

Item 1

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

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

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



## **John Fichera**

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YOB: 1966

Education: Drake University

### **Business Background:**

- |  |                   |
|--|-------------------|
| • Uhlmann Investment Management, L.L.C., RIA           | 09/2013 – Present |
| • Uhlmann Price Securities, LLC, Financial Consultant  | 09/2013 – Present |
| • Kingsbury Capital, LLC, Managing Director            | 11/2010 – 09/2013 |
| • Brewer Financial Services, LLC, Financial Consultant | 08/2008 – 10/2010 |
| • Ameriprise Financial Services, Financial Consultant  | 09/2000 – 08/2008 |

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

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Outside Business Activities – Mr. Fichera is an advisor to Advanced Transaction Solutions, Inc. (ATS) as of August, 2017. ATS is a transaction based business process that offer an array of product venues. Kiosk software development from stand-alone custom design, to full kiosk processing and integration and transaction processing management. He is a FINRA registered representative with Uhlmann Price Securities L.L.C.

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

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James Baer and Alan Konn, designated principals of UIM supervise Mr. Fichera 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. Fichera 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. Fichera has not been the subject of a bankruptcy petition.