

Item 1

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

**BROCHURE SUPPLEMENT**  
**FOR**  
**KIRK E. RASCHER**  
**Registered Investment Advisor**  
**Securities and Exchange Commission**  
**Form ADV Part 2B**  
**Dated May 7, 2018**

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



**Kirk E. Rascher**

Item 2  
YOB: 1965

Education: Babson College, Wellesley, MA – BS Finance & Communications  
National Graduate Trust School at Northwestern University – Graduate

Designations: Chartered Financial Analyst® (CFA®), Charter No.54497  
Certified Financial Planner™(CFP®), Certificate No. 84989  
Certified Trust & Financial Advisor (CFTA), Member No. 82828

Business Background:

- |  |                |
|--|----------------|
| • Uhlmann Investment Management, L.L.C., Registered Investment Advisor | 2018 – Present |
| • Uhlmann Price Securities, L.L.C., Executive Vice President           | 2018 – Present |
| • Rothschild Investment Corporation, Vice President                    | 2008 – 2018    |
| • Midwest Bank & Trust Company, Sr. VP & Trust Division Manager        | 2006 – 2008    |
| • Midwest Financial & Investment Services, Registered Representative   | 2006 – 2008    |

Item 3

Disciplinary Information – In February 2003, while in the employ of Royal American Investment Services, Inc., advisor Kirk Rascher permitted another employee of the firm to perform duties as a general securities representative while that individual's registration status was inactive. The employee failed to complete the regulatory element of FINRA's continuing education rule before his appointed deadline. Mr. Rascher consented to the sanctions and findings; therefore, was fined \$5,500 jointly and severally.

Item 4

Outside Business Activities – Mr. Rascher is a FINRA registered representative with Uhlmann Price Securities L.L.C.

Item 5

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

Item 6

James Baer and Alan Konn, designated principals of UIM supervise Mr. Rascher 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.

Item 7

See Item 3 for Disciplinary disclosure.  
Mr. Rascher has not been the subject of a bankruptcy petition.