

RATIONAL  
INVESTMENT  
MANAGEMENT

*This brochure supplement provides information about Brian C. Proses that supplements the Rational Investment Management, LLC brochure. You should have received a copy of that brochure. Please contact Daniel Soulis Sinton, Manager, if you did not receive Rational Investment Management, LLC's brochure or if you have any questions about the contents of this supplement.*

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

# **Rational Investment Management, LLC**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Brian C. Proses**

Personal CRD Number: 6388165

Investment Adviser Representative

Rational Investment Management, LLC  
1700 California St, Suite 330  
San Francisco, California, 94109  
(415) 379-0749  
[www.rationalim.com](http://www.rationalim.com)

UPDATED: 03/20/2019

## Item 2: Educational Background and Business Experience

**Name:** Brian C. Proses **Born:** 1976

### Education Background and Professional Designations:

#### Education:

BS Accounting, University of San Francisco – 1998  
MS Taxation, Golden Gate University – 2001  
MS Financial Planning, Golden Gate University – 2009  
Certified Public Accountant (CPA)  
CERTIFIED FINANCIAL PLANNER™ (CFP®)

#### Business Background:

08/2014 – Present	Manager Rational Investment Management, LLC, a San Francisco, CA-based investment adviser
10/2002– Present	Certified Public Accountant Charles W. Proses, a San-Francisco, CA-based accountancy corporation

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

## Item 4: Other Business Activities

The principal business of Brian C. Proses is the practice of accountancy as a certified public accountant with Charles W. Proses, an accountancy corporation ("CWP"). This other business activity provides a substantial source of his income and involves a substantial amount of his time. This activity may present a conflict of interest by limiting the amount of time that he has available for his duties on behalf of Rational Investment Management, LLC ("RIM"). RIM does not believe this conflict of interest is material, however, given the nature of Brian C. Proses' activities on RIM's

behalf. RIM addresses any conflict of interest through periodic reviews by RIM's other manager, Daniel Soulis Sinton.

Certain clients of RIM may also be, but are under no obligation to be, clients of CWP. Those clients have separate agreements with CWP, and pay separate fees to CWP for accounting services. RIM does not provide accounting services and is not licensed by the California Board of Accountancy.

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

Other than salary and a profits interest (as a member), Brian C. Proses does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through RIM.

### **Item 6: Supervision**

Daniel Soulis Sinton, RIM's manager, whose telephone number is 415-379-0749, supervises RIM's supervised persons by monitoring their compliance with RIM's Statement of Policies and Procedures, including its Code of Ethics. Daniel Soulis Sinton monitors the securities transactions that each supervised person enters into on behalf of clients generally using the review process described in Item 13 of RIM's Brochure.

### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by California securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Brian C. Proses has **NOT** been involved in any of the events listed below.

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.

B. Brian C. Proses has **NOT** been the subject of a bankruptcy petition at any time.