

DFPG Investments, Inc. – Form ADV Part 2B – Brochure Supplement

Colin M. Mansfield **CRD #4643275**

DFPG Investments, Inc.
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801.838.9999

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Item 1 – Cover Page Information

This Brochure Supplement provides information about **Colin M. Mansfield** that supplements the DFPG Investments, Inc. (“DFPG Investments” or “DFPG”) brochure. You should have previously received a copy of that brochure. Please call 801.838.9999 if you have not received the DFPG brochure or if you have any questions about the contents of this supplement.

The information in this Brochure Supplement has not been approved or verified by the United States Securities and Exchange Commission, FINRA or by any state securities authority. Additional information about the supervised person contained in this supplement may also be available on BrokerCheck on the FINRA website at www.finra.org. Mr. Mansfield’s CRD number is 4643275.

Within this Brochure Supplement we may refer to our firm and/or our investment advisor representatives as a “registered investment advisor” or describe the firm or our individual advisors as being “registered”. Please note that such registration is not meant to imply a certain level of skill or training.

Additional information about DFPG Investments, Inc. also is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Supervised Person’s Name: **Colin M. Mansfield**

Position: Investment Advisor Representative

Office Location: 1764 The Alameda, San Jose, CA 95126

Born August 9, 1979

Formal Education:

San Diego State University – Bachelor of Science in Business Administration

Business Background:

DFPG Investments, Inc. - Representative (12/14/2015 to present)

First Allied Advisory Services, Inc. - Representative (07/2/2012 to 12/15/2015)

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First Allied Securities, Inc. - Representative (2/5/2010 to 12/15/2015)

MetLife Securities, Inc. – Representative (3/11/2003 to 2/5/2010)

Metropolitan Life Insurance Company – Representative (3/11/2003 to 7/9/2007)

Professional Membership and Licensing: FINRA

Securities Licenses/Registrations:

Series 7 - General Securities Representative

Series 66 - Uniform Combined State Law

Colin Mansfield is also a licensed insurance agent.

Item 3 – Disciplinary Information

DFPG Investments is not aware of any disciplinary events regarding **Colin Mansfield** that would be material to a Client's evaluation of his past or potential business performance or to the evaluation of his character.

PERSONAL LEGAL DISCLOSURES

Colin Mansfield does not have any personal legal disclosure events material to a Client's evaluation of his past or potential business performance or to the evaluation of his character.

Item 4 – Other Business Activities

Colin Mansfield is a registered representative affiliated with DFPG Investments' broker-dealer division. A conflict of interest could arise in that transactions which may occur at a broker-dealer are generally commission-based, which is not aligned with DFPG Investments investment advisor divisions' traditional methodology of charging fees based only on assets under management.

Mr. Mansfield will only earn commission based compensation when performing registered representative functions that are unique and exclusive from his activities with DFPG Investments investment advisor division. It is against the policy of DFPG Investments for a representative to earn both an advisory fee and a commission for the same security with the same Client.

It should be noted that some mutual fund assets deposited in the account may be subject to deferred sales charges and 12(b)-1 fees, and other mutual fund annual expenses as described in each fund's prospectus. DFPG or the custodian may receive distribution or service ("trail") fees from the sale of certain mutual funds (including money market funds) pursuant to a 12(b)-1 distribution plan or other such plan as compensation for distribution or administrative services and are distributed from the fund's total assets.

This may present a conflict of interest; however, it is DFPG's policy to discourage its IARs, whenever possible, from transacting in mutual fund share classes that contain these fees. IARs may also recommend mutual funds and exchange traded funds (ETFs) which also charge their own internal management fees, which are disclosed in the fund's prospectus.

Mr. Mansfield also provides various insurance services. We do not believe that these business activities present any significant conflict of interest in regards to the advisory services that Mr. Mansfield provides to Clients or prospective Clients of DFPG Investments.

Item 5 – Additional Compensation

Colin Mansfield does not receive any economic benefit for providing advisory services other than the contractually agreed-upon advisory fees which are paid to him by the Clients of DFPG Investments. It should be noted, however, that Mr. Mansfield may receive economic benefits such as business dinners, compensation for education meetings, and may be invited to participate in annual golf tournaments hosted by insurance companies. We believe that the benefit realized is negligible and it does not present a significant conflict of interest.

Item 6 – Supervision

Oversight of **Colin Mansfield's** investment advisor activities is performed by Mr. Ryan O. Smith. He can be reached at 801.838.9999.

In addition to the review of ongoing transactions by Mr. Smith, a third-party compliance consulting firm may also be utilized to perform certain internal reviews and inspections of various investment advisor representative work-product and communications.

Item 7 – Requirements for State-Registered Advisers

DFPG Investments is not aware of any legal or disciplinary event regarding **Colin Mansfield** that would be material to the client's evaluation of his past or potential business performance or to the evaluation of his character.

Colin Mansfield has not been the subject of any of the following disclosure items;

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - (a) an investment or an investment-related business or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property; (d) bribery, forgery, counterfeiting, or extortion; or (e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - (a) an investment or an investment-related business or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property; (d) bribery, forgery, counterfeiting, or extortion; or (e) dishonest, unfair, or unethical practices.

DFPG Investments is not aware of any bankruptcy petition initiated by or filed by **Colin Mansfield**.