

Item 1

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

**BROCHURE SUPPLEMENT  
FOR  
ALAN KONN  
Registered Investment Advisor  
Securities and Exchange Commission  
Form ADV Part 2B  
Dated May 7, 2018**

This brochure supplement provides information about Alan Konn 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 Alan Konn is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



## **Alan Konn**

Item 2

YOB: 1959

Education: UCLA, M.B.A

Hamlin University, B.A. Psychology

Business Background:

- |  |                   |
|--|-------------------|
| • Uhlmann Investment Management, LLC, EVP        | 08/2007 - Present |
| • Uhlmann Price Securities, LLC, EVP             | 04/2003 - Present |
| • William Blair & Co., LLC, Investment Executive | 06/1985 - 04/2003 |

Item 3

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

Item 4

Outside Business Activities – Mr. Konn is a principal with Price Asset Management LLC, an SEC registered investment advisor that manages a 40-Act mutual fund and private placement funds. He is a FINRA registered representative of Uhlmann Price Securities LLC, a full-service broker/dealer. Alan is also a non-compensated board member of Mereo 4 Holdings, an aircraft maintenance firm and of Hamlet's House LLC, a children's theatre company.

Item 5

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

Item 6

James Baer, a designated principal of UIM supervises Mr. Konn 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.

Item 7

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