



Form ADV Part 2B – Individual Disclosure Brochure

Gavin J. Ugone

Investment Adviser Representative
CRD #7352007

Novem Group
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This document provides information about Gavin J. Ugone 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 Gavin J. Ugone is available on the SEC's website at www.adviserinfo.sec.gov.

Personal Information

Name: Gavin J. Ugone

Born: 1994

Education: Trinity College
Bachelor of Arts in Economics, May 2017

Business Background (past 5 years)

7/2021 – Present	Investment Adviser Representative Novem Group
3/2021 – Present	Non-Registered Assistant American Portfolios Financial Services, Inc.
3/2021 – 7/2021	Non-Registered Assistant Novem Group
1/2020 – 3/2021	Senior Financial Analyst American Renal Associates
6/2017 – 1/2020	Financial Analyst American Renal Associates

Certifications

Series 65 – Uniform Investment Adviser Law Examination

Other Business Activities

Gavin J. Ugone is a Non-Registered Assistant of American Portfolios Financial Services, Inc., and an employee of Topsfield Financial Group.

Additional Compensation

Gavin J. Ugone 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

Gavin J. Ugone works closely with their supervisor and all advice provided to clients and account-related transactions are reviewed by their supervisor. Gavin J. Ugone 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.