BrokerCheck Report

SHAWN ANDREW MONTY

CRD# 1391866

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

For additional information about the contents of this report, please refer to the User Guidance or 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.

SHAWN A. MONTY

CRD# 1391866

Currently employed by and registered with the following Firm(s):

IA **FINANCIAL STRATEGIES RETIREMENT PARTNERS**
3 EXECUTIVE PARK DRIVE
SUITE 205
BEDFORD, NH 03110
CRD# 147965
Registered with this firm since: 01/05/2009

IA **COMMONWEALTH FINANCIAL NETWORK**
3 EXECUTIVE PARK DRIVE
SUITE 205
BEDFORD, NH 03110
CRD# 8032
Registered with this firm since: 04/24/1998

B **COMMONWEALTH FINANCIAL NETWORK**
3 EXECUTIVE PARK DRIVE
SUITE 205
BEDFORD, NH 03110
CRD# 8032
Registered with this firm since: 01/05/1995

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 20 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **METLIFE SECURITIES INC.**
CRD# 14251
SPRINGFIELD, MA
06/1988 - 01/1995

B **METROPOLITAN LIFE INSURANCE COMPANY**
CRD# 4095
NEW YORK, NY
06/1988 - 01/1995

B **FIRST INVESTORS CORPORATION**
CRD# 305
EDISON, NJ
07/1985 - 05/1988

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 20 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **COMMONWEALTH FINANCIAL NETWORK**

Main Office Address: **29 SAWYER ROAD**
WALTHAM, MA 02453-3483

Firm CRD#: **8032**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/05/1995
B	FINRA	Investment Co./Variable Contracts Prin	Approved	03/01/2001
B	FINRA	General Securities Representative	Approved	02/12/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/06/2022
B	Arizona	Agent	Approved	01/22/2014
B	Connecticut	Agent	Approved	05/18/1995
B	District of Columbia	Agent	Approved	08/06/2014
B	Florida	Agent	Approved	02/08/1996
B	Georgia	Agent	Approved	02/13/2001
B	Indiana	Agent	Approved	10/11/2018
B	Maine	Agent	Approved	06/04/2001
B	Massachusetts	Agent	Approved	01/16/1995
B	Minnesota	Agent	Approved	06/24/2025

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	01/05/1995
IA	New Hampshire	Investment Adviser Representative	Approved	04/24/1998
B	New Jersey	Agent	Approved	06/24/2025
B	New York	Agent	Approved	01/16/1995
B	North Carolina	Agent	Approved	02/27/2013
B	South Carolina	Agent	Approved	11/07/2005
B	Texas	Agent	Approved	10/26/2017
B	Utah	Agent	Approved	05/10/2019
B	Vermont	Agent	Approved	01/05/1995
B	Virginia	Agent	Approved	07/23/2015
B	Washington	Agent	Approved	04/15/2014

Branch Office Locations

COMMONWEALTH FINANCIAL NETWORK
3 EXECUTIVE PARK DRIVE
SUITE 205
BEDFORD, NH 03110

Employment 2 of 2

Firm Name: **FINANCIAL STRATEGIES RETIREMENT PARTNERS**

Main Office Address: **3 EXECUTIVE PARK DRIVE**
SUITE 205
BEDFORD, NH 03110

Firm CRD#: **147965**

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	New Hampshire	Investment Adviser Representative	Approved	01/05/2009

Branch Office Locations

3 EXECUTIVE PARK DRIVE
SUITE 205
BEDFORD, NH 03110

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	02/28/2001

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	02/12/2021
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	07/17/1985

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	07/19/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/1988 - 01/1995	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	06/1988 - 01/1995	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B	07/1985 - 05/1988	FIRST INVESTORS CORPORATION	305	EDISON, NJ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2008 - Present	FINANCIAL STRATEGIES RETIREMENT PARTNERS, LLC	MANAGING PARTNER/ADVISORY REPRESENTATIVE	Y	BEDFORD, NH, United States
01/1995 - Present	COMMONWEALTH FINANCIAL NETWORK	REGISTERED REPRESENTATIVE	Y	WALTHAM, MA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1. Registered Investment Adviser, Investment Advisor Representative; Approximately 45% time spent during securities trading hours per month devoted to providing Financial Planning/Consulting Services; Conducted at branch location; Investment related.
2. Financial Strategies Retirement Partners, LLC, Managing Partner and Co-Owner of a private entity established to facilitate investment advisory business; As of January 2009; Approximately 5% time spent during securities trading hours per month; Conducted at branch location; Investment related.
3. Fixed Insurance Sales, as an Agent under the name 'Financial Strategies Retirement Partners'; Conducted at branch location; Investment related.
4. Rental Property located in Alstead, NH, as Owner; Not conducted at branch location; Investment related.

End of Report

This page is intentionally left blank.