

**ITEM 1: COVER PAGE FOR PART 2B OF FORM ADV:  
BROCHURE SUPPLEMENT  
March 2021**

**EMMANUEL TSANTES**

**ARIES INVESTMENT ADVISORS, LLC  
1225 FRANKLIN AVE SUITE 325  
GARDEN CITY, NY 11530**

**FIRM CONTACT:  
EMMANUEL TSANTES  
MANAGING MEMBER & CHIEF COMPLIANCE OFFICER**

**FIRM'S WEBSITE:  
[WWW.ARIESADVISORS.COM](http://WWW.ARIESADVISORS.COM)**

**This brochure supplement provides information about Emmanuel Tsantes that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Tsantes if you did not receive Aries Investment Advisors, LLC's brochure or if you have any questions about the contents of this supplement.**

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

## Item 2: Educational Background & Business Experience

**Emmanuel Tsantes, CFA®**

Born 1968

### Business Experience

- 2009 – Present Aries Investment Advisors, LLC; Managing Member & CCO
- 2007 – Present Investopedia.com, Financial Contributing Writer
- 2007 – 2009 Mariner LLC, Administrative Office Support, Member
- 2002 – 2009 Raymond James Financial Services, Inc.

### Education, Professional Licensing & Exams

- 1990: St. John's University BA- History
- 1992: St. John's University MA- International Relations
- 1993: Series 7 Exam
- 1994: Series 63 Exam
- 2001: Series 65 Exam
- 2004: Series 24 Exam
- 2005: Chartered Financial Analyst, (CFA®)

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 160,000 CFA charterholders working in 135 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive & Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events material to your evaluation of Mr. Tsantes.

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

Mr. Tsantes may contribute to financial newsletters offered through Investopedia.com to which clients may subscribe. This other business activity consists of less than 1% of the Mr. Tsantes' time.

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

We have nothing to disclose in this regard.

### **Item 6: Supervision**

Mr. Tsantes is the sole principal and Chief Compliance Officer and as such has no internal compliance supervision placed over him. He is however bound by our firm's Code of Ethics and the CFA Institute's Code of Ethics and Standards for Professional Conduct.

### **Item 7: Requirements for State-Registered Advisers**

Mr. Tsantes has not been found liable in an arbitration claim alleging damages in excess of \$2,500, nor has he been found liable in a civil, self-regulatory organization, or administrative proceeding.

Mr. Tsantes has not been the subject of a bankruptcy petition.