

Firm Brochure

(Part 2A of Form ADV)

Conway Financial Group, LLC

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This brochure provides information about the qualifications and business practices of Conway Financial Group, LLC. If you have any questions about the contents of this brochure, please contact us at: (314)579-9157, or by email at: pconway@conwayfinancialgroup.com. 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.

April 8, 2021

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 Change Since The Last Update

There are no material changes in this brochure from the last annual updating amendment of Conway Financial Group on 01/26/2021. However, we did add clarification under the section of “Assets Managed”, on Page 3. Material changes relate to Conway Financial Group’s policies, practices or conflicts of interests only.

Full Brochure Available

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: (314)579-9157 or by email at: pconway@conwayfinancialgroup.com.

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Advisory Business

Firm Description

Summary of Services:

- Conway Financial Group was founded in 2001 to provide financial advisory and wealth management services to individuals and families, assisting much the same way that CFO's chart the financial future of their company.
- We believe our financial advisory services should enable clients to have better control over the management of their wealth.
- Through the Financial Planning process, we paint the big picture to help our clients reach their financial goals and objectives.
- The development of the Financial Plan may be in multiple stages and constructed to utilize as a roadmap in accumulating their wealth.
- Our services are tailored to help clients understand their financial issues and provide the tools, analysis and professional guidance to simplify the process in the management of their wealth.
- For our small business owners, we provide cash flow and tax planning and establish retirement plans when needed.
- We also work with retirees to provide a framework that will balance the need to preserve and grow their capital base while meeting their cash flow requirements.
- We take an active management approach by utilizing Mutual Funds that continue to maintain strong performance against their Benchmarks, selected exchange traded funds and hold individual bonds. Clients' investment allocation mix will be dependent on the client's Investment Policy and Risk Tolerance Statement.

Firm's Commitment:

- Our company's philosophy is to provide a high level of personalized service, dedicated to honesty and integrity.
- We believe in an independent and unbiased approach, with no conflict of interest. Our services are fee-only, and we are compensated solely by our clients. Therefore, we do not take any compensation or fees from the products we recommend and can be completely objective regarding the advice we provide to our clients.
- Our client's needs and interests come first and foremost – We take a Fiduciary obligation and duty to our clients.
- We believe in providing on-going education to our clients so that they have a better understanding of their finances.

Owners³

Patricia M. Conway is 100% owner.

Types of Advisory Services: Financial Planning Services

Financial Planning Services May include the Following:

A Written Statement of Goals and Objectives

In the planning process, the client is encouraged to define his/her specific goals and to answer such questions as "What do I hope to achieve with this process?" and "What are my priorities, financially, for myself (spouse, children) and how can I achieve these goals?".

A Risk Profile for Both the Client and the Spouse

You will be given a questionnaire to fill out independent of one another. This will help you and us, to better understand how you approach investment decisions and investment risk. We will prepare your Investment Objectives and your Investment Risk Profile, which will help determine how your investment portfolio should be distributed among various investment asset classes.

Cash Flow and Tax Planning

You will be asked to provide, in great detail, information about your income and spending habits, your investments, retirement funds, etc. This information will be held in the strictest confidence. We will utilize this data in developing an investment distribution schedule, estimated taxable income report, and a cash flow projection. An income and cash flow summary statement will help you understand how your funds are being consumed and where you may have a shortfall, if any.

Investment Portfolio Management

A review of your investment portfolio, in conjunction with your goals and objectives, your cash flow and your federal tax situation, will allow for the development of an investment policy statement. This will summarize our portfolio target asset allocation, which incorporates the client's risk tolerance. A current investment distribution will be prepared to show the client's investment allocation mix utilizing fixed income, equities, and real assets. Your investment plan will recommend changes, if any, which need to be made in order to help achieve your stated objectives. Assistance in the implementation of the recommendations will be provided.

Investments recommended to clients primarily include no-load mutual funds and individual bonds (generally AA or AAA credit quality). We may also consider exchange traded funds or individual stocks of publically traded companies. Fund companies charge each fund shareholder an investment management fee that is disclosed in the fund prospectus. The Custodian may charge a transaction fee for the purchase of some funds.

Accounts are held at the client's Custodian and the Custodian may charge commissions for the purchase or sell of an exchange traded fund, stock, or bond. The brokerage firm charges a fee for stock and bond trades. Conway Financial Group, LLC does not receive any compensation, in any form, from fund companies.

Investments may also include: corporate debt securities, certificates of deposit, municipal securities, and investment company securities. Initial public offerings (IPOs) are not available through Conway Financial Group, LLC.

Retirement Planning

A retirement needs analysis, based on your financial situation, may be prepared. This will help to answer questions such as "Can I afford to retire?" and "Will I outlive my money?". Assumptions about income, social security, inflation, expectations, spending, and longevity will all be written down and reviewed over time as needs and expectations changes.

Risk Management

A review of your current insurance coverage will provide assurance that you and your family are adequately covered by financially stable insurance companies. This will provide an opportunity to review your insurance with your agent and to make any changes recommended.

Estate Planning

A review of your current estate plan, if appropriate, may be provided. An estate tax analysis will show the possible tax implications on your estate with the first to die and the subsequent death of the remaining spouse. This provides the opportunity to review, with your estate planning attorney, your current documents and to make any additions or changes to assure that your estate will pay the minimum in taxes and be distributed according to your wishes.

Other Specific Client Needs

Other areas of concern such as education funding or disability needs, will be addressed and will be included in your financial plan.

Special Project Plans

Projects may be undertaken that are not described in other types of agreements, including the development and implementation of Investment Planning recommendations, periodic investment

portfolio review, assistance with tax planning, or other services specifically described in an engagement letter.

Assets Managed

Although we do not directly provide asset management, we do provide Investment Planning and Implementation within our Financial Planning Services. The Firm does provide on a non-discretionary basis, Assets Under Advisement in the overall management of clients investments.

Fees and Compensation

Fee Schedule

The fee schedule is negotiable and dependent on the services provided. Key considerations in determining the annual financial planning fee may include the following: client's investable assets, the number of custodians/investment accounts, client's income, a calculation of the estimated hours to provide the services required, and the complexity of the client's financial issues.

The current minimum fee of \$3,500 applies to new Ongoing Financial Planning (F.P.) clients. The advisor's hourly rate is \$275 per hour and for professional staff at \$115 for administrative tasks and \$175 an hour for financial planning services. Current client relationships may exist where the fees are higher or lower than the current minimum fee.

General Information on Fees

In certain circumstances, Conway Financial Group, LLC may waive or negotiate fees and account minimums in certain circumstances. The fee charged is calculated as described above and is not charged on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of an advisory client. Conway Financial Group, LLC's fees do not include mutual fund fees and expenses, 12b-1 fees, custodial fees, brokerage commissions or securities transaction fees charged by a client's Custodian and/or broker-dealer.

We send either a Quarterly Invoice to our clients or clients are billed three times a year. Other payment schedules can be arranged upon client requests.

For Project clients, 50% of the approved fee is due one month after the engagement agreement is signed and work has begun and the remaining fee charged at the completion of the project.

Other Fees

Custodians may charge transaction fees on purchases or sales of certain mutual funds and exchange-traded funds. These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security.

Mutual funds generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. For example, an expense ratio of 0.50 means that the mutual fund company charges 0.5% for their services. These fees are in addition to the fees paid by you to Conway Financial Group, LLC.

Performance figures quoted by mutual fund companies in various publications are after their fees have been deducted.

Past Due Accounts

Conway Financial Group, LLC reserves the right to stop work on any account that is more than 60 days overdue. In addition, Conway Financial Group, LLC reserves the right to terminate any financial planning engagement where a client has willfully concealed or has

refused to provide pertinent information about financial situations when necessary and appropriate, in Conway Financial Group, LLC's judgment, to providing proper financial advice. Any unused portion of fees collected in advance will be refunded within 15 days.

Termination of Agreement

A client agreement may be canceled at any time, by either party, for any reason upon receipt of 10 days written notice. Upon termination of any account, any prepaid, unearned fees will be promptly refunded, and any earned, unpaid fees will be due and payable. Fees will be billed in accordance with the client's contract.

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

Conway Financial Group, LLC does not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.

Types of Clients

Description

Conway Financial Group, LLC generally provides financial planning advice to individuals, including working individuals, retirees and small business owners, trusts, and estates.

Client relationships vary in scope and length of service. Primarily, our clients are categorized as Ongoing Financial Planning (F.P.) Clients and Clients who meet for an Annual Review.

Ongoing Financial Planning Clients

Our Ongoing Financial Planning (F.P.) clients sign an engagement agreement, which outlines the services provided for the initial year. Periodic meetings are set dependent on each client's needs and fee agreement. In the second year, clients sign an addendum agreement and receive annually a renewal letter and new invoice for the new year. Our clients may be individuals or families, and often are small business owners or retirees.

Annual Review Clients

Conway Financial Group, LLC provides hourly planning services for clients that meet once a year. Often, we meet with clients annually to review their financial issues and who need advice on a limited scope of work. These clients generally were Ongoing Financial Planning (F.P.) clients, who requested to reduce their services to an annual basis.

Account Minimums

Conway Financial Group, LLC does not operate with an account minimum requirement, since our fees are not solely based on assets under managements. However, we do have a minimum fee of \$3,500 for our Ongoing Financial Planning (F.P.) Clients.

Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

Security analysis methods include fundamental analysis and cyclical analysis.

The main sources of information include Morningstar Research Reports, S&P Outlook Research and magazines, inspections of corporate activities, research materials prepared by other financial institutions, corporate rating services, annual reports, prospectuses, filings with

the Securities and Exchange Commission, company press releases and financial newspapers.

Other sources of information that Conway Financial Group, LLC may use include Morningstar mutual funds, stocks and exchange traded funds research, and the World Wide Web. Pat also attends conferences, meets with mutual fund managers and attends webinars conducted by mutual fund companies.

Investment Strategies

The firm's investment philosophy is built with the objective for long term capital appreciation through the development of a well diversified investment allocation strategy. Our emphasis is focused on capital preservation and minimizing overall portfolio volatility. We consider: no-load mutual funds, exchange-traded funds, dividend paying stocks, individual municipal bonds and corporate bonds, to create the portfolio. Portfolios are globally diversified to control the risk associated with traditional markets.

A review of your investment portfolio, in conjunction with your goals and objectives, your cash flow and your federal tax situation, will allow for the development of an investment policy statement. This will summarize our portfolio target asset allocation, which incorporates the client's risk tolerance. A current investment distribution will be prepared to show the client's solid investment allocation mix utilizing fixed income, equities, and real assets. Your financial plan will recommend changes, if any, which need to be made in order to help achieve your stated goals. Assistance in the implementation of the recommendations will be provided.

Risk of Loss

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **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. For example, political, economic and social conditions may trigger market events.
- **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. This is also referred to as exchange rate risk.
- **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). This primarily relates to fixed income securities.
- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized

product. For example, Treasury Bills are highly liquid, while real estate properties are not.

- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining 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

Activities

Conway Financial Group, LLC does not participate in any other industry business activities.

Affiliations

Conway Financial Group, LLC does not have arrangements that are material to its advisory business or its clients with any related person. We may at times recommend unrelated, third party investment managers who have a greater expertise in certain disciplines when appropriate for the client; we do not receive any compensation for the recommendation or selection of these investment advisors.

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

Code of Ethics

The employees of Conway Financial Group, LLC have committed to a Code of Ethics that is outlined by National Association of Personal Financial Advisors (NAPFA). The key points are: putting the client's interest first, objectivity, full disclosure, and professionalism. CFP® designees are also held to a Code of Ethics as outlined by the CFP® Board of Standards. The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

Participation or Interest in Client Transactions

Conway Financial Group, LLC and its employees may buy or sell securities that are also held by clients. In such cases, employees will not affect transactions for their personal accounts which will be contrary to recommendations being made to clients. Employees comply with the provisions of the Conway Financial Group, LLC Compliance Manual.

Personal Trading

The Chief Compliance Officer of Conway Financial Group, LLC is Patricia Conway. She reviews all employee trades quarterly. 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. Since most employee trades are small mutual fund trades or exchange-traded fund trades, the trades do not affect the securities markets.

Brokerage Practices

Selecting Brokerage Firms

Conway Financial Group, LLC does not have any affiliation with product sales firms. Specific custodian recommendations are made to clients based on their need for such services. Conway Financial Group, LLC recommends custodians based on the proven integrity and financial responsibility of the firm, location of already existing client accounts, the institution's fee structure in investing in no-load mutual funds, and ease for the client to manage their account at the financial institution.

Conway Financial Group, LLC recommends discount brokerage firms and trust companies (qualified custodians), such as TD Ameritrade Institutional and Fidelity Investments.

Conway Financial Group, LLC does not receive fees or commissions from any of these arrangements.

Soft Dollars

We may utilize Research from TD Ameritrade or Fidelity that may benefit the firm, which may include Webinars and Conferences. Additionally, we may receive a meal if we attend a sponsored conference or seminar.

Execution of Trades

Conway Financial Group, LLC reviews the execution of trades upon receipt of the trade confirmations. Trading fees charged by the custodians are also reviewed on a quarterly basis. Conway Financial Group, LLC does not receive any portion of the trading fees charged to the client.

Order Aggregation

Most trades are mutual funds or exchange-traded funds where trade aggregation does not garner any client benefit.

Review of Accounts

Determination of Reviews

The nature and frequency of reports to clients are determined primarily by the particular needs of each client, however, all client portfolios are reviewed at least annually by Patricia Conway. Client meetings are held two to four times a year for Ongoing Financial Planning (F.P.) clients. Factors that may prompt an unplanned client review include: a client request for a review, persistent volatility and/or decline in the stock markets, a client retirement, or a new position of employment and death in the family. In our client scheduled meetings, we discuss any changes in the client's financial situation, investment objectives, and whether the client wishes to impose or modify any reasonable restrictions on the management of the accounts.

Process of Reviews

A typical review generally includes a valuation of the client's current investments, an assessment of the client's asset allocation mix in conjunction with the client's Investment Policy Statement, cash requirements from the client's investment portfolio, income sources for the coming 12 months, and a comprehensive review of the client's mutual fund positions. Assessment of the client's mutual fund positions may include review of management's strategy changes, shifts in asset mix, industry concentration, performance review against peers and benchmarks, including current, 3 year, 5 year, and 10 year standings. Tax considerations may be addressed such as required minimum distributions, capital gain distributions, as well as current tax implication of any investment changes under

consideration. Investment recommendations are documented and discussed with each client and Conway Financial Group, LLC may assist with implementation of investment changes.

Periodic Reports

Periodic reports are issued to clients depending on the client's contract. Such reports may include:

- Current Investment Schedule by Entity by Investment Type
- Targeted Investment Distribution Schedule with Investment Recommendations
- Bond Maturity Schedule depicting individual bonds held and the anticipated maturity
- Cash Flow Projections – An annual projection of Cash Inflow & Outflows
- Estimated Taxable Income Schedule
- Cash Management Report
- Required Minimum Distribution Calculation Schedule
- Performance Reports produced by our Portfolio Management System Portfolio Center
- Consolidated Detailed Holdings Reports

Client Referrals and Other Compensation

Incoming Referrals

Conway Financial Group, LLC has been fortunate to receive many client referrals over the years. Referrals may come from current clients, estate planning attorneys, accountants, employees, personal friends of employees and other similar sources. The firm does not compensate referring parties for these referrals.

Referrals Out

Conway Financial Group, LLC does not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them. We may recommend estate planning attorneys or tax accountant and do not accept referral fees for this service.

Custody

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to clients at their address of record at least quarterly.

Clients are urged to compare the account statements received directly from their custodians to the Investment Schedules provided by Conway Financial Group, LLC.

If a client is invested in a private equity investment, the client may receive a statement from the company quarterly or annually.

SEC Custody

According to the recent definition of custody by the SEC, we do not custody client assets.

Investment Discretion

Discretionary Authority for Trading and Limited Power of Attorney

The Advisor will implement trades for a Client's account after receiving Client's approval of the written investment recommendations. Clients who maintain accounts at TD Ameritrade or

TIAA CREF, generally sign a Limited Power of Attorney to grant the Advisor the authority to execute trades on the Client's behalf with the Client's approval, as well as allow us to view the client's accounts via the custodian's website. A limited power of attorney is a trading authorization for this purpose. For clients that hold accounts with other custodians, the client is responsible for executing the trades and the firm may assist with the preparation of a Letter of Instructions to the custodian. Most clients sign a limited power of attorney so that we may execute the trades that the client has approved. Advisor will not maintain custody or possession of Client funds or securities.

The client approves the custodian to be used and the commission rates paid to the custodian. Conway Financial Group, LLC 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

Conway Financial Group, LLC does not vote proxies on securities. Clients are expected to vote their own proxies.

When assistance on voting proxies is requested, Conway Financial Group, LLC will provide recommendations to the Client. If a conflict of interest exists, it will be disclosed to the Client.

Financial Information

Financial Condition

Conway Financial Group, LLC does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because Conway Financial Group, LLC does not serve as a custodian for client funds or securities, and does not require prepayment of fees of more than \$600 per client, and six months or more in advance.

Business Continuity Plan

General

Conway Financial Group, LLC 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.

Disasters

The Business Continuity Plan covers natural disasters such as snow storms, hurricanes, tornados, and flooding. The Plan covers man-made disasters such as loss of electrical power, loss of water pressure, fire, bomb threat, nuclear emergency, chemical event, biological event, T-1 communications line outage, Internet outage, railway accident and aircraft accident. 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. It is our intention to contact all clients within five days of a disaster that dictates moving our office to an alternate location.

Information Security Program

Information Security

Conway Financial Group, LLC maintains an information security program to reduce the risk that your personal and confidential information may be breached. Back Office Connection, an independent technology firm based in Seattle, Washington, maintains our backoffice operation including our servers on the Internet. We maintain their Disaster Recovery Program on file. BackOffice Connection provides a fully hosted environment for both applications and data. Their network provides email services with anti-virus, anti-spam and anti-malware protection while integrating email archiving functionality enabling us to access all of our software and all of our data from any computer that has an internet connection.

Katy Computer provides and monitors our outside network and hardware with up to date anti-virus software and ongoing in-house IT support.

Privacy Notice

Conway Financial Group, LLC is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us.

Conway Financial Group, LLC collects personal financial information about you from the following sources:

- Information Conway Financial Group, LLC receives from you during the investment advisory process, through conversations and correspondence, and
- Information about your transactions with custodians or broker-dealers who may maintain your assets or effect securities transactions on your behalf.

Conway Financial Group, LLC does not disclose any personal financial information about you to anyone, except with your consent or as permitted by law. Government agencies and federal and state regulators may review our company records and your personal records, as permitted by law. With your consent, Conway Financial Group, LLC may disclose some or all of the information Conway Financial Group, LLC collects to independent parties that service your account in order to provide services that you request. These service providers may include financial institutions, banks, and security clearing agencies and others who provide services to us, parties who provide technical support for its systems and its legal and accounting professionals.

Conway Financial Group, LLC requires all employees to sign a Confidentiality Agreement and restricts employees from discussing client information outside of the office. You may decide at any time, to restrict sharing information with these nonaffiliated third parties by notifying us at any time by telephone (314-579-9157), e-mail (pconway@conwayfinancialgroup.com), or by fax (314-579-9186) or in person. We do not provide your personal information to mailing list vendors or solicitors for any purpose.

Even if you decide to close your account(s) or become an inactive client, Conway Financial Group, LLC will adhere to the privacy policy described above. Personally identifiable information about you will be maintained during the time you are a client, and for time thereafter that such records are required to be maintained by federal and state securities laws. After the required period of record retention, all such information will be shredded.

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

Conway Financial Group, LLC requires that advisors it employs have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework include: an MBA, a CFP® certification, or a CPA. Additionally, advisors must have work experience that demonstrates their aptitude for financial planning and investment management.

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 6 hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Agree to bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professional provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interest of their clients.

Patricia M. Conway, MBA, CFP®

- Date of birth: March 19, 1960

Educational Background:

- DePaul University (1992) – Master's of Business Administration
- Purdue University (1982) – Bachelor of Science

Business Experience:

- Conway Financial Group, LLC; *Owner* (2001 – Present)
- The Witan Group; *Manager* (1995 – 2001)
- Shepro Braun; *Implementation Manager* for a multi-currency portfolio accounting system
- Brownson, Rehms, and Foxworth; *Financial Analyst*, investment counselling firm

Professional Activities: NAPFA Active Member (Served on Midwest Regional Board from 2009 through 2011), CFP® Active Member with the CFP-Board and member of the AICPA. Study Group leader for the NAPFA St Louis Study Group.

Supervision:

Patricia Conway's compliance-related activities are reviewed regularly.

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Patricia M. Conway, MBA, CFP®

- Date of birth: March 19, 1960

Educational Background:

- DePaul University (1992) – Master's of Business Administration
- Purdue University (1982) – Bachelor of Science, School of Business, emphasis in Marketing and Finance

Dylan J Camp, MSFP, CFP®

- Date of birth: February 13, 1993

Educational Background:

- Iowa State University (2015) – Bachelor of Science, Political Science
- Iowa State University (2017) – Master of Science, Family Financial Planning

Business Experience:

- Conway Financial Group, LLC, Associate Financial Planner (2019 – Present)
- Prosperity Planning Inc, Financial Planning Associate (2017 – 2018)

Other Business Activities: NAPFA Associate Member, CFP® active member. Member of the Financial Planning Association.

Additional Compensation: None

Supervision:

Dylan Camp CFP® is supervised by Patricia M. Conway, CFP®. She reviews Dylan Camp's work through frequent office interactions as well as remote interactions. She also reviews Dylan Camp's activities through our client relationship management system.

Patricia Conway's contact information:

(314)579-9157 pconway@conwayfinancialgroup.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None