

Firm Brochure

(Part 2A of Form ADV)

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This brochure provides information about the qualifications and business practices of Quantum Capital Investments. Being registered as a registered investment advisor does not imply a certain level of skill or training. If you have any questions about the contents of this brochure, please contact us at: 708-267-0627, or by email at: quantum@quantumcapitalinvestments.com. 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 Quantum Capital Investments is available on the SEC's website at www.adviserinfo.sec.gov

Item 2: Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually or when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update

There are no material changes in this brochure from the last annual updating amendment of Quantum Capital Investments on October 23, 2020. Material changes relate to Quantum Capital Investments's policies, practices or conflicts of interests only.

Full Brochure Available

This Firm Brochure being delivered is the complete brochure for the Firm.

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Item 4: Advisory Business

Firm Description

Quantum Holdings Inc. dba Quantum Capital Investments, (“Quantum”) was founded in 2004. John Henek is 100% owner.

Quantum provides personalized confidential financial planning and portfolio management to individuals, pension and profit sharing plans, trusts, estates, charitable organizations and small businesses. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate planning.

Quantum is a fee based financial planning and portfolio management firm. The firm does not sell annuities, insurance, stocks, bonds, mutual funds, limited partnerships, or other products for a commission. The firm does not sell stocks, bonds, or mutual funds, but is affiliated with entities that sell these financial products.

Quantum does not act as a custodian of client assets. The client always maintains asset control. Quantum places trades for clients under a limited power of attorney.

An evaluation of each client's initial situation is provided to the client, often in the form of a net worth statement or risk analysis. Periodic reviews are also communicated to provide reminders of the specific courses of action that need to be taken. More frequent reviews occur but are not necessarily communicated to the client unless immediate changes are recommended.

Other professionals (e.g., lawyers, accountants, insurance agents, etc.) are engaged directly by the client on an as-needed basis. Conflicts of interest will be disclosed to the client in the unlikely event they should occur.

Types of Advisory Services

Quantum provides investment supervisory services, also known as asset management services and furnishes financial planning and investment advice through consultations.

On more than an occasional basis, Quantum furnishes advice to clients on matters not involving securities, such as taxation issues and trust services that often include estate planning.

ASSET MANAGEMENT

Quantum offers discretionary direct asset management services to advisory clients. Quantum will offer clients ongoing portfolio management services through determining individual investment goals, time horizons, objectives, and risk tolerance. Investment strategies, investment selection, asset allocation, portfolio monitoring and the overall investment program will be based on the above factors. The client will authorize Quantum discretionary authority to execute selected investment program transactions as stated within the Investment Advisory Agreement.

FINANCIAL PLANNING AND CONSULTING

If financial planning services are applicable, the client may choose to compensate Quantum on a negotiable fixed fee basis described in detail under “Fees and Compensation” section of this brochure. Financial plans will be completed and delivered inside of ninety (90) days. Clients may terminate advisory services with thirty (30) days written notice.

Quantum Capital’s Comprehensive Financial Plan includes the following:

1. Profile questionnaire of current investment experience and risk tolerance levels
2. Life insurance review and health insurance review
3. Collection and assessment of all financial related information
4. Identification of financial goals and objectives
5. Identification of financial problems and formulation of solutions
6. Preparation of a financial plan in the form of a specific written recommendation
7. Implementation of recommendations
8. Periodic review and update

The comprehensive financial plan retainer accomplishes these items through a series of meetings with the client. At these meetings the following topics are reviewed: Tax planning, retirement planning, educational planning, portfolio analysis, asset allocation strategies, risk management planning, goal setting, inventory of client assets, budgeting and cash flow, record keeping, analysis of financial goals and needs, recommended investments, analysis of employee benefits and estate planning. This series of meetings usually takes three to four months to complete. Tax preparation, annual portfolio review, assistance with plan implementation, and a year-end goal setting meeting are accomplished on an ongoing basis after the basic plan (items 1 through 6 above) has been completed. Contact by email, phone and additional meetings at client request are available free of charge throughout the year.

Client Tailored Services and Client Imposed Restrictions

The goals and objectives for each client are documented in our client files. Investment strategies are created that reflect the stated goals and objective. Clients may impose restrictions on investing in certain securities or types of securities.

Agreements may not be assigned without client consent.

Wrap Fee Programs

Quantum does not participate in wrap fee programs.

Client Assets under Management

As of December 31st 2022, Quantum manages approximately \$95MM on a discretionary basis.

Item 5: Fees and Compensation

Method of Compensation and Fee Schedule

Quantum bases its fees on a percentage of assets under management, performance-based fees, fixed fees (not including subscription fees) and solicitor fees.

ASSET MANAGEMENT

Quantum offers discretionary direct asset management services to advisory clients. Quantum will offer clients ongoing portfolio management services through determining individual investment goals, time horizons, objectives, and risk tolerance. Investment strategies, investment selection, asset allocation, portfolio monitoring and the overall investment program will be based on the above factors. The client will authorize Quantum discretionary authority to execute selected investment program transactions as stated within the Investment Advisory Agreement.

Fees for these services will be based on a percentage of Assets Under Management as follows:

Assets Under Management	Annual Fee	Monthly Fee
Up to \$250,000	1.50%	.125%
Above \$250,000	1.25%	.104%

The annual Fee may be negotiable. Accounts within the same household may be combined for a reduced fee. Fees are billed monthly in arrears based on the amount of assets managed as of the close of business on the last business day of each month. Monthly advisory fees deducted from the clients' account by the custodian will be reflected in a provided fee invoice as fees are withdrawn. Lower fees for comparable services may be available from other sources. An advisory client has a right to terminate the contract without penalty within five (5) business days after entering into the contract. Clients may terminate advisory services with 30 days written notice. Quantum will be entitled to a pro rata fee for the days service was provided in the final quarter. Client shall be given thirty (30) days prior written notice of any increase in fees.

PERFORMANCE-BASED FEES

Quantum may receive performance-based fees from qualified clients as described in Item 6 Performance-Based Fees and Side-by-Side Management.

FINANCIAL PLANNING

Fees for a Comprehensive Financial Plan Retainer are calculated using a base fee and a formula that takes into account the client's marital/partnership status, income, and net worth. The minimum fee for a comprehensive financial plan is \$500.00. Typical fees for a comprehensive financial plan are \$900 to \$7,000 depending on complexity. Quantum reserves the right to lower the fees for any financial plans.

The **base fee** is determined by the client's marital/partnership status. The based fees are:

- Single \$500
- Married/Partnered \$750

The client's **income** is also a part of the formula and is based on gross income, investment income, business gross profits, retirement income, and partnership income. The income fee is 1% of the client's total income.

The **net worth** component of the formula is based on the total net worth of the client. It is determined as follows:

Total Net Worth (range)	Fee
\$0 - \$50,000	\$100
\$50,001 - \$100,000	\$500
\$100,001 - \$250,000	\$1,000
\$250,001 - \$500,000	\$1,500
\$500,001 - \$750,000	\$2,000
Greater than \$750,001	\$2,500

An example:

A married couple with a combined income of \$150,000 and with a total net worth of \$750,000 would pay a fee of \$4,250 for their comprehensive financial plan.

A single female with an income of \$75,000 and with a total net worth of \$95,000 would pay Quantum a fee of \$2,250 for her comprehensive financial plan.

Client Payment of Fees

Investment management fees are billed monthly in arrears, meaning that we invoice you after the first month billing period has ended. Payment in full is expected upon invoice presentation. Fees are usually deducted from a designated client account to facilitate billing. The client must consent in advance to direct debiting of their investment account. An advisory client has a right to terminate the contract without penalty within five (5) business days after entering into the contract. Quantum will be entitled to a pro rata fee for the days service was provided in the final quarter.

Fees for financial plans are due upon delivery of the financial plan.

Additional Client Fees Charged

Custodians may charge transaction fees on purchases or sales of certain mutual funds and exchange-traded funds. These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security.

Quantum, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee based upon certain criteria (e.g., historical relationship, type of

assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

Prepayment of Client Fees

Quantum does not bill client in advance.

External Compensation for the Sale of Securities to Clients

Quantum does not receive any external compensation for the sale of securities to clients, nor do any of the investment advisor representatives of Quantum.

Item 6: Performance-Based Fees and Side-by-Side Management

Sharing of Capital Gains

Under the Advisers Act of 1940 Rule 205-3, Quantum can only charge performance-based fees to “Qualified Clients”. A qualified client is defined as a natural person who or company that has at least \$1,000,000 in assets under management with Quantum and has a net worth greater than \$2,000,000 (excluding the value of the natural person’s primary residence and the amount of debt securing such property).

The Performance-Based Fees are based on a share of the capital gains or capital appreciation of managed securities. Quantum would be entitled to 20% of all returns that exceed or outperform a high water mark. The high water mark (the highest net asset value previously) is set at 5%. The client will be charged the performance-base fee each time the account exceed the high water mark by 5%. The fee will be deducted from the client’s account.

The use of a performance-based fee structure creates a conflict of interest because it creates an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client. This conflict is mitigated by the fact that Quantum and its IARs have a fiduciary responsibility to place the best interest of the client first.

Currently we have no clients in a Performance-Based Fee program

Item 7: Types of Clients

Description

Quantum generally provides investment advice to individuals, high net worth individuals, pension and profit sharing plans, trusts, estates, or charitable organizations, corporations or business entities.

Client relationships vary in scope and length of service.

Account Minimums

Quantum does not require a minimum to open an account.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis and Investment Strategies

Security analysis methods may include fundamental analysis, technical analysis, and cyclical analysis. Investing in securities involves risk of loss that clients should be prepared to bear.

The main sources of information include purchase of historical market and financial data, financial newspapers and magazines, research materials prepared by others, corporate rating services, annual reports, prospectuses, and filings with the Securities and Exchange Commission.

Investment Strategy and Method of Analysis Material Risks

The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time. Each client executes an Investment Policy Statement or Risk Tolerance that documents their objectives and their desired investment strategy.

Other strategies may include long-term purchases, short-term purchases, trading, and option writing (including covered options, uncovered options or spreading strategies).

Security Specific Material Risks

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- *Interest-rate Risk:* Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- *Market Risk:* The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- *Inflation Risk:* When any type of inflation is present, a dollar today will buy more than a dollar next year, because purchasing power is eroding at the rate of inflation.
- *Currency Risk:* Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- *Reinvestment Risk:* This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.

- *Business Risk:* These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- *Liquidity Risk:* Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- *Financial Risk:* Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Item 9: Disciplinary Information

Criminal or Civil Actions

The firm and its management have not been involved in any criminal or civil action.

Administrative Enforcement Proceedings

The firm and its management have not been involved in administrative enforcement proceedings.

Self Regulatory Organization Enforcement Proceedings

The firm and its management have not been involved in legal or disciplinary events related to past or present investment clients.

Item 10: Other Financial Industry Activities and Affiliations

Broker-Dealer or Representative Registration

No employees of Quantum are currently registered with a broker-dealer.

Futures or Commodity Registration

Neither Quantum nor its employees are registered or has an application pending to register as a futures commission merchant, commodity pool operator, or a commodity trading advisor.

Material Relationships Maintained by this Advisory Business and Conflicts of Interest

Quantum also provides tax planning, accounting, bookkeeping and tax preparation services. These services may be offered to advisory clients. This creates a conflict of interest. This conflict is mitigated by the fact that Quantum has a fiduciary duty to act in the best interest of clients at all times and all affiliates of Quantum will act accordingly.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics Description

The employees of Quantum have committed to a Code of Ethics. The purpose of our Code of Ethics is to ensure that when employees buy or sell securities for their personal account, they do not create actual or potential conflict with our clients. We do not allow any employees to use non-public material information for their personal profit or to use internal research for their personal benefit in conflict with the benefit to our clients.

Quantum's policy prohibits any person from acting upon or otherwise misusing non-public or inside information. No advisory representative or other employee, officer or director of Quantum may recommend any transaction in a security or its derivative to advisory clients or engage in personal securities transactions for a security or its derivatives if the advisory representative possesses material, non-public information regarding the security.

Quantum's Code of Ethics is based on the guiding principle that the interests of the client are our top priority. Quantum's officers, directors, advisors, and other employees have a fiduciary duty to our clients and must diligently perform that duty to maintain the complete trust and confidence of our clients. When the potential for conflict arises, it is our obligation to put the client's interests over the interests of either employees or the company.

The Code of Ethics applies to "access" persons. "Access" persons are employees who have access to non-public information regarding any clients' purchase or sale of securities, or non-public information regarding the portfolio holdings of any reportable fund, who are involved in making securities recommendations to clients, or who have access to such recommendations that are non-public

The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

Investment Recommendations Involving a Material Financial Interest and Conflict of Interest

Quantum and its employees do not recommend to clients securities in which we have a material financial interest.

Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

Quantum and its employees may buy or sell securities that are also held by clients. In order to avoid potential conflicts of interest such as front running, employees are required to disclose all reportable securities transactions as well as provide SFS with copies of their brokerage statements.

The Chief Compliance Officer of Quantum is John Henek. He reviews all employee trades each quarter. The personal trading reviews ensure that the personal trading of employees does not affect the markets and that clients of the firm receive preferential

treatment. Since most employee trades are in products such as mutual funds, government securities, bonds or are small in size, they do not impact the securities markets.

Client Securities Recommendations or Trades and Concurrent Advisory Firm Securities Transactions and Conflicts of Interest

Quantum does not maintain a firm proprietary trading account and does not have a material financial interest in any securities being recommended and therefore no conflicts of interest exist.

Item 12: Brokerage Practices

Factors Used to Select Broker-Dealers for Client Transactions

Quantum may recommend the use of a particular broker-dealer or may utilize a broker-dealer of the client's choosing. Quantum will only refer clients to broker/dealer who are registered in the state in which the client resides. Quantum will select appropriate brokers based on a number of factors including but not limited to their relatively low transaction fees and reporting ability. Quantum relies on its broker to provide its execution services at the best prices available. Lower fees for comparable services may be available from other sources. Clients pay for any and all custodial fees in addition to the advisory fee charged by Quantum.

- *Directed Brokerage*
In circumstances where a client directs Quantum to use a certain broker-dealer, Quantum still has a fiduciary duty to its clients. The following may apply with Directed Brokerage: Quantum's inability to negotiate commissions, to obtain volume discounts, there may be a disparity in commission charges among clients, and potential conflicts of interests arising from brokerage firm referrals.
- *Best Execution*
Investment advisors who manage or supervise client portfolios on a discretionary basis have a fiduciary obligation of best execution. The determination of what may constitute best execution and price in the execution of a securities transaction by a broker involves a number of considerations and is subjective. Factors affecting brokerage selection include the overall direct net economic result to the portfolios, the efficiency with which the transaction is effected, the ability to effect the transaction where a large block is involved, the operational facilities of the broker-dealer, the value of an ongoing relationship with such broker and the financial strength and stability of the broker. The firm does not receive any portion of the trading fees.
- *Soft Dollar Arrangements*
Quantum utilizes the services of custodial broker dealers. Economic benefits are received by Quantum which would not be received if Quantum did not give investment advice to clients. These benefits include: A dedicated trading desk, a dedicated service group and an account services manager dedicated to Quantum's

accounts, ability to conduct "block" client trades, electronic download of trades, balances and positions, duplicate and batched client statements, and the ability to have advisory fees directly deducted from client accounts.

Aggregating Securities Transactions for Client Accounts

Quantum is authorized in its discretion to aggregate purchases and sales and other transactions made for the account with purchases and sales and transactions in the same securities for other Clients of Quantum. All clients participating in the aggregated order shall receive an average share price with all other transaction costs shared on a pro-rated basis.

Item 13: Review of Accounts

Schedule for Periodic Review of Client Accounts or Financial Plans and Advisory Persons Involved

Account reviews are performed quarterly by John Henek Chief Compliance Officer. Account reviews are performed more frequently when market conditions dictate. Financial Plans are considered complete when recommendations are delivered to the client and a review is done only upon request of client.

Review of Client Accounts on Non-Periodic Basis

Other conditions that may trigger a review of client's accounts are changes in the tax laws, new investment information, and changes in a client's own situation.

Content of Client Provided Reports and Frequency

Clients receive account statements no less than quarterly for managed accounts. Account reports are issued by the Advisor's custodian. Client receives confirmations of each transaction in account from Custodian and an additional statement during any month in which a transaction occurs.

Item 14: Client Referrals and Other Compensation

Economic benefits Provided to the Advisory Firm from External Sources and Conflicts of Interest

Quantum does not receive economic benefits from external sources.

Advisory Firm Payments for Client Referrals

Quantum does not compensate for client referrals.

Item 15: Custody

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to clients at their address of record at least quarterly. Clients are urged to compare the account statements received directly from their custodians to the performance report statements prepared by Quantum.

Item 16: Investment Discretion

Discretionary Authority for Trading

Quantum accepts discretionary authority to manage securities accounts on behalf of clients. Quantum has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold. However, Quantum consults with the client prior to each trade to obtain concurrence if a blanket trading authorization has not been given.

The client approves the custodian to be used and the commission rates paid to the custodian. Quantum does not receive any portion of the transaction fees or commissions paid by the client to the custodian on certain trades.

Discretionary trading authority facilitates placing trades in your accounts on your behalf so that we may promptly implement the investment policy that you have approved in writing.

Any trade errors resulting in a loss to the client are to be paid back to the client account by Quantum. Trade errors resulting in a positive impact on a client account will be distributed to the firm. The positive errors will be offset by any negative errors and any net positive are sent to the firm by the custodian.

Item 17: Voting Client Securities

Proxy Votes

Quantum does not vote proxies on securities. Clients are expected to vote their own proxies. The client will receive their proxies directly from the custodian of their account or from a transfer agent.

Item 18: Financial Information

Balance Sheet

A balance sheet is not required to be provided because Quantum does not serve as a custodian for client funds or securities and Quantum does not require prepayment of fees of more than \$500 per client and six months or more in advance.

Financial Conditions Reasonably Likely to Impair Advisory Firm's Ability to Meet Commitments to Clients

Quantum has no condition that is reasonably likely to impair our ability to meet contractual commitments to our clients.

Bankruptcy Petitions during the Past Ten Years

Neither Quantum nor its management has had any bankruptcy petitions in the last ten years.

Item 19: Requirements for State Registered Advisors

Education and business background, including any outside business activities for all management and supervised persons can be found in the Supplement to this Brochure (Part 2B of Form ADV Part 2).

Material Relationship Maintained by this Advisory Business or Management persons with Issuers of Securities

None to report.

Supervised Person Brochure

Part 2B of Form ADV

John Fitzgerald Henek

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This brochure supplement provides information about John Henek that supplements the Quantum Capital Investments' brochure. You should have received a copy of that brochure. Please contact John Henek if you did not receive Quantum Capital Investments' brochure or if you have any questions about the contents of this supplement.

Additional information about John henek is available on the SEC's website at www.adviserinfo.sec.gov.

Brochure Supplement (Part 2B of Form ADV)

Item 2 Education and Business Standards

John Fitzgerald Henek

Educational Background:

- Date of birth: 1966
- University of Illinois – Bachelor of Science in Liberal Arts and Science – 1988
- University of Illinois – Masters in Labor & Industrial Relations – 1989

Business Experience:

- Quantum Holdings Inc. dba Quantum Capital Investments – Vice President of Investments/Investment Advisor Representative – April 2010 - Present
- JP Properties – President – January 2004 – July 2017
- Online Trading Academy – President – October 2006 – April 2010
- Thomson NETg – Senior Sales Manager – January 1995 – October 2006
- AIF Accredited Investment Fiduciary Certification – July 2019

Item 3 Disciplinary Information

None to report

Item 4 Other Business Activities

Item 5 Additional Compensation

None

Item 6 Supervision

Mr. Henek is the sole owner, Compliance Officer and investment adviser representative for Quantum Capital Investments. He is solely responsible for all supervision, formulation and monitoring of investment advice offered to clients.

Item 7 Requirements for State-Registered Advisors

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None