



Form ADV Part 2B – Individual Disclosure Brochure

James W. Ugone

Investment Adviser Representative

CRD #2699708

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

Personal Information

Name: James W. Ugone

Born: 1957

Education: University of New Hampshire
Master's in Occupational Education, 1987

University of Massachusetts
Bachelor of Arts in Education, 1980

Stockbridge School of Agriculture
Associates Degree in Science Horticulture, 1978

Business Background

11/2014 – Present	Investment Adviser Representative Novem Group
10/2024 – 12/2024	Registered Representative Osaic Wealth, Inc.
1/2002 – 10/2024	Registered Representative American Portfolios Financial Services, Inc.
11/2006 – 11/2014	Investment Adviser Representative American Portfolios Advisors, Inc.
9/1989 – 9/2006	Regional Manager Farm Family Life Insurance Company
1/1996 – 1/2002	Registered Representative Commonwealth Equity Services, Inc.

Certifications

Series 6	Investment Company Products & Variable Contracts Representative Examination
Series 63	Uniform Securities Agent State Law Examination
Series 65	Uniform Investment Adviser Law Exam

Other Business Activities

James W. Ugone is a licensed insurance agent. This insurance license is maintained to service existing business only and not currently actively used to sell insurance-related products. The representative may offer clients advice or products from this activity. 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.

James W. Ugone is an employee of Topsfield Financial Group.

Additional Compensation

James W. 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

As an Investment Adviser Representative, James W. Ugone works closely with their supervisor and all advice provided to clients and account-related transactions are reviewed by their supervisor. James W. 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 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.