



Form ADV Part 2B – Individual Disclosure Brochure

Amanda R. Esteves

Investment Adviser Representative
CRD #5597000

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This document provides information about Amanda R. Esteves 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 Amanda R. Esteves is available on the SEC's website at www.adviserinfo.sec.gov.

Personal Information

Name: Amanda R. Esteves

Born: 1984

Business Background (past 5 years)

11/2019 – Present	Chief Compliance Officer Novem Group
10/2013 – Present	Investment Adviser Representative Novem Group
3/2015 – Present	Registered Principal American Portfolios Financial Services, Inc.
4/2012 – 2/2015	Registered Assistant American Portfolios Financial Services, Inc.

Certifications

Series 4	Registered Options Principal Exam
Series 7	General Securities Representative Exam
Series 24	General Securities Principal Examination
Series 63	Uniform Securities Agent State Law Examination
Series 66	Uniform Combined State Law Exam

Designations

NRS IACCP® - National Regulatory Services' Investment Adviser Certified Compliance Professional

The NRS Investment Adviser Certified Compliance Professional® (IACCP®) designation is awarded to knowledgeable, experienced individuals who complete an instructor-led program of in-person and/or online study, pass a certifying examination, and meet its work experience, ethics and continuing education requirements. The designation signifies intermediate-level knowledge of investment adviser regulation and compliance best practices, and adherence to nationally recognized professional standards and ethical leadership.

Exhaustive certification and course development, together with expert instructors and facilitators from the compliance, legal, regulatory, financial industry, and academic sectors, help ensure that individuals earning the IACCP designation have been trained, tested and certified to meet high industry professional standards.

Other Business Activities

Amanda R. Esteves is a Registered Principal of American Portfolios Financial Services, Inc. and a licensed insurance agent. 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 or licensed insurance agent.

Amanda R. Esteves is a current Board Member of the Novem Foundation, a member of the Fundraising and Development Committee, and a member of the Governance Committee.

Additional Compensation

Amanda R. Esteves 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, Amanda R. Esteves works closely with her supervisor, Robert J Bartolotta, and all advice provided to clients and account-related transactions are reviewed by her supervisor. Amanda R. Esteves 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 manual, including the 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.