Aurora Capital LLC (member NASD/SIPC)
Office of Supervisory Jurisdiction
17 Park Avenue, #201 New York, NY 10016
917-834-7206

Our Mission

Know our clients well…Anticipate their needs… And exceed their expectations…

Investment Services

Mahoney Asset Management is a results-orientated team of professionals, supported by a disciplined investment strategy, dedicated to helping you achieve a comfortable retirement. We work to provide you with the highest quality retirement planning and portfolio management services.

The Investment Process

Mahoney Asset Management employs the following specific process for proper investing:

- Needs Evaluation
- Risk Analysis
- Investment Objectives
- Asset Allocation
- Specific Recommendations
- Continuous Client Care

Retirement Services

If you're about to retire, our team can guide you through the web of decisions this lifestyle change may require. Personalized services include:

- IRA Review
- Roth IRA Analyzer

Retirement Success

If you're already enjoying your golden years, our team offers Retirement Success: Financial Security in a Changing World. This program, reviewed and approved by The National Council on the Aging, Inc., is the first designed specifically for retired investors.

Mahoney Asset Management and this program will help you meet your new financial responsibilities and guide you to appropriate investment strategies. You will receive a financial-security analysis, an income-tax review, a cash-flow analysis, an estate-planning profile, an annual financial check-up, and a periodic newsletter all at no cost or obligation.

Invest with Peace of Mind

Mahoney Asset Management offers securities through Aurora Capital LLC which is a member of the NASD and Securities Investor Protection Corporation (SIPC), which provides coverage for accounts up to $500,000 (including up to $100,000 in cash) per client as defined by SIPC rules. Aurora Capital LLC clears its transactions through COR Clearing which provides additional account protection through Lloyd's of London up to $24.5 million (including up to $900,000 in cash) per client as defined by SIPC rules. With both SIPC and Lloyd's of London coverage, accounts are protected up to a total of $25 million per client (as defined by SIPC Rules including up to $1 million for cash balances.) This coverage does not protect against loss of Market Values of securities.

More Products...More Choices

To compliment our high standard of service, we provide a wide array of investment products. Our offerings include:

- Annuities
- Stocks / Bonds
- Mutual Funds
- Fixed Income
- Prime Broker Accounts
- Options
- DVP/RVP
- Other Various Products & Services

Clients of Mahoney Asset Management receive the following services

- Our ability to discern clients' investing personalities and set up appropriate investment vehicles
- Our focus on assisting our clients in managing their retirement, utilizing our GPS Financial Projection
- Our experience in understanding market cycles
- Our attention to clients' needs and our prompt responses to all inquiries
- Our commitment to meet with and/or telephone each client on a regular basis
- Unique Client Appreciation Events
- Our coordination of services with our clients' accountants and attorneys
- Our partners will help assess and review your insurance needs
- Weekly email updates on specific areas of the market
- Quarterly newsletter The Smart Investor with articles on investing trends
- Lifestyle Retirement Newsletter focusing on issues affecting those approaching or in their retirement years
- Our dedication to educating ourselves and our clients through in-house and offsite seminars and mailings
- Our desire to share what we've learned over the years through the publication of books
- Our website, www.MahoneyAssetManagement.com, which provides articles of interest, financial calculators and a learning center
- Our clearing firm, COR Clearing, provides client access to accounts online and easy to read monthly statements and financial reporting
- Our use of Thomson One to view real time market activity, to execute trades and to conduct research
- Our access to state of the art technology including Morningstar and Bloomberg
- NO ANNUAL FEES on brokerage accounts—IRA accounts subject to a $35.00 annual fee to DCG&T Trustee

In pursuit of achieving his clients' unique financial goals, Ken Mahoney specializes in investment management, combining his abilities with the resources of Aurora Capital LLC and COR Clearing to provide the highest quality, most comprehensive total financial planning package.

"Our intention is to develop long-term relationships with our clients based on mutual trust ."

Ken established Mahoney Asset Management to provide a comprehensive array of financial planning services, designed to help you maintain your desired lifestyle throughout your golden years. With the goal of becoming your primary financial advisor, he embraces a time-tested approach that seeks to help you achieve your goals, while reducing risk through proper asset allocation. An accomplished financial advisor, author, and speaker, Ken brings over 24 years of professional experience to the residents of Rockland, Westchester and the New York City metropolitan area. He also often appears on National Television. He is a guest financial contributor on ABC, CNBC and WPIX and a Guest Financial Analyst on Fox Business News and EBRU TV.

Ken's opinions on the world of finance have been published nationally. He sat on the Advisory Board of the House of Representatives Banking and Finance Committee, has taught finance at Dominican College, and won 2001's annual "Stock Picking" contest held by Gannett Newspapers. He is a frequent guest speaker at business associations, senior groups, corporations and other organizations throughout the region. Prior to founding Mahoney Asset Management, Ken was Senior Vice President and an Investment Officer with a major brokerage firm.

Ken's expertise has not gone unnoticed by periodicals either. Ken's market comments and perspectives are published in the Hudson Valley Business Journal weekly and his financial opinions have been published by USA Today, as well as by various other local publications. He is a familiar quoted figure in the business pages of newspaper's Business Leaders Roundtable. Since 1992, Ken has published the financial newsletter, The Smart Investor. He also did a market report on Tuesday mornings on WHUD, and can currently be heard live week- day mornings on WTBQ 1110 AM or 99.1 FM at 7:30AM and WRCR 1300 AM at 8:30AM.

Ken is the author of Investing From Within: A Story of Under- standing, Now What? A Guide to Retirement During Volatile Times, Can I Retire? and A GPS For Your Retirement. His latest book, A Tale of Two Retirements, released in 2014, will lead investors to their best retirement choices. Ken also launched a series entitled The Zoo Exchange: Teaching Our Kids About Money, which teaches children financial principles.

For more information about Ken and Mahoney Asset Management, visit mahoneygps.com.

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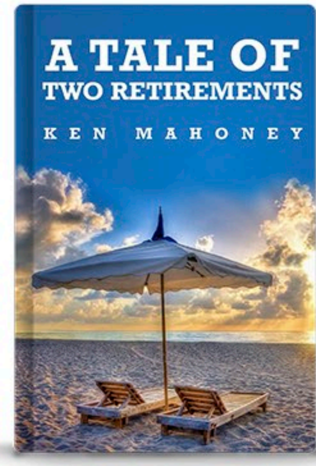
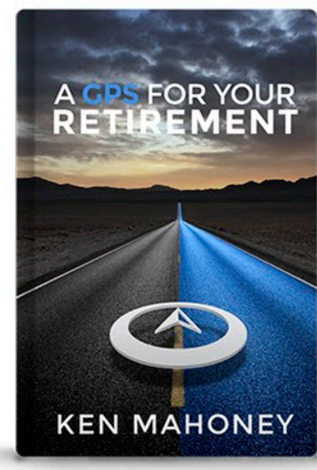
Publications



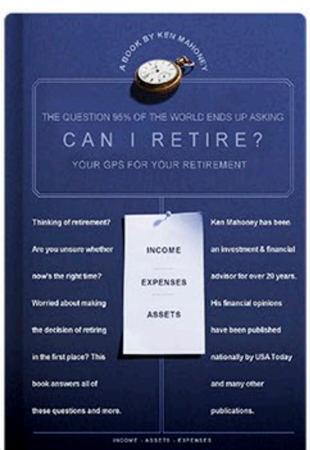
A Tale of Two Retirements

A Tale of Two Retirements shows you how to make the most of your nest egg during economic difficult times. More than that, the book will also help you factor in other considerations like your lifestyle, goals, and much more. This book delves deeper into what makes a person happy during retirement and how you too can find that happiness, as well as more information on how to make sure you don't outlive your retirement savings.



A GPS For Your Retirement

A GPS For Your Retirement will help you navigate your way to and through retirement, mentally and financially. It aims to help you achieve your retirement goals by showing you how to effectively work with your assets and make the most of retirement.



Can I Retire?

Thinking of retirement? Are you unsure whether now's the right time? *Can I Retire? Your Guide To Retirement*, walks you through the ins and outs of retirement and sets you up for a successful journey! 'Can I Retire? Your Personal Guide To Retirement', answers all the questions asked when it comes to considering retirement. The book walks you through the steps on how to retire successfully and offers you plenty of tips, advice and information on how you can balance your income, expenses and assets and really make the most of your retirement.