

Howard Rothman

Item 1. Cover Page

Vision Investment Advisors, LLC

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5/6/2015

This Brochure Supplement provides information about Howard Rothman that supplements the Brochure of Vision Investment Advisors, LLC ("Vision Advisors"). You should have received a copy of that Brochure. Please contact Vision Advisors at 1.877.836.3949 if you did not receive a Vision Advisors Brochure or if you have any questions about the contents of this supplement.

Additional information about Howard Rothman is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2. Education and Business Background

Howard Rothman born 1961 holds a Bachelor of Science in Accounting from New York University. Mr. Rothman is the Managing Member for Vision Advisors. Mr. Rothman has functioned as President, CCO, and Chief Financial Officer of Vision Financial Markets LLC, and its predecessor Vision LP since 1993. Mr. Rothman is the Managing Member of Vision Brokerage Services, LLC, a registered broker/dealer, of which he acts as the general securities, options and financial principal since its inception in 1999. Mr. Rothman is also a Managing Member and Principal for High Ridge Futures LLC and High Ridge Holding Company LLC.

Mr. Rothman holds the following FINRA qualifications: Registered Commodity Representative (Series 3); Registered Options Principal (Series 4); General Securities Representative (Series 7); Direct Participation Programs Limited Representative (Series 22); General Securities Principal (Series 24); Financial and Operations Principal (Series 27); Direct Participation Programs Limited Principal (Series 39); Uniform Securities Agent State Law (Series 63); and Uniform Investment Adviser (Series 65).

Among his various treasury functions as Chief Financial Officer of Vision Financial Markets, Mr. Rothman has been responsible for the investment of both customer equity and firm capital. This has involved the investment management of approximately \$400 million invested in short-term government securities, U.S. government agency instruments, overnight repositions and other money market instruments in the past. Mr. Rothman has also set and monitors all credit and margin policies on behalf of the firm.

Over the past seventeen years, Mr. Rothman has been the principal of the general partner and sponsor of several public and privately offered limited partnerships which have been engaged in derivatives trading and medical equipment leasing. He has served three consecutive terms on the Board of Directors of the National Futures Association and was a founder and past director of the National Introducing Brokers Association.

Item 3. Disciplinary Information

Mr. Rothman has been in the business for over twenty years. He has one citing exclusively related to futures in supervising a Guaranteed Introducing Broker Firms activity. Vision financial Markets, LLC ("VFM") an affiliate, having neither admitted nor denied, settled with the Business Conduct Committee of the NFA in Case No. 13-BCC-018 by agreeing to withdraw NFA FCM membership, pay restitution and a fine, and that Howard Rothman, Robert Boshnack, and Steve Silver would not supervise the VFM affiliate High Ridge Futures, LLC created to assume VFM former futures business. Additional information is available on Vision Advisor's affiliates and its associated persons at www.brokercheck.com or at www.nfa.futures.org.

Item 4. Other Business Activities

Vision Financial Markets, Vision Brokerage Services and High Ridge Futures (collectively "Affiliates") are affiliated entities of Vision Advisors, and all of which are under the common control and ownership of Howard Rothman. Affiliates share and provide services to Vision Advisors and its Clients, including certain employees and other associated persons. Mr. Rothman, through his ownership and association with all these entities, may and does directly or indirectly benefit from their affiliated services to each other. Vision Advisor seeks to avoid

severe conflicts between Affiliates and associated persons, even if that avoidance means foregoing an otherwise attractive business opportunity between them. Essential to managing conflicts between its Affiliates, Vision Advisor makes disclosure to clients, in addition to taking into consideration the different needs of both retail and institutional clients as is necessary and which occasionally may be reviewed.

Item 5. Additional Compensation

Mr. Rothman does not receive any additional compensation or economic benefits from providing advisory services.

Item 6. Supervision

Advisor Representatives ("IARs") hold either a Series 66 with Vision Brokerage Services, LLC or a Series 65 with Vision Advisors and are permitted to give advice to their clients and to discuss specific investments. All IARs are required to read and acknowledge their understanding of applicable compliance procedures. IARs are required to keep files related to their activities, subject to the review of Vision Advisors. E-mail correspondence and fees of Vision Advisors IARs is reviewed on a regular basis. Steven Silver is the Chief Compliance Officer and the Chief Operating Officer for Vision Advisors and is responsible for supervision of all IARs and is located at Vision Advisors Main office at 4 High Ridge Park, Stamford CT, 06905. Mr. Silver can be reached via phone at 203.388.2675 or via e-mail at: ssilver@visionfinancialmarkets.com.

Item 7. Requirements for State Registered Investment Advisors

Mr. Rothman has no disclosable material facts or events as required to be disclosed by State-Registered Advisers that relates to arbitrations, civil or self-regulatory organization or administrative procedures other than those listed in Item 3. *Disciplinary information*. Mr. Rothman has no bankruptcies.