

## **Part 2B of Form ADV: *Brochure Supplement***

Howard J. Holmes

Holmes Investment Management, Inc.  
839 Rear Pleasant Street  
Brockton, MA 02301  
Phone: (508) 941-5888  
Mobile: (617) 413-5684  
Fax: (508) 819-3024

March 20, 2023

**This brochure supplement provides information about Howard J. Holmes that supplements the Holmes Investment Management, Inc. brochure. You should have received a copy of that brochure. Please contact Howard J. Holmes if you did not receive Holmes Investment Management, Inc.'s brochure or if you have any questions about the contents of this supplement.**

**Additional information about Howard J. Holmes is available of the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

Howard J. Holmes, President, Director, Chief Compliance Officer

Year of Birth: 1960

### Education:

Mr. Holmes graduated from University of Massachusetts at Amherst in 1982 with a Bachelor of Arts in Economics. He graduated from Bentley College in 1987 with a Master of Science degree in Finance.

Mr. Holmes received a Certificate in Advanced Management from Olin Graduate School of Business at Babson College in 1995, and the designation of Chartered Financial Analyst (CFA) from the CFA Institute in 1998.

Mr. Holmes is currently a candidate in the Doctorate of Business Administration program at the University of Rhode Island. Mr. Holmes anticipates completing his doctorate in August 2023.

### Business Background:

Mr. Holmes is the President, Director, and Chief Compliance Officer of Holmes Investment Management, Inc. (f/k/a Holmes, Howard Joseph, CFA), from 06/1999 to present.

He was a Senior Investment Analyst at Sun Life of Canada, from 09/1997 to 12/1998, and a Regional Finance Manager / Controller of Allied Domecq Retailing USA (Dunkin Donuts and Baskin Robbins), from 01/1990 to 09/1997.

## **Item 3. Disciplinary Information**

Mr. Holmes has no history of any disciplinary events.

## **Item 4. Other Business Activities**

Mr. Holmes is not engaged in any other business or occupation.

## **Item 5. Additional Compensation**

Mr. Holmes does not receive any additional compensation from third parties for providing investment advice to its clients and does not compensate anyone for client referrals.

## **Item 6. Supervision**

Since Mr. Holmes is the sole owner and President of Holmes Investment Management, Inc., he is solely responsible for all supervision and formulation and monitoring of

investment advice offered to clients. Mr. Holmes reviews and oversees all material investment policy changes and conducts periodic testing to ensure that client objectives and mandates are being met. Mr. Holmes can be reached at (617) 413-5684.

**Item 7. Requirements for State-Registered Advisers**

Mr. Holmes has no history of any disciplinary events.

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**Guy A. Tomase, CFP<sup>®</sup>, CRPC<sup>®</sup>, CMFC<sup>®</sup>**

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

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

Guy A. Tomase

Year of Birth: 1978

### Education

Bachelor of Science in Finance & Accounting, Bridgewater State University, 2001

### Professional Designations

#### **CERTIFIED FINANCIAL PLANNER™ (CFP®) – (2021)**

The CERTIFIED FINANCIAL PLANNER™ (CFP®) program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.

#### **Chartered Retirement Planning Counselor<sup>SM</sup> or CRPC® - (2006)**

The CRPC® professional designation is awarded by the College for Financial Planning. Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

#### **Chartered Mutual Fund Counselor<sup>SM</sup> or CMFC® - (2006)**

The CMFC designation is awarded by the College for Financial Planning. Individuals must successfully pass the course's single final, closed-book examination. The CMFC program is a self-study course providing insight into effective use of mutual funds. Designees must be complete 16 hours of continuing education every two years.

### Business Background

Investment Adviser Representative, Holmes Investment Management, Inc., 10/2018 – Present

Financial Planner, Fieldstone Financial Management Group, LLC, 04/2017 – 05/2018

Licensed Assistant, Commonwealth Financial Network, 06/2010 – 04/2017

Licensed Assistant, Oak Leaf Wealth Management/Fraga Wealth Management Group,  
03/2010 – 04/2017

**Item 3. Disciplinary Information**

Guy Tomase has no history of any disciplinary events.

**Item 4. Other Business Activities**

Guy Tomase is not engaged in any other business or occupation.

**Item 5. Additional Compensation**

Guy Tomase does not receive any additional compensation from third parties for providing investment advice to clients and does not compensate anyone for client referrals.

**Item 6. Supervision**

Howard Holmes is responsible for all supervision and formulation and monitoring of investment advice offered to clients by Guy Tomase. Howard Holmes reviews and oversees all material investment policy changes and conducts periodic testing to ensure that client objectives and mandates are being met. Howard Holmes can be reached at (617) 413-5684.

**Item 7. Requirements for State-Registered Advisers**

Guy Tomase has no history of any disciplinary events.