

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**August 2021**

**Carter Thomas Shaffer**

**Monocacy Wealth Management, LLC**  
**9099 Ridgefield Dr. Suite 205**  
**Frederick, Maryland 21701**  
**[www.monacacywm.com](http://www.monacacywm.com)**

**Firm Contact:**  
**Carter Thomas Shaffer**  
**Chief Compliance Officer**

This brochure supplement provides information about Mr. Shaffer that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Shaffer if you did not receive Monocacy Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Shaffer is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD # 6748338.

## Item 2: Educational Background & Business Experience

**Carter Thomas Shaffer**

**Year of Birth:** 1996

### **Educational Background:**

- 2018: University of Maryland; Bachelors Degree in Finance
- 2016: Frederick Community College; Associates Degree in Business

### **Business Background:**

- 08/2021 – Present      Monocacy Wealth Management, LLC; Financial Advisor
- 10/2019 – Present      Nylo Realty LLC; Real Estate Agent
- 07/2018 – 08/2019      XML Financial Group; Wealth Advisor
- 01/2017 – 05/2018      Wells Fargo Advisors; Financial Advisors Associate

### **Exams, Licenses & Other Professional Designations:**

- 2021: Real Estate Salesperson; Maryland
- 2020: Real Estate Salesperson; Washington, D.C.
- 2020: Real Estate Salesperson; Virginia
- 2018: Series 65 Exam

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Mr. Shaffer.

## Item 4: Other Business Activities

Mr. Shaffer is a licensed real estate agent. As such, he may receive normal and customary fees associated with real estate transactions in their independent capacities. These services are separate from our firm's advisory services and are governed under a separate agreement. Clients are under no obligation to engage our representative for these and will not be actively solicited.

<sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

### **Item 5: Additional Compensation**

Mr. Shaffer does not receive any other economic benefit for providing advisory services in addition to advisory fees.

### **Item 6: Supervision**

Mr. Shaffer is the Chief Compliance Officer of Monocacy Wealth Management, LLC and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics. Please contact Mr. Shaffer if you have any questions about Mr. Shaffer's brochure supplement at 301-694-9712.

### **Item 7: Requirements for State-Registered Advisers**

Mr. Shaffer has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.