

Item 1 Cover Page

SUPERVISED PERSON BROCHURE

FORM ADV PART 2B

David Giles

Avery Rock Financial, LLC

Office Address:

241 McCard Road
Corinth, Maine 04427

Tel: 207-360-9051

Email: david@averyrockfinancial.com

Website: www.averyrockfinancial.com

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This brochure supplement provides information about David Giles and supplements the Avery Rock Financial, LLC brochure. You should have received a copy of that brochure. Please contact David Giles if you did not receive the brochure or if you have any questions about the contents of this supplement.

**ADDITIONAL INFORMATION ABOUT DAVID GILES (CRD # 750 6302) IS AVAILABLE
ON THE SEC'S WEBSITE AT WWW.AVISERINFO.SEC.GOV.**

Brochure Supplement (Part 2B of Form ADV)

Supervised Person Brochure

Principal Executive Officer – David Giles

- Year of birth: 1970

Item 2 - Educational Background and Business Experience

Educational Background:

- University of Southern Maine; Bachelor of Science in Technical Education; 2007
- Husson University; Financial Planning; Bachelor of Science in Business Administration; 2023

Business Experience:

- Avery Rock Financial, LLC.; Investment Advisor Representative; xx/2022-Present
- Avery Rock Financial, LLC.; Managing Member; 01/2022-Present
- Air National Guard; Quality Assurance; 12/2007-10/2024

Item 3 - Disciplinary Information

A. Mr. Giles has never been involved in a criminal or civil action in a domestic, foreign or military court of competent jurisdiction for which he:

1. Was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) misdemeanor that involved investments or an investment-related business, fraud, false statement or omissions, wrongful taking of property, bribery, perjury, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
2. Is the named subject of a pending criminal proceeding that involves an investment related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
3. Was found to have been involved in a violation of an investment-related statute or regulation; or
4. Was the subject of any order, judgment or decree permanently or temporarily enjoining, or otherwise limiting, him from engaging in any investment related activity, or from violating any investment-related statute, rule, or order.

B. Mr. Giles never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which he:

1. Was found to have caused an investment-related business to lose its authorization to do business; or the subject of an order by the agency or authority;
2. Was found to have been involved in a violation of an investment-related statute or regulation or was the subject of an order by the agency or authority
(a) denying, suspending or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending his association with an investment-related business; (c) otherwise significantly limiting his investment-related activities; or (d) imposing a civil money penalty of more than

\$2,500 on him.

C. Mr. Giles has never been the subject of a self-regulatory organization (SRO) proceeding in which he:

1. Was found to have caused an investment-related business to lose its authorization to do business; or
2. Was found to have been involved in a violation of the SRO's rules and was: (a) barred or suspended from membership or from association with other members, or was expelled from membership; (b) otherwise significantly limited from investment-related activities; or (c) fined more than \$2,500.

D. Mr. Giles has not been involved in any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

Item 4 - Other Business Activities

Mr. Giles does not have any other business activities.

Item 5 - Additional Compensation

Mr. Giles does not receive any performance-based fees and does not receive any additional compensation for performing advisory services other than what is disclosed in Item 5 of Part 2A.

Item 6 - Supervision

Since Mr. Giles is the sole owner and investment adviser representative of Avery and is solely responsible for all supervision and formulation and monitoring of investment advice offered to Clients. He will adhere to the policies and procedures as described in the firm's Compliance Manual. He can be reached at averyrockfinancial@gmail.com or 207-360-9051.

Item 7 - Requirements for State-Registered Advisors

A. Mr. Giles has not been involved in any of the following:

1. An award or otherwise been found liable in an arbitration claim alleging damages in excess of \$2,500 involving any of the following:
 - a) An investment or an investment-related business or activity;
 - b) Fraud, false statement(s) or omissions;
 - c) Theft, embezzlement or other wrongful taking of property;
 - d) Bribery, forgery, counterfeiting, or extortion;
 - e) Dishonest, unfair or unethical practices.
2. An award or otherwise been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - a) An investment or an investment-related business or activity;
 - b) Fraud, false statement(s) or omissions;
 - c) Theft, embezzlement or other wrongful taking of property;
 - d) Bribery, forgery, counterfeiting, or extortion;
 - e) Dishonest, unfair or unethical practices.

B. Mr. Giles has never been the subject of a bankruptcy petition.