

Helm Investment Management, LLC
Form ADV Part 2B – Individual Disclosure Brochure
for
Jay Allan McCormick, CFA
CRD Number: 5216989
Managing Member and Owner

**Helm Investment Management,
LLC**

1600 Broadway, Suite 1400
Denver, CO 80202
(303) 861-4835
www.helminvest.com

March 22, 2022

This brochure is **Part 2B of Form ADV**, a supplemental filing that provides information about Jay Allan McCormick, CFA that supplements the Helm Investment Management brochure. You should have received a copy of that brochure.

Please contact our office at (303) 861-4835, if you did not receive Helm Investment Management's brochure or if you have any questions about the contents of this supplement.

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.

Additional information about Helm Investment Management, LLC is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience

Jay Allan McCormick, CFA was born in 1959. Mr. McCormick graduated Magna Cum Laude from the Honors College of the University of Michigan. He then received a Master of Science in Management from London Business School in 1998. Mr. McCormick has been with Helm Investment Management since July 2006, and has been an Investment Advisor since that time.

Prior to joining Helm Investment Management, from 1999 to 2006, Mr. McCormick served in a variety of capacities for Standard & Poor's, including running a team of industry analysts, directing the Global Industry Classification System (GICS) joint venture with MSCI, and working with quantitative analysts using the Compustat financial database. Prior to moving to Colorado in 1999, Mr. McCormick was a journalist, opening the European bureau for USA Today in 1997, and editing and writing financial material for Crain's Chicago Business, USA Today, and Forbes magazine, among others.

Mr. McCormick earned the Chartered Financial Analyst (CFA) designation in 2005, and is a past President of CFA Society Colorado. Requirements for a CFA charter include four years of qualified investment industry work experience, adherence to the CFA Institute Code of Ethics and Standards of Practice, and completion of the CFA examination program. The examination component of the CFA Program requires passing a six-hour exam for each of three levels in successive years. The CFA Program covers ethics and professional standards, corporate finance, economics, financial reporting and analysis, quantitative methods, alternative investments, derivatives, equity investments, fixed income, and portfolio management and wealth planning. Regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated the CFA Program curriculum into their own finance courses. To learn more about the CFA charter, visit www.cfainstitute.org. Mr. McCormick also has served in various volunteer positions for CFA Institute.

Disciplinary Information

Jay Allan McCormick, CFA has not been the subject of any legal or disciplinary proceedings.

Other Business Activities

Jay Allan McCormick, CFA is not involved in any other business activities.

Additional Compensation

Jay Allan McCormick, CFA receives a share of the profits of the firm; otherwise, there are no incentives related to sales, referrals, or new accounts.

Supervision

Jay Allan McCormick, CFA is the Managing Partner of Helm Investment Management. Therefore, he is not directly supervised by any individual. However, Mr. McCormick's personal trading activity is monitored by Peter John Quinn, CFA, Chief Compliance Officer. Mr. McCormick and Mr. Quinn work together on investment policy, investment strategy, and client communications and alternate the assignment of client reports every 6 months to assure consistency of investment recommendations, trading and implementation of asset allocation changes when necessary. The principals of Helm believe that advice is consistently communicated, implemented, and monitored through the firm's processes.

Helm Investment Management, LLC
Form ADV Part 2B – Individual Disclosure Brochure
for
Peter John Quinn, CFA
CRD Number: 5998197
Member, Chief Compliance Officer, and Owner

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Educational Background and Business Experience

Peter John Quinn, CFA was born in 1975. Mr. Quinn graduated from Cornell University in 1997, earning a Bachelor of Arts degree, with distinction in all subjects. Mr. Quinn has been with Helm Investment Management since July 2015, and has worked in investment management since 1999. Mr. Quinn has been a registered Investment Advisor since 2011.

Prior to joining Helm, Mr. Quinn was a senior equity analyst and portfolio manager at CoBiz Wealth, formerly Wagner Investment Management. Prior to that role, Mr. Quinn was senior fixed income analyst and portfolio manager at Great-West Life. Mr. Quinn began his professional career as an investment banking analyst in the leveraged finance group at JP Morgan Chase in New York City.

Mr. Quinn earned the Chartered Financial Analyst (CFA) designation in 2015, and is a past President of CFA Society Colorado. Requirements for a CFA charter include four years of qualified investment industry work experience, adherence to the CFA Institute Code of Ethics and Standards of Practice, and completion of the CFA examination program. The examination component of the CFA Program requires passing a six-hour exam for each of three levels in successive years. The CFA Program covers ethics and professional standards, corporate finance, economics, financial reporting and analysis, quantitative methods, alternative investments, derivatives, equity investments, fixed income, and portfolio management and wealth planning. Regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated the CFA Program curriculum into their own finance courses. To learn more about the CFA charter, visit www.cfainstitute.org.

Disciplinary Information

Peter John Quinn, CFA has not been the subject of any legal or disciplinary proceedings.

Other Business Activities

Peter John Quinn, CFA manages rental properties in the Denver metro area. This activity takes place outside of normal working hours and doesn't present any conflict interest in relation to his responsibilities at Helm.

Additional Compensation

Peter John Quinn, CFA receives a share of the profits of the firm; otherwise, there are no incentives related to sales, referrals, or new accounts.

Supervision

Peter John Quinn, CFA is Chief Compliance Officer, Member and Owner of Helm Investment Management. Therefore, he is not directly supervised by any individual. However, Mr. Quinn and Jay Allan McCormick, CFA work together on investment policy, investment strategy, and client communications and alternate the assignment of client reports every 6 months to assure consistency of investment recommendations, trading and implementation of asset allocation changes when necessary. The principals of Helm believe that advice is consistently communicated, implemented, and monitored through the firm's processes.