

**Mark Thomas Conway**

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**02/04/2013**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**This brochure supplement provides information about Mark Thomas “Tom” Conway that supplements the Fieldpoint Private Securities, LLC brochure. You should have received a copy of that brochure. Please contact us at 203-682-6550 if you did not receive Fieldpoint Private Securities, LLC’s brochure or if you have any questions about the contents of this supplement.**

**Additional information about M. Thomas Conway is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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## ***Educational Background and Business Experience***

Form ADV Part 2B, Item 2

### **M. Thomas Conway**

*Year of Birth:* 1956

*Formal Education After High School:* Indiana University Kelly School of Business. B.A. 1980

#### *Business Background for the Previous Five Years:*

**Fieldpoint Private Securities, LLC.**, Registered Representative, 09/2012 to Present;  
Fieldpoint Private Bank & Trust, Managing Director, 09/2012-Present  
Morgan Stanley Smith Barney, 06/2009-09/2012  
Citigroup Global Markets, Inc., 07/1993-06/2009

## ***Disciplinary Information***

Form ADV Part 2B, Item 3

In 2010, former clients of Mr. Conway at Morgan Stanley Smith Barney alleged investment-related unsuitability and other claims, and requested \$75,000 compensatory damages. Morgan Stanley Smith Barney settled the claim for \$21,000. Mr. Conway was not required to contribute to the settlement in any way.

## ***Other Business Activities***

Form ADV Part 2B, Item 4

Approximately 90 percent of Mr. Conway's time is dedicated to activities relating to his role as an Investment Adviser Representative of Fieldpoint Private Securities, LLC ("FPS"), which is a dually registered securities broker-dealer and investment advisor. Mr. Conway is also a Registered Representative of FPS, and spends approximately 5 percent of his time in securities brokerage-related activities. As a Registered Representative of FPS, Mr. Conway may recommend or accept orders for securities transactions in brokerage accounts held at FPS. If such securities brokerage transactions are effected, Mr. Conway may receive payments not otherwise received in connection with advisory accounts, including customary transactional commissions and ongoing commissions for client assets held in mutual funds. FPS at all times strives to act in the best interests of its clients; however, the possibility of brokerage transaction compensation may present a conflict of interest and provide an incentive for transactional brokerage products to be recommended. Please refer to the *Fees and Compensation* section and the *Client Referrals and Other Compensation* section of our firm brochure for additional disclosures on this topic.

Mr. Conway, as a Managing Director of Fieldpoint Private Bank & Trust, may spend approximately 5 percent of his time on lending-related activities. His time spent on these activities might conflict with the time required for investment advisory activities.

### ***Additional Compensation***

Form ADV Part 2B, Item 5

Mr. Conway has no additional compensation beyond what is described above.

### ***Supervision***

Form ADV Part 2B, Item 6

Mr. Conway is supervised by the President of Fieldpoint Private Securities, LLC, John Palazzetti, who may be reached at 203-413-9360.

Mr. Kummerfeld, a Principal and Chief Compliance Officer of Fieldpoint Private Securities, LLC. reviews account statements at least Quarterly.

### ***Requirements for State-Registered Advisers***

Form ADV Part 2B, Item 7

Mr. Conway has no additional disclosures that would be necessary for state registered advisers.