

Item 1

**Uhlmann Investment Management, L.L.C.**  
**141 West Jackson Blvd**  
**Suite 1340A**  
**Chicago, IL 60604**  
**312-264-4400**

**BROCHURE SUPPLEMENT**  
**FOR**  
**MICHAEL DILLON**  
**Registered Investment Advisor**  
**Securities and Exchange Commission**  
**Form ADV Part 2B**  
**Dated April 6, 2018**

This brochure supplement provides information about Michael Dillon that supplements the Uhlmann Investment Management, L.L.C. brochure. You should have received a copy of that brochure. Please contact James Baer or Alan Konn, at the number above if you did not receive Uhlmann Investment Management, L.L.C.'s brochure or if you have any questions about the contents of this supplement. Registration does not imply a certain level of skill or training. Additional information about Michael Dillon is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



## **Michael Dillon**

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YOB: 1966

Education: University of Illinois

Business Background:

- |   |                    |
|---|--------------------|
| • Uhlmann Investment Management, L.L.C, RIA           | 2011 - Present     |
| • Uhlmann Price Securities, LLC, FA/Branch Manager    | 2011 - Present     |
| • Wells Fargo Advisors FA                             | 10/2008 to 12/2011 |
| • AG Edwards FC                                       | 6/2001 to 10/2008  |
| • David A. Noyes & Co., Principal & Insurance Manager | 1993 to 6/2001     |
| • Skokie Federal Savings/Invest Corp.                 | 1988-1993          |

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Disciplinary Information – Mr. Dillon has no disciplinary information to report.

Item 4

Outside Business Activities – Mr. Dillon is a FINRA registered representative with Uhlmann Price Securities LLC.

Item 5

Additional Compensation – Mr. Dillon has no additional compensation to report.

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James Baer and Alan Konn, designated principals of UIM supervise Mr. Dillon by holding regular compliance meetings, reviewing client reports, emails and daily trading as well as the employee's personal securities transactions and portfolio reports. Mr. Baer can be reached at 312-264-4343; Mr. Konn at 312-264-4340.

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Mr. Dillon has never been involved in/with, or been accused nor found liable for any of the following:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

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