

Vijay Chopra

DCM Advisors, LLC

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

October 13, 2023

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®¹ (1996)

¹ 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 the owner of and receives income from a rental property.

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. 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.

Leila Heckman

DCM Advisors, LLC

33 Whitehall Street, 11th Floor
New York, NY 10004
Tel: (917) 386-6261

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

This brochure supplement provides information about Leila Heckman 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: Leila Heckman

Year of Birth: 1944

Formal Education:

Polytechnic Institute of New York University – 1982 – Ph.D. in Operations Research

Cornell University – 1968 – M.S. in Operations Research

Brown University – 1966 – B.A. in Mathematics

Business Background:

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

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

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

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

Item 3 – Disciplinary Information

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

No information is applicable to this Item.

Item 4 – Other Business Activities

Ms. Heckman is a member of the Board of Overseers and investment committee for the International Rescue Committee (IRC). Ms. Heckman’s duties for the IRC are investment-related in nature, however she does not receive compensation in exchange for her services. Furthermore, there is no relationship between this outside business activity and Ms. Heckman’s advisory business on behalf of DCM, therefore these positions for the IRC do not create a conflict of interest.

Ms. Heckman is a member of the investment committee for the Parrish Art Museum. Ms. Heckman's duties are investment-related in nature; however, she does not receive compensation in exchange for her services. Furthermore, there is no relationship between this outside business activity and Ms. Heckman's advisory business on behalf of DCM, therefore this position with the Parrish Art Museum's investment committee does not create a conflict of interest.

Ms. Heckman is an advisor to the Investment and Finance committee of Catalyst. Ms. Heckman's duties are investment-related in nature; however, she does not receive compensation in exchange for her services. Furthermore, there is no relationship between this outside business activity and Ms. Heckman's advisory business on behalf of DCM, therefore these positions with the Board of Directors and Finance Committee do 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 number of sales.

No information is applicable to this Item.

Item 6 – Supervision

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

Robert Morgan

DCM Advisors, LLC

33 Whitehall Street, 11th Floor
New York, NY 10004
Tel: (917) 386-6264

October 13, 2023

**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.

Christopher Mullarkey

DCM Advisors, LLC

33 Whitehall Street, 11th Floor
New York, NY 10004
Tel: (646) 828-4403

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This brochure supplement provides information about Christopher Mullarkey 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 Christopher Mullarkey is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 – Educational Background and Business Experience

Name: Christopher Mullarkey

Year of Birth: 1970

Formal Education:

New York University– 2002 – M.B.A.

Grinnell College – 1992 – B.A. in Economics

Business Background:

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

Markston International, LLC: Portfolio Manager (2001 – 2023)

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. Mullarkey must be disclosed. If applicable, such events are listed below. Additional information regarding Mr. Mullarkey is available on the SEC's website at www.adviserinfo.sec.gov.

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

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. Mullarkey is a Portfolio Manager for DCM. The investment advice that Mr. Mullarkey provides, and the activities of all supervised persons, including Mr. Mullarkey, 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, 11th Floor
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Tel: (917) 386-6278

October 13, 2023

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

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.

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, 11th Floor
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Tel: (917) 386-6211

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**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

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.

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, 11th Floor

New York, NY 10004

Tel: (917) 576-9349

October 13, 2023

**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

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, 11th Floor

New York, NY 10004

Tel: (917) 386-6284

October 13, 2023

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:

University Name– 2004 – Degree Awarded

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.