

**Item 1 Cover Page**

**FORM ADV Part 2B.**

**Nathaniel S. Prentice**

Prentice Investment Management, LLC

848 Route 9D

Garrison, New York 10524

Telephone (845) 661-8937

August 2, 2018

This Brochure Supplement provides information about Nathaniel S. Prentice that supplements the Prentice Investment Management, LLC Brochure. You should have received a copy of that Brochure. Please contact Nathaniel Prentice at [natprentice@mac.com](mailto:natprentice@mac.com) if you did not receive Prentice Investment Management, LLC's Brochure or if you have any questions about the contents of this supplement.

## Item 2 Educational Background and Business Experience

Nathaniel S. Prentice, 70 years old, BA degree in Government from Trinity College, Hartford, CT 1969. Investment Adviser Representative, Altium Wealth Management from June 2012 to the present. Mr. Prentice's previous business background includes 5 years with Morgan Guaranty Trust Company (September 1969 to December 1974), 24 years with Alex. Brown & Sons, Inc. (January 1975 to February 1999) and 5 years with UBS Financial Services Inc. (February 1999 to November 2004). He worked for Matrix USA, LLC, MTB Investment Advisers and Oppenheimer & Co. from November 2004 to June 2012.

Mr. Prentice holds the following professional designations:

**Chartered Financial Analyst (CFA) Charter #6263 awarded in 1981.** The CFA Program is a professional credential offered internationally by the American-based [CFA Institute](#) (formerly the Association for Investment Management and Research, or AIMR) to investment and financial professionals. The program covers a broad range of topics relating to [investment management](#), [financial analysis](#), [stocks](#), [bonds](#) and [derivatives](#), and provides a generalist knowledge of [other areas of finance](#). A candidate who successfully completes the program and meets other professional requirements is awarded the "CFA Charter" and becomes a "CFA Charterholder". Successful candidates take an average of four years to earn their CFA charter. According to the CFA Institute, fewer than 20% of candidates who begin the program receive the CFA Charter.

**Chartered Advisor in Philanthropy (CAP) awarded 2015.** The advisor earning the CAP® designation has taken three courses in philanthropy covering various impacts of planning for family wealth, charitable giving, and gift planning for non-profits. The courses are offered through the Irwin Graduate School of The American College. Requires three graduate-level courses: *Planning for Impact in the Context of Family Wealth*; *Charitable Strategies*; and *Gift Planning in a Nonprofit Context*.

## Item 3 Disciplinary Information

There are no reportable legal or disciplinary events for Nathaniel S. Prentice.

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

Nathaniel S. Prentice is the CEO, sole owner and only employee of Prentice Investment Management, LLC. In this capacity, he receives fee income for providing investment advisory services as described in Prentice Investment Management, LLC's Brochure. He is not engaged in any other business or occupation for compensation. Mr. Prentice is an investor in a seed capital fund called the Hudson Valley Startup Fund. This fund invests in early stage private companies. Mr. Prentice neither recommends that the clients of Prentice Investment Management, LLC invest in this fund nor invest in any of companies invested in by the fund. Mr. Prentice believes that this Other Employment Activity does not create a material conflict of interest with the clients of Prentice Investment Management, LLC.

Mr. Prentice's non-investment related Outside Employment Activities are as follows:

Commissioner, Garrison Fire District, Garrison, NY  
Board Member, Hudson Valley Shakespeare Festival, Garrison, NY  
Board Member, Community Foundations of the Hudson Valley, Poughkeepsie, NY  
Board Member, Cold Spring Area Chamber of Commerce, Cold Spring, NY  
Board Member, Putnam County Chamber of Commerce, Mahopac, NY  
Board Member, Stonecrop Gardens, Cold Spring, NY  
Member, Comprehensive Plan Update Committee, Town of Philipstown, NY  
Graduate Success Mentor, San Miguel Academy, Newburgh, NY

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

No non-clients provide any economic benefit to Mr. Prentice for providing advisory services.

#### **Item 6 Supervision**

All supervised employees or associated persons are supervised by the CEO, Nathaniel Prentice. Mr. Prentice's telephone number is 845-661-8937