Firm Brochure

(Part 2A of Form ADV)

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www.compassfinancialservicesgroup.com

Principals@CompassCapital.co

This brochure provides information about the qualifications and business practices of Compass Capital Corporation. If you have any questions about the contents of this brochure, please contact us at: 781-535-6083, or by email at: Principals@CompassCapital.co. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority.

Compass Capital Corporation is an SEC Registered Investment Advisor. Please note that registration does not imply a certain level of skill or training. Additional information about Compass Capital Corporation is available on the SEC's website at www.adviserinfo.sec.gov

June 30, 2025

Material Changes

Annual Update
The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update
No material changes.

Full Brochure Available
If you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: 781-535-6083 or by email at: Principals@ CompassCapital.co or download it from our web site, www.compassfinancialservicesgroup.com in the “Disclosures” section.

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Advisory Business

Firm Description

Compass Capital Corporation was founded in 1984. Compass Capital Corporation provides personalized financial planning and investment management to individuals, pension and profit sharing plans, trusts, estates, charitable organizations and small businesses. Compass Capital Corporation is a fee-only investment management firm. The firm does not receive commissions for purchasing or selling stocks, bonds, mutual funds, limited partnerships, or other commissioned securities products. The firm is affiliated with Compass Holding Group, Incorporated (CHGI), a financial services holding company, Compass Securities Corporation, an institutional-only FINRA Broker/Dealer and Compass Securities Insurance Agency Inc an insurance general agency, all entities wholly owned by CHGI. Compass Capital Corporation does not act as a custodian of client assets.

Principal Owners

Compass Holding Group Incorporated (CHGI) is the 100% owner of Compass Capital Corporation. Scott Chaisson is the majority beneficial owner of CHGI.

Types of Advisory Services

Compass Capital Corporation provides investment supervisory services, also known as asset management services; furnishes investment advice through consultation, and personal financial planning. From time to time, Compass Capital Corporation furnishes advice to clients on matters not involving securities, such as financial planning matters, taxation issues, and trust services that often include estate planning.

Tailored Relationships

The goals and objectives for each client are documented in our client records. Investment policy statements may be created that reflect the stated goals and objective. Clients may impose restrictions on investing in certain securities or types of securities. Agreements may not be assigned without client consent.

Types of Agreements

The following agreements define the typical client relationships.

Investment Advisory Agreement

Our primary service is portfolio management and investment advice delivered on a discretionary and/or non-discretionary basis through an Investment Advisory Agreement agreed to by the Advisor and the Client. Portfolios may use exchange-traded funds, mutual funds, individual equities and fixed income, and cash equivalents, aligned to each client's objectives, risk tolerance, time horizon, and tax considerations.

Financial Planning Agreement

We offer limited, stand-alone financial planning (e.g., retirement accumulation/decumulation, cash-flow, education funding, insurance reviews) through a separate written agreement and is charged on an hourly basis. Planning is advisory in nature and does not, by itself, implement transactions or grant investment discretion. Implementation of the recommendations is at the discretion of the client. After delivery of a financial plan, future face-to-face meetings may be scheduled as necessary. Follow-on implementation work is billed separately.

Termination of Agreement

A Client may terminate any of the aforementioned agreements at any time by notifying Compass Capital Corporation in writing. Compass Capital Corporation may terminate any of the aforementioned agreements at any time by notifying the client in writing. At termination, fees will be billed on a pro rata basis for the portion of the quarter completed.

Fees and Compensation

Description

Compass Capital Corporation bases its fees on a percentage of assets under management and/or hourly charges. All fees are negotiable. The Investment Advisory annual fee is based on a negotiation between the Compass Investment Advisor and the client based on the relationship, needs and circumstances of the client and can be adjusted by mutual agreement of the Advisor and Client. Financial plans are priced based on time spent according to the degree of complexity associated with the client's situation.

Fee Billing

Investment management fees are billed quarterly, in arrears. Significant intra-quarter flows may be prorated from the date of the flow. Fees are usually deducted by the custodian from a designated client account to facilitate billing or payment is provided directly by the client to Compass Capital Corporation.

Other Fees

Custodians may charge custody fees, generally based on the size and nature of the account. There may also be charges for transactions of certain securities, small accounts and/or account closing fees. These transaction charges are usually small and incidental to the purchase or sale of a security. Compass Capital Corporation, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

Expense Ratios
Mutual funds and exchange traded funds (ETFs) generally charge a management fee for their services as investment managers. These fees are in addition to the fees paid by you to Compass Capital Corporation.

Past-Due Accounts and Termination of Agreement

Compass Capital Corporation reserves the right to stop work on any account that is more than 30 days overdue. In addition, Compass Capital Corporation reserves the right to terminate any engagement where a client has willfully concealed or has refused to provide pertinent financial information when necessary and appropriate, in Compass Capital Corporation's judgment.

Performance-Based Fees

Sharing of Capital Gains

Compass fees are not based on a share of the capital gains or capital appreciation of managed securities. Compass Capital Corporation does not use a performance-based fee structure.

Retirement Account Rollover PTE2020-02 Exemption Disclosures

When our firm is providing investment advice regarding a retirement plan account or individual retirement account, we act as a fiduciary within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code.
Under this special rule's provisions, we must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that we give advice that is in your best interest;
- Charge no more than is reasonable for our services; and
- Give you basic information about conflicts of interest.

Factors to consider in determining if a rollover is in your best interest.	**Your alternatives to a rollover**,	**Your individual needs and circumstances will determine if a rollover**

Discussion of these factors with your investment advisor will be crucial to our ability to provide you with prudent advice.	include leaving the money in the investor's employer's plan, if permitted. A comparison of the fees and expenses associated with both your existing plan and the new IRA Determining whether your employer pays for some or all of the plan's administrative expenses A comparison of the levels of service and investments available under each option	**is in your best interest, however these are some common situations you may find yourself encountering**: - Does not wish to leave assets with former employer or employer is terminating the plan - Dissatisfied with the limited investment options - Dissatisfied with the performance of the investment alternatives - Would like a lifetime income option - Would like to consolidate assets - Wants more direct control over the assets - Prefers to have professional advice/management - Would like to have more holistic planning services for other matters

Information required to determine if a rollover is your best interest. Please provide the following information to your investment advisor, so that they may make a reasonable recommendation.	All information regarding your current financial situation and investment goals. To the extent practicable, information about your current 401(k) plan or existing IRA. The relevant information including: - Your current plan/account's fees and expenses. - Your current plan/account's services - Your current plan/account's investment options	Advisors will attempt, to the best of their abilities and information, to educate you on options regarding the assets in a 401(k) plan, as well as the advantages and disadvantages of a 401(k) to an IRA rollover, or from IRA to IRA rollover, as applicable.
Disclosure of any conflicts of interest and other related information.	Compass Capital Corporation is a SEC-registered investment advisor and all disclosures Form ADV, regarding conflicts of interest, Code of Ethics and Form CRS are available at anytime for download from our website under "disclosures" at www.compassfinancialservicesgroup.com	

Clients are asked to acknowledge that they have read and understand their options in the event that a Retirement account Rollover or IRA transfer that falls under the Prohibited Transaction Exemption 2020-02 (PTE 2020-02). If you decide to engage in a retirement account rollover or IRA transfer, please select all of the following reasons that apply:

□ Do not wish to leave assets with former employer or employer is terminating the plan	□ Dissatisfied with the limited investment options
□ Dissatisfied with the performance of the investment alternatives	□ Would like a lifetime income option
□ Would like to consolidate assets	□ Want more direct control over the assets

□ Prefer to have professional advice/management	□ Would like to have more holistic planning services for other matters

Types of Clients

Description

Compass Capital Corporation generally provides investment advice to individuals, pension and profit-sharing plans, trusts, estates, charitable organizations, and corporations or other business entities. Client relationships vary in scope and length of service.

Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

Compass Capital Corporation utilizes investment analysis software. The software serves as the basis for a multiple screening process which results in a portfolio optimization along the efficient frontier in correlation with the individual clients risk/reward criteria as determined by consultation and data gathering/risk tolerance information with the client. Compass Capital Corporation may from time to time refer specific styles of investment management out to other investment advisory firms who may perform the analysis and strategies. These sub-advisors use their own Form ADV for disclosing their methods of analysis, sources of information and investment strategies.

Investment Strategies

Compass offers investment management strategies based on asset allocation and efficient frontier portfolio optimization. The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time. Clients are advised as to the conceptual/planned asset allocation and arrangement of investment assets. Usually, generic investment recommendations or asset class allocations are made with specific investments subsequently identified and selected.

Risk of Loss

All investments have certain risks that are borne by the investor. Investors face the following investment risks:

- Interest-rate Risk: Fluctuations in interest rates may cause investment prices to fluctuate.
- Market Risk: The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors

independent of a security's particular underlying circumstances.

- Inflation Risk: When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- Currency Risk: Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country.
- Reinvestment Risk: This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate).
- Business Risk: These risks are associated with a particular industry or a particular company within an industry.
- Liquidity Risk: the danger of being unable to sell an investment quickly or for a price close to its true market value.

Disciplinary Information

Legal and Disciplinary

The firm and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

Other Financial Industry Activities and Affiliations

Financial Industry Activities

Scott Chaisson, and Tim Shanahan are Registered Principals with Compass Securities Corporation, a wholly-owned subsidiary of Compass Holding Group Inc., the parent company of CCC. Compass Securities Corporation is an institutional-only FINRA Registered Broker/Dealer. All of the Principals work on salary only. They receive no commission compensation from Compass Securities Corporation, although they may receive 12b1 trails. Certain investment adviser representatives of Compass Capital Corporation (currently Bruce Winans, Seth C. Chadwick, Maria Kondracki Dwyer, Tyler Chaisson and Peter Montalbano.) are also Registered Representatives of Compass Securities Corporation. Compass may from time to time enter into arrangements with other investment advisors. In the arrangements where Compass is the sub-advisor, it is expected that Compass' Form ADV Part II will be offered to the clients of the other firms as additional disclosure. In those situations where Compass engages another firm to sub-advise, the Form ADV Part II of that firm will be offered to clients as additional disclosure. In the sub-advisory arrangements there is both a sharing of the investment responsibility and the investment management fee.

Affiliations

CHGI wholly owns Compass Capital Corporation, Compass Securities Corporation, and Compass Securities Insurance Agency, Inc.

Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics

Compass Capital's Code of Ethics, adopted under SEC Rule 204A-1, sets a fiduciary standard of conduct and requires compliance with federal securities laws. It mandates access-person reporting of holdings/transactions with pre-clearance for IPOs and private placements, and it is actively enforced through review of personal trading and prompt escalation of any violations. The Code is distributed to all employees and acknowledged in writing. Compass will upon request furnish its clients with a copy of our Code. It is available at any time for download from our web site under "Disclosures" at www.compassfinancialservicesgroup.com

Participation or Interest in Client Transactions

Officers and employees of Compass Capital Corporation may, from time to time, buy or sell some of the same securities that it recommends to its clients. These transactions are executed in full compliance with FINRA regulations. As a matter of firm policy trades of affiliated persons are not knowingly executed before customer's orders.

Personal Trading

The Chief Compliance Officer of Compass Capital Corporation is Tyler Chaisson. He reviews all employee trades each quarter. Tyler's trades are reviewed by Tim Shanahan, President of Compass Capital Corporation. The personal trading reviews ensure that the personal trading of employees does not affect the markets, and that clients of the firm receive preferential treatment.

Brokerage Practices

Selecting Brokerage Firms

CHGI, the parent company of Compass Capital Corporation, also owns Compass Securities Corporation, which is an institutional-only FINRA Broker/Dealer. Compass Securities Corporation does not have custody or clearing facilities or agreements..

Best Execution

Compass Capital Corporation reviews the execution of trades at each custodian periodically. Trading fees charged by the custodians are also reviewed on a quarterly basis. Compass Capital Corporation does not receive any portion of the trading fees.

Soft Dollars

Compass Capital Corporation has no soft dollar arrangements for equipment or non-research services with anyone.

Order Aggregation

When appropriate, trades are aggregated and subsequently allocated to client accounts.

Review of Accounts

Account Reviews
Compass Capital reviews its client accounts on a regular basis. The review may range from supervision of trades, periodic statement reviews and account information to complete update of the financial plan, as needed.

Client Referrals and Other Compensation

Incoming Referrals
Compass Capital Corporation may use fully disclosed solicitors, who under written agreement, generate referrals to the firm. As of this amendment, no agreements are in effect and it is not our practice to pay a finder's fee. In addition, Compass Capital Corporation may receive client referrals. The referrals came from current clients, estate planning attorneys, accountants, and similar sources. The firm does not compensate referring parties for these referrals.

Referrals Out
Compass Capital Corporation does not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

Other Compensation
Compass may from time to time enter into arrangements with other investment advisors. In the arrangements where Compass is the sub-advisor, it is expected that Compass' Form ADV Part II will be offered to the clients of the other firms as additional disclosure. In those situations where Compass engages another firm to sub-advise, the Form ADV Part II of that firm will be offered to clients as additional disclosure. In the sub-advisory arrangements there is both a sharing of the investment responsibility and the investment management fee. A Compass affiliate, Compass Securities Corporation, may receive compensation for representing managers or distributing funds used by Compass Capital Corporation.

Custody

SEC "Custody"
At no time does Compass Capital Corporation have custody of client cash or securities.

Account Statements
All assets are held at qualified custodians, which means the custodians provide account statements directly to clients either online or at their address of record on a regular basis.

Investment Discretion

Limited Power of Attorney
The client may sign a limited power of attorney for trading authorization so we may execute the trades to meet the objectives of client's financial plan and objectives.

Discretionary Authority for Trading
Compass Capital Corporation accepts discretionary authority to manage securities accounts on behalf of clients. Compass Capital Corporation has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold within the boundaries of the investment policy adopted by the client. However, if a blanket trading authorization has not been given, Compass Capital Corporation consults with the client prior to each trade to obtain concurrence. Compass Capital Corporation does not receive any portion of the transaction fees or commissions paid by the client to the custodian on certain trades.

Voting Client Securities

Proxy Votes
Compass Capital Corporation does not vote nor advise regarding proxies on securities.

Financial Information

Financial Condition
Compass Capital Corporation does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

Business Continuity Plan

General
Compass Capital Corporation has a Business Continuity Plan in place that provides detailed steps to mitigate and recover from the loss of office space, communications, services or key people. See our website for our Business Continuity Plan disclosure statement.

Disasters
The Business Continuity and Disaster Recovery Plan covers natural and man-made disasters. Electronic files are backed up daily and archived offsite.

Alternate Offices
Alternate offices are identified to support ongoing operations in the event the main office is unavailable.

Information Security
Compass Capital Corporation maintains an information security program including and Identity Theft Prevention Program (ITPP) to reduce the risk that your personal and confidential information may be breached.

Privacy Notice
The categories of nonpublic information that we collect from you may include information about your personal finances, information about your health to the extent that it is needed for the financial planning process, information about transactions between you and third parties, and information from consumer reporting agencies, *e.g.*, credit reports. We use this information to help you meet your personal financial goals.

With your permission, we disclose limited information to attorneys, accountants, and mortgage lenders with whom you have established a relationship. You may opt out from our sharing information with these nonaffiliated third parties by notifying us at any time by telephone, mail, fax, email, or in person. With your permission, we share a limited amount of information about you with your brokerage firm in order to execute securities transactions on your behalf.

We maintain a secure office to ensure that your information is not placed at unreasonable risk. We employ a firewall barrier, secure data encryption techniques and authentication procedures in our computer environment. We do not provide your personal information to mailing list vendors or solicitors. We require strict confidentiality in our agreements with unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors. Federal and state securities regulators may review our Company records and your personal records as permitted by law. Personally identifiable information about you will be maintained while you are a client, and for the required period thereafter that records are required to be maintained by federal and state securities laws. After that time, information may be destroyed. We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this *Privacy Notice* to you annually, in writing.

Brochure Supplement (Part 2B of Form ADV)

Education and Business Standards
Professionals engaged in financial planning and investment advisory activities with Compass Capital all have significant, relevant experience in the financial services industry or the investment field.

Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Certified Financial Planner (CFP): Certified Financial Planners™ are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board (www.cfp.net).
- Successful completion of the CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.

Chartered Financial Analyst (CFA): The Chartered Financial Analyst charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charter holders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

Certified Public Accountant (CPA): CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education, experience levels, and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year. Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

Timothy F. Shanahan, CERTIFICATIONS
Date of birth: 1953

Educational Background

- B.A., Psychology – Suffolk University (1975)
- Certified Financial Planner™ – College for Financial Planning (1984)*

Business Experience

- Founder, President and Beneficial Shareholder, *Compass Capital Corporation* (1984–Present) [FINRA series 65]
- Founder and Chairman, *Compass Securities Corporation* (1985- 2015). [FINRA Series 7, 24, 27, 63, 79]
    - Registered Principal 7/5/85 -12/31/13 and 1/1/15-Present.
- Registered Representative, *Capital Guardian LLC* (1/2014 to 12/14)
- CFO, portfolio co-manager. *Cavalier Funds* (2016)
- Arbitrator, Industry Panelist, Chairperson qualified, *FINRA Dispute Resolution Inc*. (1994-2015).
- Arbitrator, *American Arbitration Association* (1993-1996).
- RIA Agent, *Markets Flow* (2018-2020)
- CFO, Director, *Compass Portfolio Advisory Services, Inc* (2018 -2020)

Disciplinary Information: None
Other Business Activities: Tomaltach O'Seanachain Realty Trust

Additional Compensation: None

Supervision: Timothy Shanahan is supervised by Tyler Chaisson. Tim and Tyler work in the same office.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

*Certified Financial Planner Designation granted in 1984, CFP® marks not currently maintained.

Tyler M. Chaisson, CERTIFICATIONS

Date of Birth: 1995

Educational Background

- Juris Doctor – University of Massachusetts School of Law (2020) [Honors: Cum Laude]
- BA – Economics, Middlebury College (2017)

Business Experience

- Investment Advisor Representative, *Compass Capital Corporation* (2018 – Present) [FINRA Series 65]
- Registered Representative, *Compass Securities Corporation* (2021 – Present) [FINRA Series 7, 63, 24]
- Attorney at Law, *Compass Legal Services LLC* (2021 – Present)
  - Licensed to practice in the Commonwealth of Massachusetts

Disciplinary Information: None
Other Business Activities: Sole Manager and Attorney of Compass Legal Services, LLC

Additional Compensation: Legal fees earned from services provided through Compass Legal Services.

Supervision: Tyler Chaisson is supervised by Tim Shanahan, President.
- Tim Shanahan's contact information: 781-971-8736
- tim@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Scott S. Chaisson, CERTIFICATIONS

Date of Birth: 1963

Educational Background

- MBA – Entrepreneurship, DePaul University (1993)
- BS – Engineering, U.S. Military Academy (1986)

Business Experience

- CEO, *Compass Holding Group Inc.* (2015-Present)
- Registered Principal, President, *Compass Securities Corporation* (2015-Present) [FINRA Series 6, 7, 8, 9, 10, 14, 23, 24, 63]
- CEO, Director, *Compass Portfolio Advisory Services Inc.* (2018-2020)
- CEO, portfolio co-manager, *Cavalier Funds* (2016)
- President, *Capital Guardian Wealth Management* (2012-2015)
- Managing Director, *Rehmann Financial* (2010-2012)
- Managing Director, *Oppenheimer* (2009-2010)

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: Scott Chaisson is supervised by Tyler Chaisson. Scott and Tyler work in the same office.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: 1 pending (stayed)

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Thomas J. Licciardello, CERTIFICATIONS

Date of Birth: 1949

Educational Background

- B.S., Education – Springfield College (1971)
- M.S. Administration – University of Massachusetts (1976)
- Certified Financial Planner™ – College for Financial Planning (1988)

Business Experience

- Founder and Principal, *Licciardello Financial Services* (1991- Present)
- Investment adviser representative and Beneficial Shareholder, *Compass Capital Corporation* (1997-Present) [FINRA Series 65]

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: Thomas Licciardello is supervised by Tyler Chaisson.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Omar J. Mian, CERTIFICATIONS

Date of Birth: 1977

Educational Background

- Accounting Major – University of Massachusetts, Boston (1998-2001)

Business Experience

- Investment adviser representative, Beneficial Shareholder, *Compass Capital Corporation*, (2006 - Present) [FINRA Series 65]
- Registered representative, *Compass Securities Corporation*, (2007-2008 & 2009 – 2014) [FINRA Series 6, 63] [Life, Accident and Health Insurance Licensed]
- Registered representative, *Winslow Evans and Crocker* (2007 to 2008)
- Registered representative, *New England Financial* (2001 to 2004)

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: Omar Mian is supervised by Tyler Chaisson. Omar and Tyler work in the same office.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Robert D. Fogarty, CERTIFICATIONS

Date of Birth: 1961

Educational Background

- B.A., Finance – Southeastern Massachusetts University (1985)
- Certified Financial Planner™ – College for Financial Planning (1996)

Business Experience

- Investment adviser representative, *Compass Capital Corporation* (1993 to Present) [Life, Accident and Health Insurance Licensed]
- Registered Representative, *Compass Securities Corporation* (1993 to 2006)

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: Rob Fogarty is supervised by Tyler Chaisson. Rob and Tyler work in the same office.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Philip B. Boncaldo, CERTIFICATIONS

Date of Birth: 1962

Educational Background

- BA, Psychology – Boston College (1984)
- MBA, Concentration in Investment Finance – Bentley College Graduate School (1986)
- Certified Financial Planner™, College for Financial Planning (1990)
- CIMC, Institute For Certified Investment Management Consultants (1997)

Business Experience

- Investment adviser representative, *Compass Capital Corporation*, (2000- Present) [FINRA Series 65]
- Partner, *B &D Property Management Company* (1989-Present)
- Owner and Master Barber, *Boncaldo's Gentlemen's Barbershop* (2006- Present)
- Partner, *The Spa at Boncaldo's LLC*. (2010-Present)

Disciplinary Information: None
Other Business Activities: Personal real estate management and investment

Additional Compensation: Real estate, barbershop/spa

Supervision: Philip Boncaldo is supervised by Tyler Chaisson.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

David Morgan, CERTIFICATIONS

Date of Birth: 1953 Educational Background

- B.S., Zoology – University of Massachusetts (1975)
- B.S., Pharmacy – Mass College of Pharmacy (1978)
- Certified Financial Planner™, Boston University (2004)

Business Experience

- Investment adviser representative, *Compass Capital Corporation* (2009-Present) [FINRA Series 65]
- Financial Planning Intern, *LPL Financial* (2006 - 2008)
- Consultant, *Apothecare Pharmacies* (2009 - 2013)
- Instructor, *Massasoit Community College* (2007 – 2010)

Disciplinary Information: none

Other Business Activities: none

Additional Compensation: none

Supervision: Dave Morgan is supervised by Tyler Chaisson. Dave and Tyler work in the same office.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Troy A. Knowlan, CERTIFICATIONS

Date of Birth: 1966

Educational Background

- Accounting Program – University of Maine (1995)
- Certified Financial Planner™, College for Financial Planning, (2001)

Business Experience

- Investment adviser representative, *Compass Capital Corporation*, (2001 – Present) [FINRA Series 65, 63] [Life & Health Agent (Maine)]
- CFO, *O'Connor Auto Group* (1987 – Present)

Disciplinary Information: None
Other Business Activities: CFO, O'Connor Auto Group

Additional Compensation: O'Connor Auto Group

Supervision: Philip Boncaldo is supervised by Tyler Chaisson.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Maria Kondracki Dwyer, CERTIFICATIONS

Date of Birth: 1942

Educational Background

- BA, Business Administration – Adelphia University (1982)

Business Experience

- Investment adviser representative, *Compass Capital Corporation* (2018 - Present) [FINRA Series 65]
- Registered representative, *Compass Securities Corporation* (2018 – Present) [FINRA Series 7, 63]
- MML Investor Services (2017-2018)
- MSI Financial Services (2015-2017)
- Met Life Securities (2015)
- New England Securities (1989-2015)

Disciplinary Information: None
Other Business Activities: Strategic Planning Investments

Additional Compensation: Strategic Planning Investments

Supervision: Maria Dwyer is supervised by Tyler Chaisson.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Peter Montalbano, CERTIFICATIONS
Date of birth: 1959

Educational Background

- BA, Business Administration – Adelphia University (1982)
- Certified Financial Planner™, College for Financial Planning (2006)

Business Experience

- Investment adviser representative, *Compass Capital Corporation* (2018– Present) [FINRA Series 65]
- Registered representative, *Compass Securities Corporation* (2018 – Present) [FINRA Series 7, 63]
- Director of Wealth Management, *Capital Guardian LLC* (2010 - 2018)
- Partner-Senior VP, *First Union/Wachovia Wealth Management* (1996- 2006)

Disciplinary Information: None
Other Business Activities: Commercial real estate management and investment

Additional Compensation: Bellmore Carwash, Bellmore, LI, NY

Supervision: Peter Montalbano is supervised by Tyler Chaisson.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: Non

Seth C Chadwick, CERTIFICATIONS
Date of Birth: 1972

Business Experience

- Investment adviser representative, *Compass Capital Corporation* (2019 – Present) [FINRA Series 65]
- Registered representative, *Compass Securities Corporation* (2019 – Present) [FINRA Series 7, 26, 63]
- Chief Investment Officer, Chadwick & Rothenberg LLC (2019 – Present)
- Financial Advisor/Vice President, *SunTrust* (2012-2019)
- Financial Advisor/Vice President, *BB&T* (2010-2012)
- Financial Advisor/Vice President, *Chase* (2009)

Disciplinary Information: None

Other Business Activities: None

Supervision: Seth Chadwick is supervised by Tyler Chaisson.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

John Coyne, CERTIFICATIONS
Date of Birth: 1951

Educational Background

- BA – Michigan State University (1973)
- MA – UMass Boston, Boston State College (1982)
- Certified Financial Planner™, College for Financial Planning (1986)

Business Experience

- Investment adviser representative, *Compass Capital Corporation* (2022 - Present) [FINRA Series 65] [Insurance licensed for Life and Health]
- Winslow Evans & Crocker (2004-2021)
- Commonwealth Equities (1997-2004)
- Chief Trust & Investment Officer, *Bank of Braintree* (1986-1997)

Disciplinary Information: None

Other Business Activities: None

Supervision: John Coyne is supervised by Tyler Chaisson. John and Tyler work in the same office.

- Tyler Chaisson's contact information: 781-971-8745
- tyler@compasscapital.co

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None