

## BrokerCheck Report

### MONUMENT GROUP, INC.

CRD# 36399

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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.

• **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).

**MONUMENT GROUP, INC.**

CRD# 36399

SEC# 8-47248

**Main Office Location**

500 BOYLSTON STREET  
SUITE 1150  
BOSTON, MA 02116  
Regulated by FINRA Boston Office

**Mailing Address**

500 BOYLSTON STREET  
SUITE 1150  
BOSTON, MA 02116

**Business Telephone Number**

617-423-4700

**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 Delaware on 03/31/1994.

Its fiscal year ends in September.

**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 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have 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 Delaware on 03/31/1994.

Its fiscal year ends in September.

## 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.

### **MONUMENT GROUP, INC.**

**Doing business as MONUMENT GROUP, INC.**

**CRD#** 36399

**SEC#** 8-47248

### **Main Office Location**

500 BOYLSTON STREET  
SUITE 1150  
BOSTON, MA 02116

**Regulated by FINRA Boston Office**

### **Mailing Address**

500 BOYLSTON STREET  
SUITE 1150  
BOSTON, MA 02116

### **Business Telephone Number**

617-423-4700



## Firm Profile

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

### Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** CAMPANA, LORI D

4660389

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

**Position** SHAREHOLDER

**Position Start Date** 01/2010

**Percentage of Ownership** 10% but less than 25%

**Does this owner direct the management or policies of the firm?** No

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

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**Legal Name & CRD# (if any):** DIGGINS, MARY MARGARET

7069473

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

**Position** ASSISTANT SECRETARY/SHAREHOLDER

**Position Start Date** 01/2018

**Percentage of Ownership** 10% but less than 25%

**Does this owner direct the management or policies of the firm?** No

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

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**Legal Name & CRD# (if any):** GENDRON, MEREDITH A.

5248956

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

**Position** CHIEF COMPLIANCE OFFICER/SHAREHOLDER

## Firm Profile



### Direct Owners and Executive Officers (continued)

<b>Position Start Date</b>	01/2018
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	MACCURNAIN, PATRICK W 4426182
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	TREASURER/SHAREHOLDER
<b>Position Start Date</b>	01/2018
<b>Percentage of Ownership</b>	10% but less than 25%
<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>	MCCORMICK, JOHN BLANCHARD MR. 5246677
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	SHAREHOLDER
<b>Position Start Date</b>	01/2010
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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## Firm Profile



### Direct Owners and Executive Officers (continued)

<b>Legal Name &amp; CRD# (if any):</b>	MILLER, MICHAEL CHRISTOPHER 3060234
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRESIDENT/SHAREHOLDER
<b>Position Start Date</b>	01/2010
<b>Percentage of Ownership</b>	10% but less than 25%
<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>	MOLLOY, BARTHOLOMEW JOSEPH 2655092
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	SHAREHOLDER
<b>Position Start Date</b>	01/2010
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	MUELLER, RYAN MICHAEL 4286239
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	SECRETARY/SHAREHOLDER
<b>Position Start Date</b>	01/2010
<b>Percentage of Ownership</b>	10% but less than 25%

Firm Profile



Direct Owners and Executive Officers (continued)

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

No information reported.



## 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	07/14/1994

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:    No

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	07/14/1994



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/23/2005
Alaska	Approved	12/14/2005
Arizona	Approved	02/09/2006
Arkansas	Approved	01/31/2006
California	Approved	05/10/1995
Colorado	Approved	02/28/2002
Connecticut	Limited	08/10/1995
Delaware	Approved	01/05/2006
District of Columbia	Approved	02/08/2006
Florida	Approved	04/26/2002
Georgia	Approved	09/24/2002
Hawaii	Approved	01/03/2006
Idaho	Approved	11/14/2005
Illinois	Approved	04/24/2002
Indiana	Approved	11/14/2005
Iowa	Approved	11/23/2005
Kansas	Approved	04/09/2002
Kentucky	Approved	11/21/2005
Louisiana	Approved	04/09/2002
Maine	Approved	03/03/2006
Maryland	Approved	03/08/2002
Massachusetts	Approved	07/14/1994
Michigan	Approved	03/06/2002
Minnesota	Approved	02/26/2002
Mississippi	Approved	05/10/2013
Missouri	Approved	04/08/2002
Montana	Approved	03/02/2006
Nebraska	Approved	04/17/2002
Nevada	Approved	02/28/2002
New Hampshire	Limited	04/23/2002
New Jersey	Approved	04/16/2002
New Mexico	Approved	12/01/2005
New York	Approved	07/12/1994

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	03/21/2002
North Dakota	Approved	11/21/2005
Ohio	Approved	03/25/1999
Oklahoma	Approved	11/25/2003
Oregon	Limited	04/29/2002
Pennsylvania	Approved	03/25/2002
Puerto Rico	Approved	07/17/2013
Rhode Island	Approved	12/02/2005
South Carolina	Approved	07/02/2013
South Dakota	Approved	11/10/2005
Tennessee	Approved	01/25/2006
Texas	Approved	04/10/2002
Utah	Approved	11/14/2005
Vermont	Approved	11/18/1996
Virginia	Approved	05/08/1995
Washington	Approved	02/27/2002
West Virginia	Approved	07/10/2013
Wisconsin	Approved	01/20/2006
Wyoming	Approved	11/21/2005



## 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 1 type of business.**

#### Types of Business

Private placements of securities

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: 11B THE REGISTRANT ACTS AS FINANCIAL CONSULTANT.

## **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 not refer or introduce customers to other brokers and dealers.**

## Firm Operations

### Industry Arrangements



**This firm does have books or records maintained by a third party.**

**Name:** COMPLIANCE SCIENCE, INC.

**Business Address:** 136 MADISON AVENUE, 8TH FLOOR  
NEW YORK, NY 10016

**Effective Date:** 01/01/2021

**Description:** COMPLIANCE SCIENCE, AN INDEPENDENT THIRD-PARTY, MAINTAINS COMPLYSCI, AN APPLICATION USED BY MONUMENT GROUP, THAT RECEIVES, STORES AND, ARCHIVES PERSONAL TRADING-RELATED DATA IN ELECTRONIC FORM.

**Name:** EGNYTE, INC.

**Business Address:** 1350 W. MIDDLEFIELD RD  
MOUNTAIN VIEW, CA 94043

**Effective Date:** 12/15/2022

**Description:** EGNYTE IS AN INDEPENDENT THIRD PARTY "CLOUD SERVICE PROVIDER" PROVIDING SECURE FILE SHARING, CONTENT MANAGEMENT AND CONTENT GOVERNANCE SERVICES, WHICH IS AN OUTSOURCED ELECTRONIC RECORDKEEPING SYSTEM TO ARCHIVE SOME OR ALL OF COMPANY'S RECORDS AS REQUIRED BY SEA RULES 17A-3 AND/OR 17A-4.

**Name:** GLOBAL RELAY COMMUNICATIONS INC.

**Business Address:** 220 CAMBIE STREET, 2ND FLOOR  
VANCOUVER, CANADA V6B 2M9

**Effective Date:** 03/08/2006

**Description:** MONUMENT GROUP SUBSCRIBES TO GLOBAL RELAY ARCHIVE SERVICE (THE "SERVICE"), WHICH IS AN OUTSOURCED ELECTRONIC RECORDKEEPING SYSTEM SERVICE TO ARCHIVE SOME OR ALL OF ITS RECORDS AS REQUIRED BY SEC RULES 17A-3 AND/OR 17A-4, AND HAS ENGAGED GLOBAL RELAY AS ITS THIRD PARTY DOWNLOADER IN CONNECTION WITH THE SERVICE.

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

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

### Control Persons/Financing

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

## Firm Operations

### Industry Arrangements (continued)



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.

**MONUMENT GROUP NETHERLANDS B.V. is under common control with the firm.**

<b>Business Address:</b>	KEIZERSGRACHT 555, 1017 DR AMSTERDAM, NETHERLANDS
<b>Effective Date:</b>	12/29/2022
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	NETHERLANDS
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	MONUMENT GROUP EUROPE LLP, AN AFFILIATE LISTED ABOVE, WHOLLY OWNS MONUMENT GROUP NETHERLANDS B.V.

**MONUMENT GROUP (HK) LIMITED is under common control with the firm.**

<b>Business Address:</b>	SUITE 3003, 30TH FLOOR, TWO EXCHANGE SQUARE 8 CONNAUGHT PLACE, CENTRAL HONG KONG, HONG KONG
<b>Effective Date:</b>	05/08/2013
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	HONG KONG
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	MONUMENT GROUP (HK) LIMITED IS A WHOLLY OWNED SUBSIDIARY OF MONUMENT GROUP, L.P. AS LISTED ABOVE

**MONUMENT GROUP EUROPE LLP is under common control with the firm.**

## Firm Operations



### Organization Affiliates (continued)

<b>Business Address:</b>	7 SAVILE ROW LONDON, UNITED KINGDOM W1S 3PE
<b>Effective Date:</b>	10/30/2012
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	MONUMENT GROUP, L.P., AN AFFILIATE LISTED ABOVE, WHOLLY OWNS MONUMENT GROUP (UK) LTD, WHICH IS THE MANAGING MEMBER OF MONUMENT GROUP EUROPE LLP.

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#### MONUMENT GROUP, L.P. is under common control with the firm.

<b>Business Address:</b>	500 BOYLSTON STREET, SUITE 1150 BOSTON, MA 02116
<b>Effective Date:</b>	10/30/2012
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	THE SHAREHOLDERS OF MONUMENT GROUP INC. ARE ALL PARTNERS IN MONUMENT GROUP, L.P.

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#### 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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