



IAPD Report

CONOR F.P. BOYD

CRD# 4694796

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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

CONOR F.P. BOYD (CRD# 4694796)

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 **01/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITY SERVICES, INC.	CRD# 265	04/29/2015
IA	ESI FINANCIAL ADVISORS	CRD# 265	05/06/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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	MML INVESTORS SERVICES, LLC	10409	QUEENSBURY, NY	05/15/2014 - 03/23/2015
IA	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	QUEENSBURY, NY	05/15/2012 - 06/11/2014
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	QUEENSBURY, NY	09/29/2003 - 06/11/2014

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
Termination	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 **50** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ESI FINANCIAL ADVISORS**
Main Address: ONE NATIONAL LIFE DRIVE
MONTPELIER, VT 05604
Firm ID#: 265

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/29/2015
B	FINRA	Invest. Co and Variable Contracts	Approved	04/29/2015
B	FINRA	Investment Co./Variable Contracts Prin	Approved	05/06/2015
B	FINRA	General Securities Principal	Approved	10/17/2023
B	Alabama	Agent	Approved	08/29/2024
B	Alaska	Agent	Approved	01/31/2025
B	Arizona	Agent	Approved	02/29/2024
B	Arkansas	Agent	Approved	01/22/2024
B	California	Agent	Approved	05/04/2018
B	Colorado	Agent	Approved	09/03/2024
B	Connecticut	Agent	Approved	05/05/2015
IA	Connecticut	Investment Adviser Representative	Approved	05/06/2015
B	Delaware	Agent	Approved	01/30/2024



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	09/10/2024
B Florida	Agent	Approved	05/01/2015
B Georgia	Agent	Approved	02/12/2024
B Idaho	Agent	Approved	08/29/2024
B Illinois	Agent	Approved	03/01/2024
B Indiana	Agent	Approved	01/23/2024
B Iowa	Agent	Approved	08/20/2024
B Kansas	Agent	Approved	08/28/2024
B Kentucky	Agent	Approved	10/16/2024
B Louisiana	Agent	Approved	10/14/2024
B Maine	Agent	Approved	10/11/2024
B Maryland	Agent	Approved	01/19/2024
B Massachusetts	Agent	Approved	04/06/2023
B Michigan	Agent	Approved	02/15/2024
B Minnesota	Agent	Approved	08/30/2024
B Mississippi	Agent	Approved	08/29/2024
B Missouri	Agent	Approved	01/16/2024
B Montana	Agent	Approved	10/21/2024
B Nebraska	Agent	Approved	08/28/2024



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	10/14/2024
B New Hampshire	Agent	Approved	05/22/2024
B New Jersey	Agent	Approved	09/16/2016
B New Mexico	Agent	Approved	10/15/2024
B New York	Agent	Approved	05/05/2015
IA New York	Investment Adviser Representative	Approved	06/22/2021
B North Carolina	Agent	Approved	11/16/2020
B North Dakota	Agent	Approved	09/03/2024
B Ohio	Agent	Approved	01/16/2024
B Oklahoma	Agent	Approved	08/29/2024
B Oregon	Agent	Approved	09/05/2024
B Pennsylvania	Agent	Approved	05/04/2018
B Rhode Island	Agent	Approved	01/16/2024
B South Carolina	Agent	Approved	05/12/2015
B South Dakota	Agent	Approved	10/15/2024
B Tennessee	Agent	Approved	08/29/2024
B Texas	Agent	Approved	01/15/2024
B Utah	Agent	Approved	08/16/2024
B Vermont	Agent	Approved	01/16/2024



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	05/20/2019
B Washington	Agent	Approved	09/06/2024
B West Virginia	Agent	Approved	01/25/2024
B Wisconsin	Agent	Approved	01/16/2024
B Wyoming	Agent	Approved	08/14/2024

Branch Office Locations

ESI FINANCIAL ADVISORS
1048 STATE ROUTE 9
STE 2
QUEENSBURY, NY 12804

ESI FINANCIAL ADVISORS
421 TROY SCHENECTADY RD
LATHAM, NY 12110

ESI FINANCIAL ADVISORS
1133 WESTCHESTER AVE
SUITE S-229
WHITE PLAINS, NY 10604





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/17/2023
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	12/10/2012

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/22/2009
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/26/2003

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	05/14/2012
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/26/2003

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	05/15/2014 - 03/23/2015	MML INVESTORS SERVICES, LLC	CRD# 10409	QUEENSBURY, NY
IA	05/15/2012 - 06/11/2014	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	QUEENSBURY, NY
B	09/29/2003 - 06/11/2014	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	QUEENSBURY, NY

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
04/2015 - Present	EQUITY SERVICES, INC	REGISTERED REPRESENTATIVE	Y	MONTPELIER, VT, United States
04/2015 - Present	NATIONAL LIFE GROUP OF VERMONT	CAREER AGENT	Y	MONTPELIER, VT, 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.

IWISH NECKLACES NOT INV REL:3 NOTTINGHAM WAY COHOES, NY 12047, RETAIL SALES,OWNER, 2010-2011, LESS THAN 1 MTH,NOT. DURING TRD/HRS, 0%,* EWISHBROKER LLC, WAS SET UP AT THE END OF 2006 AND 2007 TO FACILITATE THE OPERATION OF A SOCIAL NETWORKING WEBSITE NAMED ASKWISH.COM WHICH IS NOW DEFUNCT. THIS LLC REMAINS OPEN ONLY FOR TAX PURPOSES. I DO NOT ACTIVELY WORK IN IT*THOROUGHbred ADVISORS, LLC. 421 TROY SCHENECTADY RD, LATHAM, NY 12110, INV REL, AGENT 05/2015 TO PRESENT 50 HOURS/WEEK DURING TRADING HOURS I AM AN AGENT SELLING LIFE, DI, HEALTH, LTC, ANNUITIES FOR NUMEROUS INSURANCE COMPANIES UNDER THE DBA THOROUGHbred ADVISORS LLC*BERKSHIRE FARM CENTER&SERVICES FOR YOUTH,13640 STATE ST 22,CANAAN,NY 12029,BOARD MEMBER,NOT INV RELATED,BFL SUPPORT FOSTER CAMP AND A PUBLIC SCHOOL IN NYS,3/11/2015,4 HRS.MTH,NOT DURING TRD/ HRS,BOARD MEMBER-NON-PROFIT BOARD*UNTAPPED,ORG,3 NOTTINGHAM WAY,COHOES,NY 12047,NOTINV REL,ONGOING,03/01/2019,WESITES,PODCASTS,BLOG,INTERVIEWING INDIVIDUALS TO LEARN ABOUT THEIR INTERESTS AND SUCCESSES,NOT DURING TRD/HRS,0%*EASTERN SON,LLC,421 TROY SCHENECTADY RD, LATHAM, NY 12110,02/15/2021,ONGOING,REAL ESTATE HOLDING CO TO ACT AS LESSOR OF COMMERCIAL PROPERTY,SOLE MEMBER,LLC USED TO OWN THE COMMERCIAL BUILDING TO BE PURCHASED FOR OFFICE LOCATION,INV REL,DURING TRD/HRS,0%*COLLEGE FUNDING PROFESSOR,421 TROY SCHENECTADY RD,LATHAM, NY 12110,10/2024,ONGOING,CREATION AND MARKETING OF WEBSITE,NOT INV REL,NOT DURING TRD/HRS,5% .



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
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Termination	1
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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	NMIS, LLC
Termination Type:	Voluntary Resignation
Termination Date:	05/14/2014
Allegations:	REPRESENTATIVE RESIGNED WHILE UNDER AN INVESTIGATION OPENED TO REVIEW CONCERNS WITH HIS SALES PRACTICES INVOLVING THE REPLACEMENT AND SUITABILITY OF INSURANCE POLICIES AND THE PAYMENT OF REFERRAL BONUSES TO STAFF.
Product Type:	Insurance

Reporting Source:	Individual
Firm Name:	NMIS, LLC
Termination Type:	Voluntary Resignation
Termination Date:	05/14/2014
Allegations:	REPRESENTATIVE RESIGNED WHILE UNDER AN INVESTIGATION OPENED TO REVIEW CONCERNS WITH HIS SALES PRACTICES INVOLVING THE REPLACEMENT AND SUITABILITY OF INSURANCE POLICIES AND THE PAYMENT OF REFERRAL BONUSES TO STAFF.
Product Type:	Insurance



End of Report

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