

**Form ADV: Part 2B**

**Brochure Supplement**

**Item 1: Cover Page**

Brochure Supplement for

**James H. England, Jr. CFA**

**Aster Investment Management Company, Inc.**

60 E. Sir Francis Drake Blvd. Suite 306

Larkspur, California 94939

Telephone : 415-461-8770

**Brochure Supplement date:** April 24, 2012

**This brochure supplement provides information about James H. England, Jr., that supplements the Aster Investment Management Company, Inc. (“Aster Investment Management” or the “firm”) brochure. This supplement is provided as a part of, and is included with, that brochure.**

**Please contact Gregg B. Keeling, VP of Operations and Chief Compliance Officer of Aster Investment Management if you have any questions about the contents of this supplement.**

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

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

James H. (Jamie) England, Jr. was born in 1970 in Kingston, Ontario, Canada and serves as a Portfolio Manager at Aster Investment Management. Formal education included an undergraduate degree in commerce from McGill University and a master's degree in business administration from the Ivey School of Business at the University of Western Ontario. Mr. England is a CFA charter holder(\*).

Mr. England worked for three years at The Seidler Companies, a Los Angeles-based regional brokerage firm, initially as a research associate and then as an analyst covering the consumer and retail sectors. While pursuing his master's degree, Mr. England worked in the equity sales and trading department at Goldman, Sachs & Co. in New York. Following business school and immediately prior to joining Aster Investment Management, Mr. England spent two years at Toronto Dominion Securities as an equity derivatives trader. James H. England, Jr. joined Aster Investment Management in August, 2001.

(\*) Holders of the Chartered Financial Analyst designation ("CFA") must complete the CFA Program which is organized into three levels, each culminating in a six-hour exam. The CFA Program is a globally recognized, graduate level curriculum that provides a strong foundation of real-world investment analysis and portfolio management skills. In addition to completing the CFA Program, CFA charter holders must have four years of qualified investment work experience, be a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, and join a local CFA member society.

## **Item 3: Disciplinary Information**

During the past ten years, James H. England, Jr. has not been involved in any civil or criminal action, in any administrative proceeding before the SEC or any other federal, state or foreign regulatory agency, in any self-regulatory organization proceeding, or in any other proceeding related to licensing or professional attainment or designation.

## **Item 4: Other Business Activities**

Beyond his employment with Aster Investment Management, Mr. England is not actively engaged in any other financial industry investment-related business or other occupation.

In accordance with policies and procedures adopted by Aster Investment Management in response to the risks of conflicts of interest, Mr. England annually certifies that he acknowledges, understands and complies with a Code of Ethics. The Code of Ethics requires

adherence to standards of business conduct that include the duty and obligation to avoid conflict with the interests of clients.

#### **Item 5: Additional Compensation**

Mr. England does not receive any additional compensation or economic benefit for providing advisory services beyond his salary and bonus compensation from Aster Investment Management Company, Inc.

#### **Item 6: Supervision**

All advisory activities of the firm are managed by a team of investment management professionals. The team is comprised of Mr. England, Mr. William Tao, Mr. Larry Cordisco and Mr. James O'Connor. Working together and under joint supervision as a team, they are responsible for the execution of the investment strategy for all client accounts. Mr. England, Mr. Tao, Mr. Cordisco and Mr. O'Connor, may be contacted at the telephone number listed on the cover page.

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Brochure Supplement for

**James J. O'Connor, CFA**

**Aster Investment Management Company, Inc.**

60 E. Sir Francis Drake Blvd. Suite 306

Larkspur, California 94939

Telephone : 415-461-8770

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**Please contact Gregg B. Keeling, VP of Operations and Chief Compliance Officer of Aster Investment Management if you have any questions about the contents of this supplement.**

**Additional information about Mr. O'Connor is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

### **James J. O'Connor, CFA**

James (Jim) O'Connor was born in 1974 in Greenbrae, California and serves as an Analyst with Aster Investment Management. His formal education includes an undergraduate degree in rhetoric from the University of California at Berkeley and a master's degree in business administration from the Marshall School of Business at the University of Southern California.

Prior to joining Aster Investment Management, Mr. O'Connor worked as an examiner at NASD Regulation in San Francisco, California for two years, then as compliance associate at Thomas Weisel Partners in San Francisco for one year. Following business school, Mr. O'Connor worked at RBC Dain Rauscher covering electronic manufacturing service stocks in the firm's equity research department in San Francisco. Mr. O'Connor is also a CFA charter holder (\*). Mr. O'Connor joined Aster Investment Management in January, 2004.

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## **Item 3: Disciplinary Information**

During the past ten years, James J. O'Connor has not been involved in any civil or criminal action, in any administrative proceeding before the SEC or any other federal, state or foreign regulatory agency, in any self-regulatory organization proceeding, or in any other proceeding related to licensing or professional attainment or designation.

## **Item 4: Other Business Activities**

Beyond his employment with Aster Investment Management, Mr. O'Connor is not actively engaged in any other financial industry investment-related business or other occupation.

In accordance with policies and procedures adopted by Aster Investment Management in response to the risks of conflicts of interest, Mr. O'Connor annually certifies that he

acknowledges, understands and complies with a Code of Ethics. The Code of Ethics requires adherence to standards of business conduct that include the duty and obligation to avoid conflict with the interests of clients.

#### **Item 5: Additional Compensation**

Mr. O'Connor does not receive any additional compensation or economic benefit for providing advisory services beyond his salary and regular bonus compensation from Aster Investment Management Company, Inc.

#### **Item 6: Supervision**

All advisory activities of the firm are managed by a team of investment management professionals. The team is comprised of Mr. James O'Connor, Mr. William Tao, Mr. Larry Cordisco and Mr. James England. Working together and under joint supervision as a team, they are responsible for the execution of the investment strategy for all client accounts. Mr. O'Connor, Mr. England, Mr. Cordisco and Mr. Tao may be contacted at the telephone number listed on the cover page.

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Brochure Supplement for

**William Tao, CFA**

**Aster Investment Management Company, Inc.**

60 E. Sir Francis Drake Blvd. Suite 306

Larkspur, California 94939

Telephone : 415-461-8770

**Brochure Supplement date:** April 24, 2012

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**Please contact Gregg B. Keeling, VP of Operations and Chief Compliance Officer of Aster Investment Management if you have any questions about the contents of this supplement.**

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

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

### **William Tao, CFA**

William Tao was born in 1970 in Australia and serves as a Research Analyst with Aster Investment Management. His formal education includes an undergraduate degree in accounting and economics from the University of Toronto and a master's degree in business administration from the Ivey School of Business at the University of Western Ontario. Mr. Tao is a CFA charter holder (\*).

After obtaining his undergraduate degree, Mr. Tao worked as an auditor at KPMG for three years and for one year as a financial accountant at the University of Toronto Press. Following business school, Mr. Tao spent three years as a research associate with Credit Suisse First Boston in the equity valuation and semiconductor device research groups. Immediately prior to joining Aster Investment Management, in June 2007, Mr. Tao worked for three years as a research associate at BMO Capital Markets covering semiconductor device stocks.

(\*) Holders of the Chartered Financial Analyst designation ("CFA") must complete the CFA Program which is organized into three levels, each culminating in a six-hour exam. The CFA Program is a globally recognized, graduate level curriculum that provides a strong foundation of real-world investment analysis and portfolio management skills. In addition to completing the CFA Program, CFA charter holders must have four years of qualified investment work experience, be a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, and join a local CFA member society.

## **Item 3: Disciplinary Information**

During the past ten years, William Tao has not been involved in any civil or criminal action, in any administrative proceeding before the SEC or any other federal, state or foreign regulatory agency, in any self-regulatory organization proceeding, or in any other proceeding related to licensing or professional attainment or designation.

## **Item 4: Other Business Activities**

Beyond his employment with Aster Investment Management, Mr. Tao is not actively engaged in any other financial industry investment-related business or other occupation.



In accordance with policies and procedures adopted by Aster Investment Management in response to the risks of conflicts of interest, Mr. Tao annually certifies that he acknowledges, understands and complies with a Code of Ethics. The Codes of Ethics requires adherence to standards of business conduct that include the duty and obligation to avoid conflict with the interests of clients.

#### **Item 5: Additional Compensation**

Mr. Tao does not receive any additional compensation or economic benefit for providing advisory services beyond his salary and regular bonus compensation from Aster Investment Management Company, Inc.

#### **Item 6: Supervision**

All advisory activities of Aster Investment Management Company are managed by a team of investment management professionals. The team is comprised of Mr. William Tao, Mr. James England, Mr. Larry Cordisco and Mr. James O'Connor. Working together and under joint supervision as a team, they are responsible for the execution of the investment strategy for all client accounts. Mr. Tao, Mr. England, Mr. Cordisco and Mr. O'Connor, may be contacted at the telephone number listed on the cover page.

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Brochure Supplement for

**Larry E. Cordisco**

**Aster Investment Management Company, Inc.**

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Larkspur, California 94939

Telephone : 415-461-8770

**Brochure Supplement date:** April 24, 2012

**This brochure supplement provides information about Larry E. Cordisco that supplements the Aster Investment Management Company, Inc. (“Aster Investment Management” or the “firm”) brochure. This supplement is provided as a part of, and is included with, that brochure.**

**Please contact Gregg B. Keeling, VP of Operations and Chief Compliance Officer of Aster Investment Management if you have any questions about the contents of this supplement.**

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

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

Larry Cordisco was born in 1969 in Pittsburgh, Pennsylvania. Formal education includes an undergraduate degree in political science from UC Santa Barbara, a master's degree in public policy from Georgetown University, and a master's degree in business administration from Columbia Business School. Prior to serving as a research analyst with Aster Investment Management, Mr. Cordisco worked as a public policy analyst in Washington D.C, then for three years as a business consultant at Accenture. Following business school, Mr. Cordisco spent three years at Banc of America Securities covering broadcasting, IT services, and software stocks in the firm's equity research department in New York and San Francisco. Mr. Cordisco was employed by Aster Investment Management as a research analyst from September 2003 to March 2011. He rejoined Aster Investment Management in April 2012.

**Item 3: Disciplinary Information**

During the past ten years, Larry E. Cordisco has not been involved in any civil or criminal action, in any administrative proceeding before the SEC or any other federal, state or foreign regulatory agency, in any self-regulatory organization proceeding, or in any other proceeding related to licensing or professional attainment or designation.

**Item 4: Other Business Activities**

Beyond his employment with Aster Investment Management, Mr. Cordisco is not actively engaged in any other financial industry investment-related business or other occupation.

In accordance with policies and procedures adopted by Aster Investment Management in response to the risks of conflicts of interest, Mr. Cordisco certified that he acknowledges, understands and complies with a Code of Ethics. The Code of Ethics requires adherence to standards of business conduct that include the duty and obligation to avoid conflict with the interests of clients.

**Item 5: Additional Compensation**

Mr. Cordisco does not receive any additional compensation or economic benefit for providing advisory services beyond his salary and bonus compensation from Aster Investment Management Company, Inc.

**Item 6: Supervision**

All advisory activities of the firm are managed by a team of investment management professionals. The team is comprised of Mr. James England, Mr. William Tao, Mr. Cordisco and Mr. James O'Connor. Working together and under joint supervision as a team, they are responsible for the execution of the investment strategy for all client accounts. Mr. England, Mr. Tao, Mr. Cordisco and Mr. O'Connor, may be contacted at the telephone number listed on the cover page.