

# Vijay Chopra

## DCM Advisors, LLC

33 Whitehall Street, 11<sup>th</sup> Floor  
New York, NY 10004  
Tel: (917) 386-6263

March 30, 2024

### FORM ADV PART 2B FIRM BROCHURE SUPPLEMENT

This brochure supplement provides information about Vijay Chopra that supplements the DCM Advisors, LLC (“DCM”) brochure. You should have received a copy of that brochure. Please contact Anthony Giorgio (agiorgio@dcmadvisors.com), Chief Compliance Officer of DCM, if you did not receive DCM’s brochure or if you have any questions about the contents of this supplement.

#### Item 2 – Educational Background and Business Experience

**Name:** Vijay Chopra

**Year of Birth:** 1963

**Formal Education:**

Vanderbilt University – 1990 – Ph.D. in Finance

Vanderbilt University – 1988 – M.B.A. in Finance

Indian Institute of Technology, New Delhi – 1985 – Bachelor of Technology

**Business Background:**

DCM Advisors, LLC: Senior Portfolio Manager (9/2017 – Present)

Copley Financial Services Corp: Vice President/Portfolio Manager (4/2019 – 11/2020)

Lebenthal Asset Management, LLC: Portfolio Manager (1/2014 – 9/2017)

Roosevelt Investment Group: Portfolio Director/Managing Director (2/2012 – 1/2014)

Mesirow Financial: Portfolio Director/Managing Director (11/2008 – 1/2012)

**Professional Designations:**

CFA® - Chartered Financial Analyst®<sup>1</sup> (1996)

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<sup>1</sup> CFA® - Chartered Financial Analyst® Minimum Qualifications:

**Issued by:** CFA Institute

**Prerequisites /Experience Required:** Candidate must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- 4 years qualified work experience (full time, but not necessarily investment related)

**Educational Requirements:** Self-study program (250 hours of study for each of the 3 levels)

**Examination Type:** 3 course exams

**Continuing Education/Experience Requirements:** None

### **Item 3 – Disciplinary Information**

The Securities and Exchange Commission requires that any significant legal or disciplinary events material to a client's evaluation of Mr. Chopra must be disclosed. If applicable, such events are listed below.

No information is applicable to this Item.

### **Item 4 – Other Business Activities**

The Securities and Exchange Commission requires that any outside business activities that are investment related or that provide a substantial source of income or involve a substantial amount of time must be disclosed.

Mr. Chopra is the owner of and receives income from a rental property.

Mr. Chopra also teaches finance related courses at The University of Central Florida.

There is no relationship between these outside business activities and Mr. Chopra's advisory business on behalf of DCM, therefore the above-listed outside business activities do not create a conflict of interest.

### **Item 5 – Additional Compensation**

The Securities and Exchange Commission requires that any additional compensation for providing advisory services received from anyone who is not a client must be disclosed. This would include sales awards or any bonus based on number of sales.

No information is applicable to this Item.

### **Item 6 – Supervision**

Mr. Chopra is a Senior Portfolio Manager of DCM. The investment advice that Mr. Chopra provides and the activities of all supervised persons, including Mr. Chopra, are subject to DCM's compliance policies and procedures, which are administered by Anthony Giorgio, Chief Compliance Officer of DCM.

**Robert Morgan**

**DCM Advisors, LLC**

33 Whitehall Street, 11<sup>th</sup> Floor  
New York, NY 10004

Tel: (917) 386-6264

**March 30, 2024**

**FORM ADV PART 2B  
FIRM BROCHURE SUPPLEMENT**

This brochure supplement provides information about Robert Morgan that supplements the DCM Advisors, LLC (“DCM”) brochure. You should have received a copy of that brochure. Please contact Anthony Giorgio (agiorgio@dcmadvisors.com), Chief Compliance Officer of DCM, if you did not receive DCM’s brochure or if you have any questions about the contents of this supplement.

**Item 2 – Educational Background and Business Experience**

**Name:** Robert Morgan

**Year of Birth:** 1973

**Formal Education:**

Georgetown University, McDonough School of Business – 1991 – B.S. Management

**Business Background:**

DCM Advisors, LLC: Director, Fixed Income (11/2021 – Present)

Cerity Partners: Principal (9/2017 – 10/2021)

Lebenthal Asset Management: Portfolio Manager (4/2011 – 8/2017)

**Item 3 – Disciplinary Information**

The Securities and Exchange Commission requires that any significant legal or disciplinary events material to a client’s evaluation of Mr. Morgan must be disclosed. If applicable, such events are listed below.

No information is applicable to this Item.

**Item 4 – Other Business Activities**

The Securities and Exchange Commission requires that any outside business activities that are investment related or that provide a substantial source of income or involve a substantial amount of time must be disclosed.

No information is applicable to this Item.

### **Item 5 – Additional Compensation**

No information is applicable to this Item.

### **Item 6 – Supervision**

Mr. Morgan is the Director of Fixed Income at DCM. The investment advice that Mr. Morgan provides and the activities of all supervised persons, including Mr. Morgan, are subject to DCM's compliance policies and procedures, which are administered by Anthony Giorgio, the Chief Compliance Officer of DCM.

## **James Mulvey**

### **DCM Advisors, LLC**

**33 Whitehall Street, 11<sup>th</sup> Floor  
New York, NY 10004**

**Tel: (917) 386-6278**

**March 30, 2024**

### **FORM ADV PART 2B FIRM BROCHURE SUPPLEMENT**

This brochure supplement provides information about James Mulvey that supplements the DCM Advisors, LLC (“DCM”) brochure. You should have received a copy of that brochure. Please contact Anthony Giorgio (agiorgio@dcmadvisors.com), Chief Compliance Officer of DCM, if you did not receive DCM’s brochure or if you have any questions about the contents of this supplement.

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

#### **Item 2 – Educational Background and Business Experience**

**Name:** James Mulvey

**Year of Birth:** 1966

**Formal Education:**

New York University – 1993 – B.S. in Economics

**Business Background:**

DCM Advisors, LLC: Portfolio Manager (August 2021 – present)

Markston International, LLC: Portfolio Manager (2012 – July 2021)

#### **Item 3 – Disciplinary Information**

The Securities and Exchange Commission requires that any significant legal or disciplinary events material to a client’s evaluation of Mr. Mulvey must be disclosed. If applicable, such events are listed below. Additional information regarding Mr. Mulvey is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

No information is applicable to this Item.

#### **Item 4 – Other Business Activities**

Mr. Mulvey is not engaged in any other investment-related business and does not receive compensation in connection with any business activity outside of DCM.

### **Item 5 – Additional Compensation**

The Securities and Exchange Commission requires that any additional compensation for providing advisory services received from anyone who is not a client must be disclosed. This would include sales awards, or any bonus based on number of sales.

No information is applicable to this Item.

### **Item 6 – Supervision**

Mr. Mulvey is a Portfolio Manager for DCM. The investment advice that Mr. Mulvey provides, and the activities of all supervised persons, including Mr. Mulvey, are subject to DCM's compliance policies and procedures, which are administered by Anthony Giorgio, the Chief Compliance Officer of DCM.

**Steven H. Roseman**

**DCM Advisors, LLC**

33 Whitehall Street, 11<sup>th</sup> Floor  
New York, NY 10004

Tel: (917) 386-6211

**March 30, 2024**

**FORM ADV PART 2B  
FIRM BROCHURE SUPPLEMENT**

This brochure supplement provides information about Steven H. Roseman that supplements the DCM Advisors, LLC (“DCM”) brochure. You should have received a copy of that brochure. Please contact Anthony Giorgio (agiorgio@dcmadvisors.com), Chief Compliance Officer of DCM, if you did not receive DCM’s brochure or if you have any questions about the contents of this supplement.

Additional information about Steven H. Roseman is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

**Item 2 – Educational Background and Business Experience**

**Name:** Steven H. Roseman

**Year of Birth:** 1956

**Formal Education:**

Fordham University Graduate School of Business – 1982 – M.B.A. SUNY

Oneonta – 1976 – B.S. in Literature

**Business Background:**

DCM Advisors, LLC: Wealth Management Advisor (3/2002 – Present) Dinosaur

Financial Group, LLC: Registered Representative (12/2001 – Present)

**Item 3 – Disciplinary Information**

The Securities and Exchange Commission requires that any significant legal or disciplinary events material to a client’s evaluation of Mr. Roseman must be disclosed. If applicable, such events are listed below. Additional information regarding Mr. Roseman is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

No information is applicable to this Item.

**Item 4 – Other Business Activities**

Mr. Roseman holds a current FINRA securities registration. As a result, he may receive commissions and service fees from DCM’s relationship with Dinosaur Financial Group, LLC, an affiliate of DCM, in connection with brokerage services. This could give Mr. Roseman an incentive to recommend investment

products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to DCM's compliance policies and procedures. Furthermore, this potential conflict of interest is mitigated by the fact that DCM does not execute clients' transactions using Dinosaur Financial Group, LLC as the broker-dealer.

No other information is applicable to this Item.

#### **Item 5 – Additional Compensation**

The Securities and Exchange Commission requires that any additional compensation for providing advisory services received from anyone who is not a client must be disclosed. This would include sales awards, or any bonus based on number of sales.

No information is applicable to this Item.

#### **Item 6 – Supervision**

Mr. Roseman is a Wealth Management Advisor of DCM. The investment advice that Mr. Roseman provides, and the activities of all supervised persons, including Mr. Roseman, are subject to DCM's compliance policies and procedures, which are administered by Anthony Giorgio, the Chief Compliance Officer of DCM.



**Craig Burdo**

**DCM Advisors, LLC**

33 Whitehall Street, 11<sup>th</sup> Floor  
New York, NY 10004  
Tel: (917) 576-9349

**March 30, 2024**

**FORM ADV PART 2B  
FIRM BROCHURE SUPPLEMENT**

This brochure supplement provides information about Craig A. Burdo that supplements the DCM Advisors, LLC (“DCM”) brochure. You should have received a copy of that brochure. Please contact Anthony Giorgio (agiorgio@dcmadvisors.com), Chief Compliance Officer of DCM, if you did not receive DCM’s brochure or if you have any questions about the contents of this supplement.

Additional information about Craig A. Burdo is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

**Item 2 – Educational Background and Business Experience**

**Name:** Craig A. Burdo

**Year of Birth:** 1959

**Formal Education:**

Glassboro State College– 1984 – B.A. Communications & Advertising

**Business Background:**

DCM Advisors, LLC: Wealth Management Advisor (10/2021–Present)

Dinosaur Financial Group, LLC: Registered Representative (10/2021 – Present)

Worlds First Financial Services, Registered Representative (8/2010 – 9/2021)

**Item 3 – Disciplinary Information**

The Securities and Exchange Commission requires that any significant legal or disciplinary events material to a client’s evaluation of Mr. Burdo must be disclosed. If applicable, such events are listed below.

No information is applicable to this Item.

**Item 4 – Other Business Activities**

Mr. Burdo holds a current FINRA securities registration. As a result, he may receive commissions and service fees from DCM’s relationship with Dinosaur Financial Group, LLC, an affiliate of DCM, in connection with brokerage services. This could give Mr. Burdo an incentive to recommend investment

products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to DCM's compliance policies and procedures.

No other information is applicable to this Item.

#### **Item 5 – Additional Compensation**

The Securities and Exchange Commission requires that any additional compensation for providing advisory services received from anyone who is not a client must be disclosed. This would include sales awards, or any bonus based on the number of sales.

No information is applicable to this Item.

#### **Item 6 – Supervision**

Mr. Burdo is a Portfolio manager at DCM. The investment advice that Mr. Burdo provides, and the activities of all supervised persons, including Mr. Burdo, are subject to DCM's compliance policies and procedures, which are administered by Anthony Giorgio, the Chief Compliance Officer of DCM.

## **Mohammed Noorali**

### **DCM Advisors, LLC**

**33 Whitehall Street, 11<sup>th</sup> Floor**

**New York, NY 10004**

**Tel: (917) 386-6284**

**March 30, 2024**

#### **FORM ADV PART 2B FIRM BROCHURE SUPPLEMENT**

This brochure supplement provides information about Mohammed Noorali that supplements the DCM Advisors, LLC (“DCM”) brochure. You should have received a copy of that brochure. Please contact Anthony Giorgio (agiorgio@dcmadvisors.com), Chief Compliance Officer of DCM, if you did not receive DCM’s brochure or if you have any questions about the contents of this supplement.

#### **Item 2 – Educational Background and Business Experience**

**Name:** Mohammed Noorali

**Year of Birth:** 1983

**Formal Education:**

Emory University – 2004 – Bachelor's in Business Administration

**Business Background:**

Madison Page Securities, LLC: ABS/MBS Trader (6/2018 – September 2022)

Mosaic Capital, LLC: ABS/MBS Trader (1/2015 – 10/2018)

Bayes Capital, LLC: ABS/MBS Trader (8/2014 – 4/2015)

Peraza Capital and Investment, LLC: ABS/MBS Trader (2/2014 – 11/2014)

GFI Securities, LLC: ABS/MBS Trader (8/2010 – 12/2013)

#### **Item 3 – Disciplinary Information**

The Securities and Exchange Commission requires that any significant legal or disciplinary events material to a client’s evaluation of Mr. Noorali must be disclosed. If applicable, such events are listed below.

No information is applicable to this Item.

#### **Item 4 – Other Business Activities**

Mr. Noorali is a consultant for Carstensz Capital Partners, LLC, a private residential real estate lender which provides loans to residential real estate redevelopers. Furthermore, there is no relationship between this outside business activity and Mr. Noorali’s advisory business on behalf of DCM, therefore this position with the Carstensz Capital Partners does not create a conflict of interest.

No other information is applicable to this Item.

### **Item 5 – Additional Compensation**

The Securities and Exchange Commission requires that any additional compensation for providing advisory services received from anyone who is not a client must be disclosed. This would include sales awards, or any bonus based on the number of sales.

No information is applicable to this Item.

### **Item 6 – Supervision**

Mr. Noorali is a Portfolio manager at DCM. The investment advice that Mr. Noorali provides, and the activities of all supervised persons, including Mr. Noorali, are subject to DCM's compliance policies and procedures, which are administered by Anthony Giorgio, the Chief Compliance Officer of DCM.