



**Form ADV Part 2B – Individual Disclosure Brochure**

**Gavin J. Ugone**

Investment Adviser Representative  
CRD #7352007

Novem Group  
7 Grove Street, Ste 301  
Topsfield, MA 01983  
[gugone@topsfieldfinancial.com](mailto:gugone@topsfieldfinancial.com)  
978-887-6778

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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](http://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<br>Novem Group                         |
| 3/2021 – Present | Non-Registered Assistant<br>American Portfolios Financial Services, Inc. |
| 3/2021 – 7/2021  | Non-Registered Assistant<br>Novem Group                                  |
| 1/2020 – 3/2021  | Senior Financial Analyst<br>American Renal Associates                    |
| 6/2017 – 1/2020  | Financial Analyst<br>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.