



Form ADV Part 2B – Individual Disclosure Brochure

Casey C. Rossiter

Investment Adviser Representative
CRD #4952071

Novem Group
2032 Brentwood Boulevard
Grand Island, NE 68801
308-389-8710
casey.rossiter@5pointsbank.com

Updated: 8/11/2021

This document provides information about Casey C. Rossiter that supplements the Novem Group Firm Brochure, which you should have received a copy of. Please contact Amanda R. Esteves, Chief Compliance Officer of Novem Group, if you did not receive a copy of the Firm Brochure or if you have any questions on the contents of this document. Additional information on Casey C. Rossiter is available on the SEC's website at www.adviserinfo.sec.gov.

Personal Information

Name: Casey C. Rossiter

Born: 1979

Education: Wayne State College
Bachelor of Science in Business with Finance Concentration, 2001

Business Background (past 5 years)

6/2019 – Present	Investment Adviser Representative Novem Group
6/2019 – Present	Registered Representative American Portfolios Financial Services, Inc.
6/2019 – Present	Sales Representative Five Points Bank & Five Points Financial
5/2013 – 6/2019	Insurance Agent Midland Insurance Co.
10/2013 – 5/2019	Investment Adviser Representative Securities America Advisors
10/2013 – 5/2019	Registered Representative Securities America, Inc.

Certifications

SIE	Securities Industry Essentials Exam
Series 7	General Securities Representative Exam
Series 31	Futures Managed Funds Exam
Series 66	Uniform Combined State Law Exam

Other Business Activities

Casey C. Rossiter is a Registered Representative of American Portfolios Financial Services, Inc., an insurance agent, and an employee of Five Points Bank and Five Points Financial. From time to time, the representative may offer clients advice or products from these activities. Clients should be aware that these services may pay a commission and may involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of an Investment Adviser Representative. Novem Group always acts in the best interest of the client including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any Investment Adviser Representative of Novem Group in their capacity as a Registered Representative, insurance agent, or bank employee.

Casey C. Rossiter is also the owner of a music services business and a solo musician.

Additional Compensation

Casey C. Rossiter does not receive any economic benefit from any person, company, or organization, other than Novem Group, in exchange for providing clients advisory services through Novem Group.

Supervision

As an Investment Adviser Representative, Casey C. Rossiter works closely with their supervisor and all advice provided to clients and account-related transactions are reviewed by their supervisor. Casey C. Rossiter adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's Written Supervisory Procedures and Code of Ethics and regulatory requirements.

Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this representative's business.