advisory Services, Investment Adviser Representative, 10/2014 - 9/2016
- VSR Financial Services, Inc., Registered Representative, 10/2014 - 9/2016

Item 3 Disciplinary Information

Mr. Bryan Baca does not have any reportable disciplinary disclosure.

Item 4 Other Business Activities

Bryan Baca is the President of Advanced Financial Strategies, Inc., a licensed insurance agency, and is also separately licensed as an independent insurance agent. In this capacity, Mr. Baca may effect transactions in insurance products for clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Advanced Financial Strategies, Inc. and/or Mr. Baca for insurance related activities. This presents a conflict of interest because Mr. Baca may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Baca's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Royal Fund Management, LLC's firm brochure for additional disclosures on this topic.

Item 6 Supervision

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Royal Fund Management, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: Stephanie Maufroy, Chief Compliance Officer or Mark Sorensen, Chief Executive Officer

Supervisor phone number: 352-750-1637

401(k) Maneuver

1515 Buenos Aires Blvd.
The Villages, FL 32159

(352) 750-1637

Form ADV Part 2B - Individual Disclosure Brochure

for

Briley Dalton Baca, CFP®

Investment Adviser Representative
CRD# 7298795

**110 S. 13th Street
Clinton, OK 73601**

(580) 323-6800

9/16/2024

www.royalfundmanagement.com

Briley@royalfundmanagement.com

401(k) Maneuver is another business name for Royal Fund Management, LLC a SEC Registered Investment Adviser. This brochure supplement provides information about Briley Dalton Baca that supplements the Royal Fund Management, LLC brochure. You should have received a copy of that brochure. Contact us at 352-750-1637 if you did not receive Royal Fund Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Briley Dalton Baca is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Your Financial Adviser: Briley Dalton Baca

Year of Birth: 1997

Formal Education After High School:

- Southwestern Oklahoma State University, BA Marketing, 2019

Business Background:

- Royal Fund Management, LLC DBA Advanced Financial Strategies, Investment Adviser Representative, 9/2020 - Present
- Advanced Financial Strategies, Inc, Vice President/Insurance Agent, 2/2020 - Present
- Pioneer Telephone Coop, Customer Services Representative, 5/2019 - 1/2020

Certifications: **CFP**

CERTIFIED FINANCIAL PLANNER™ Professional

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at www.cfp.net.

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

Education – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.

Examination – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.

Experience – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.

Ethics – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

Ethics – Commit to complying with CFP Board's *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning.

CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client. **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

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Mr. Briley Dalton Baca does not have any reportable disciplinary disclosure.

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Briley Baca is the Vice President of Advanced Financial Strategies, Inc., a licensed insurance agency, and is also separately licensed as an independent insurance agent. In this capacity, Mr. Baca may effect transactions in insurance products for clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Advanced Financial Strategies, Inc. and/or Mr. Baca for insurance related activities. This presents a conflict of interest because Mr. Baca may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

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