



IAPD Report

PATRICK W MONAHAN

CRD# 5839545

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

PATRICK W MONAHAN (CRD# 5839545)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KRILOGY	CRD# 149046	02/28/2012
B	SAXONY SECURITIES, INC.	CRD# 115547	10/29/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	ST. LOUIS, MO	11/12/2013 - 10/28/2014
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	ST. LOUIS, MO	01/05/2011 - 11/15/2011
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	SAINT LOUIS, MO	12/01/2010 - 12/31/2010

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SAXONY SECURITIES, INC.**
Main Address: 11152 S TOWNE SQUARE
ST. LOUIS, MO 63123
Firm ID#: 115547

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	10/29/2014
B Florida	Agent	Approved	10/29/2014
B Illinois	Agent	Approved	10/29/2014
B Missouri	Agent	Approved	10/29/2014
B Nebraska	Agent	Approved	09/09/2025

Branch Office Locations

SAXONY SECURITIES, INC.
275 N. LINDBERGH
SUITE 20
St. Louis, MO 63141

Employment 2 of 2

Firm Name: **KRILOGY**
Main Address: 275 N. LINDBERGH
STE. 20
ST. LOUIS, MO 63141
Firm ID#: 149046

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	02/28/2012
IA Texas	Investment Adviser Representative	Restricted	06/25/2014



Qualifications

Regulator	Registration	Status	Date
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Approval

Branch Office Locations

KRILOGY

275 N. LINDBERGH
STE. 20
ST. LOUIS, MO 63141



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/30/2010

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/28/2011
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/2010

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/12/2013 - 10/28/2014	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	ST. LOUIS, MO
B	01/05/2011 - 11/15/2011	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	ST. LOUIS, MO
B	12/01/2010 - 12/31/2010	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	SAINT LOUIS, MO

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2014 - Present	SAXONY SECURITIES INC	REGISTERED REPRESENTATIVE	Y	SAINT LOUIS, MO, United States
08/2010 - Present	KRILOGY FINANCIAL	FINANCIAL ADVISOR	Y	ST. LOUIS, MO, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) Krilogy Financial, LLC, DBA for investment related activity
- 2) VARIOUS INSURANCE COMPANIES (OBA) FOR INVESTMENT RELATED BUSINESS; 275 N. LINDBERGH, SUITE 20, ST LOUIS, MO 63141; NON VARIABLE INSURANCE SALES; INSURANCE AGENT; BEGAN 5-1-11; 1-160 HRS/MO; INSURANCE POLICY SALES
- 3) Krilogy Financial, LLC (OBA), investment related, 275 N. Lindbergh, Suite 20, St Louis, MO 63141; Investment Advisory Business, Financial Advisor, Began 1-5-2011; 160 HRS/MO; conduct advisory business through RIA.
- 4) Monahan Advisory Services, LLC, investment related, 575 Ballas Park Dr. Louis, MO 63122, 1% ownership interest in Krilogy Tax Services, LLC., Krilogy Financial, LLC., Krilogy Capital Management Partners, LLC., Krilogy Capital Management, LLC., Krilogy Capital Management Partners II, LLC., and Krilogy Capital Management II, LLC., owner, started on October 24th, 2016, 0 hours per month during trading & non-trading hours, LLC formed to receive payments from stated ownership interest.
- 5) Krilogy Capital Management Partners LLC., investment related, 3622 Lyckan Pkwy Ste 3004-B Durham, NC 27707, General Partner for KCM Tax-Advantaged Total Return Bond Fund, LP, general partner, Started on September 9, 2017, 8 hours per month 5 hours per month during trading hours, Ownership interest.
- 6) Krilogy Capital Management LLC, investment related, 3622 Lyckan Pkwy Ste 3004-B Durham, NC 27707, Investment Manager for KCM Tax-Advantaged Total Return Bond Fund, LP, Owner, Started on September 9, 2017, 0 hours per month, 0 hours per month during trading hours, Ownership interest.
- 7) Krilogy Tax Services, LLC., non-investment related, 275 N. Lindbergh, Suite 20, St. Louis, MO 63141, tax preparation services, Owner, Started on January 12, 2018, 5 hours per month during non-trading hours, ownership interest in new subsidiary of Krilogy, LLC.
- 8) Krilogy Capital Management Partners II LLC., investment related, 275 N. Lindbergh, Suite 20, St Louis, MO 63141, General



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Partner for KCM Catapult Large Cap Growth Equity Fund, LP, general partner, Started on September 9, 2017, 4 hours per month, 2 hours per month during trading hours, Ownership interest.

9) Krilogy Capital Management II LLC, investment related, 275 N. Lindbergh, Suite 20, St Louis, MO 63141, Investment Manager for KCM Catapult Large Cap Growth Equity Fund, LP, Owner, Started on September 9, 2017, 4 hours per month, 2 hours per month during trading hours, Ownership interest.

10) The Enrich Your Journey Podcast, investment related, 275 N. Lindbergh, Suite 20, St Louis, MO 63141, Educational platform for information purposes only, Podcast Host, 12/29/23, 6-10 hours per month, 1-5 hours per month, Podcast host for interviewees as well as FA introducing financial planning strategies

11) Saxony Securities, Inc; investment related; 275 N Lindbergh Blvd Suite 20 St. Louis, MO 63141; 10/29/2014; 5-10 hours; 5-10 hours; independent contractor providing variable annuity based brokerage services



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	KRILOGY FINANCIAL LLC
Allegations:	CLIENT ALLEGED THEY WERE NOT MADE AWARE THAT INVESTMENT ADVICE, CONCERNING THE SURRENDER OF AN ANNUITY WOULD LEAD TO SURRENDER CHARGES AND EARLY REALIZATION OF TAXES.
Product Type:	Annuity-Variable
Alleged Damages:	\$12,091.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/17/2013
Complaint Pending?	No
Status:	Settled
Status Date:	10/03/2013
Settlement Amount:	\$12,091.00
Individual Contribution Amount:	\$3,627.00



Broker Statement

ADVISOR STATES HE WAS ATTEMPTING TO ENHANCE HER CURRENT FINANCIAL PLAN BY TRANSFERRING A VARIABLE ANNUITY WITH HIGH EXPENSES TO A LOWER COST NON-COMMISSIONED INVESTMENT ACCOUNT. ADVISOR ALSO STATE THE CLIENT WAS MADE AWARE OF SURRENDER CHARGES AND THAT THIS TRANSFER WAS A TAXABLE EVENT.



End of Report

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