

## BrokerCheck Report

### MONERE INVESTMENTS, INC.

CRD# 105487

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



## MONERE INVESTMENTS, INC.

CRD# 105487

SEC# 8-52982

### Main Office Location

20 N. MARTINGALE ROAD  
SUITE 450  
SCHAUMBURG, IL 60173  
Regulated by FINRA Chicago Office

### Mailing Address

20 N. MARTINGALE ROAD  
SUITE 450  
SCHAUMBURG, IL 60173

### Business Telephone Number

312 585-3850

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a corporation.

This firm was formed in Illinois on 10/26/2000.

Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 52 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 11 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Illinois on 10/26/2000.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### **MONERE INVESTMENTS, INC.**

**Doing business as MONERE INVESTMENTS, INC.**

**CRD#** 105487

**SEC#** 8-52982

### **Main Office Location**

20 N. MARTINGALE ROAD  
SUITE 450  
SCHAUMBURG, IL 60173

**Regulated by FINRA Chicago Office**

### **Mailing Address**

20 N. MARTINGALE ROAD  
SUITE 450  
SCHAUMBURG, IL 60173

### **Business Telephone Number**

312 585-3850



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	MONERE HOLDINGS, INC.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	OWNER
<b>Position Start Date</b>	08/2014
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BONO, THOMAS ALLEN 847285
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHAIRMAN, CEO
<b>Position Start Date</b>	02/2016
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BOUCKAERT, JOHN GEORGE 26830
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	BOARD MEMBER
<b>Position Start Date</b>	09/2014



## Firm Profile

### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** FALCO, ANTHONY II  
2155747

**Is this a domestic or foreign entity or an individual?** Individual

**Position** PRESIDENT

**Position Start Date** 02/2016

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** HARMON, ARTHUR FARRELL  
1558889

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CFO, FINOP

**Position Start Date** 09/2014

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** WYKRETOWICZ, ANDREW J.

## Firm Profile



### Direct Owners and Executive Officers (continued)

2839006

**Is this a domestic or foreign entity or an individual?** Individual

**Position** DIRECTOR, COO/CCO

**Position Start Date** 04/2015

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

**Legal Name & CRD# (if any):** BONO, THOMAS ALLEN  
847285

**Is this a domestic or foreign entity or an individual?** Individual

**Company through which indirect ownership is established** MONERE HOLDINGS, INC.

**Relationship to Direct Owner** OWNER

**Relationship Established** 02/2016

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** BOUCKAERT, JOHN GEORGE  
26830

**Is this a domestic or foreign entity or an individual?** Individual

**Company through which indirect ownership is established** MONERE HOLDINGS, INC.

**Relationship to Direct Owner** OWNER

**Relationship Established** 08/2014

**Percentage of Ownership** 25% but less than 50%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** FALCO, ANTHONY II

## Firm Profile



### Indirect Owners (continued)

	2155747
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	MONERE HOLDINGS, INC.
<b>Relationship to Direct Owner</b>	OWNER
<b>Relationship Established</b>	07/2016
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





## Firm Operations

### Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 52 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	05/04/2001

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	05/04/2001



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/12/2015	North Carolina	Approved	04/21/2015
Alaska	Approved	04/21/2015	North Dakota	Approved	05/07/2015
Arizona	Approved	04/28/2015	Ohio	Approved	04/20/2015
Arkansas	Approved	04/20/2015	Oklahoma	Approved	04/14/2015
California	Approved	04/15/2015	Oregon	Approved	04/29/2015
Colorado	Approved	04/15/2015	Pennsylvania	Approved	05/04/2015
Connecticut	Approved	04/24/2015	Rhode Island	Approved	04/10/2015
Delaware	Approved	05/04/2015	South Carolina	Approved	05/13/2015
District of Columbia	Approved	04/28/2015	South Dakota	Approved	04/13/2015
Florida	Approved	01/02/2015	Tennessee	Approved	07/10/2015
Georgia	Approved	05/06/2015	Texas	Approved	05/26/2015
Hawaii	Approved	05/11/2015	Utah	Approved	04/15/2015
Idaho	Approved	04/13/2015	Vermont	Approved	04/17/2015
Illinois	Approved	05/15/2001	Virgin Islands	Approved	08/12/2024
Indiana	Approved	11/14/2014	Virginia	Approved	04/28/2015
Iowa	Approved	04/13/2015	Washington	Approved	04/15/2015
Kansas	Approved	05/12/2015	West Virginia	Approved	04/21/2015
Kentucky	Approved	04/20/2015	Wisconsin	Approved	11/17/2014
Louisiana	Approved	04/10/2015	Wyoming	Approved	05/01/2015
Maine	Approved	05/04/2015			
Maryland	Approved	04/20/2015			
Massachusetts	Approved	10/09/2014			
Michigan	Approved	04/21/2015			
Minnesota	Approved	04/10/2015			
Mississippi	Approved	04/10/2015			
Missouri	Approved	05/05/2015			
Montana	Approved	04/17/2015			
Nebraska	Approved	05/12/2015			
Nevada	Approved	04/29/2015			
New Hampshire	Approved	06/16/2015			
New Jersey	Approved	04/28/2015			
New Mexico	Approved	05/29/2015			
New York	Approved	10/06/2014			



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 11 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Mutual fund retailer

U S. government securities dealer

U S. government securities broker

Municipal securities dealer

Municipal securities broker

Broker or dealer selling variable life insurance or annuities

Put and call broker or dealer or option writer

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Private placements of securities

#### Other Types of Business

This firm does effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## Firm Operations



### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

<b>Name:</b>	PERSHING LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
<b>Effective Date:</b>	04/01/2015
<b>Description:</b>	CLEARING ON FULLY DISCLOSED BASIS

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## Firm Operations

### Industry Arrangements



**This firm does not have books or records maintained by a third party.**

**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does have customer accounts, funds, or securities maintained by a third party.**

**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399  
**Effective Date:** 04/01/2015  
**Description:** CLEARING THROUGH PERSHING ON FULLY DISCLOSED BASIS.

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#### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

**MONERE WEALTH MANAGEMENT, INC. is under common control with the firm.**

<b>CRD #:</b>	173076
<b>Business Address:</b>	135 S. LASALLE STREET SUITE 4150 CHICAGO, IL 60603
<b>Effective Date:</b>	03/30/2015
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BOTH MONERE INVESTMENTS, INC. AND MONERE WEALTH MANAGEMENT, INC. ARE OWNED BY MONERE HOLDINGS, INC.

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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