

DBIA Brochure Supplement
Form ADV, Part 2B



Dumont & Blake Investment Advisors, LLC., a Registered Investment Adviser
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Brochure Supplement Date: **March 11, 2024**

This Brochure Supplement provides information about certain advisory personnel that supplements the DBIA Form ADV, Part 2A Brochure. You should have received a copy of that Brochure. Please contact the Supervisor(s) listed below if you did not receive DBIA's Brochure or if you have any questions about the contents of this supplement.

Additional information about your investment advisor ("IAR") is available on the SEC's website at www.adviserinfo.sec.gov.

This Brochure Supplement has not been approved by the SEC or any state securities authority. The terms "registered investment adviser" (RIA) and "investment adviser representative" (IAR) do not mean that any particular training level or skill has been reached by the entity or person using the term. Those terms only mean that entity or person is registered with the SEC or a state securities authority.

PRINCIPALS

- **Morley Goldberg, President** (Born 1941)

Educational Background and Business Experience

Mr. Goldberg graduated with a Bachelor of Science degree in Electrical Engineering from the City University of New York and received a Master of Business Administration degree with a concentration in Finance from Rutgers University. He started his investment career in 1969 as an Account Executive with the firm of Clark Dodge & Co. and later with Tucker Anthony and R. L. Day, in 1972. Morley joined the investment firm of Delafield, Harvey, and Tabell in 1976, where he completed the development of his research product for institutional investors: Input Analysis for Portfolio Managers. In 1979 he joined Moore & Schley, where he marketed his Input Analysis service to portfolio managers throughout the country. In 1985 Morley founded and directed the firm's investment advisory division, Moore & Schley Asset Management. In 1990 he merged Moore & Schley into Matrix Asset Advisors. Morley is the founder and President of Dumont & Blake Investment Advisors and is a member of the Investment Policy Committee, and a Portfolio Manager/Investment Strategist.

Disciplinary Information

Mr. Goldberg has not been involved in any legal or disciplinary events that would be material to a client's evaluation of Mr. Goldberg or of DBIA.

Other Business Activities

Independent Insurance Agent

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Name of Outside Business Activity, Nature of Outside Business Activity

Independent Insurance Agent
Offers commission-based insurance products

Additional Compensation

Insurance Commissions

Supervisory Information

Mr. Goldberg's conduct and activities with public customers are subject to federal and state securities rules and regulations. Moreover, he and his firm are subject to routine examinations conducted by the U.S. Securities and Exchange Commission as well as the New Jersey Bureau of Securities to ensure conformance with all regulatory rules and regulations.

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- **R. Dawson Smith, III, Managing Director** (Born 1945)

Educational Background and Business Experience

Mr. Smith has thirty years of investment management experience. Before joining Dumont & Blake, he was a Senior Portfolio Manager with J. P. Morgan Private Bank in New York City where he was a valued member of the equity strategy committee. He had been with J. P. Morgan and Chase Bank for over 16 years. In this position Dawson was responsible for over \$700 million in trust, investment management, pension and retirement assets. Prior to his years at J. P. Morgan and Chase Bank, Dawson was with Manufacturers Hanover Trust Company for ten years.

Disciplinary Information

Mr. Smith has not been involved in any legal or disciplinary events that would be material to a client's evaluation of Mr. Smith or of DBIA.

Other Business Activities

NONE

Name of Outside Business Activity, Nature of Outside Business Activity

NONE

Additional Compensation

NONE

Supervisory Information

Mr. Smith's conduct and activities with public customers are supervised by a supervisory representative of DBIA at the Home Office. This supervision takes place through personal observation, electronic monitoring, the review of written materials and/or other appropriate practices.

Supervisor's Name, Title: Morley Goldberg, CCO
Supervisor's Telephone Number: 609-514-1899

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- **Adam Goldberg, Managing Director** (Born 1963)

Educational Background and Business Experience

Adam has over twenty years of investment management experience. He co-founded Dumont and Blake Investment Advisors in 1999, running the equity and fixed income trading desks, managing the fixed income portfolios and overseeing the portfolio management. Adam started his career in the investment business in 1992 with PaineWebber, and in 1995 he joined Matrix Asset Advisors as the fixed income trader and portfolio manager. Adam graduated cum laude from Towson State University. Adam is a member of the Investment Policy Committee.

Disciplinary Information

Mr. Goldberg has not been involved in any legal or disciplinary events that would be material to a client's evaluation of Mr. Goldberg or of DBIA.

Other Business Activities

NONE

Name of Outside Business Activity, Nature of Outside Business Activity

NONE

Additional Compensation

NONE

Supervisory Information

Mr. Goldberg's conduct and activities with public customers are supervised by a supervisory representative of DBIA at the Home Office. This supervision takes place through personal observation, electronic monitoring, the review of written materials and/or other appropriate practices.

Supervisor's Name, Title: Morley Goldberg, CCO

Supervisor's Telephone Number: 609-514-1899

- **Marc A. Luciani, AIF, Financial Advisor** (Born 1982)

Educational Background and Business Experience

Mr. Luciani graduated from Duquesne University in 2004 with a degree in Political Science. He started his investment career in 2010 as a Financial Advisor with Pierce, Fenner & Smith. In 2014 Mr. Luciani joined UBS Wealth Management. Before joining Dumont & Blake Investment Advisors, he served as Vice President and Financial Advisor at Covered Bridge Advisors. He obtained his Accredited Investment Fiduciary (AIF®) designation in 2016.

Disciplinary Information

Mr. Luciani has not been involved in any legal or disciplinary events that would be material to a client's evaluation of Mr. Warren or of DBIA.

Other Business Activities

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NONE

Name of Outside Business Activity, Nature of Outside Business Activity

NONE

Additional Compensation

NONE

Supervisory Information

Mr. Luciani's conduct and activities with public customers are supervised by a supervisory representative of DBIA at the Home Office. This supervision takes place through personal observation, electronic monitoring, the review of written materials and/or other appropriate practices.

Supervisor's Name, Title: Morley Goldberg, CCO
Supervisor's Telephone Number: 609-514-1899