

Item 1

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

**BROCHURE SUPPLEMENT**  
**FOR**  
**JAMES KOZAK**  
**Registered Investment Advisor**  
**Securities and Exchange Commission**  
**Form ADV Part 2B**  
**Dated April 6, 2018**

This brochure supplement provides information about James Kozak that supplements the Uhlmann Investment Management, L.L.C. brochure. You should have received a copy of that brochure. Please contact Denise Poling, 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 James Kozak is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



**James Kozak**

Item 2

YOB: 1970

Education: Ripon College, BA Business Management

Business Background:

- |  |                   |
|--|-------------------|
| • Uhlmann Investment Management, L.L.C., RIA           | 11/2017 – Present |
| • Robertson Stephens Advisors, LLC, Managing Director  | 09/2015 – 10/2017 |
| • Robertson Stephens Securities LLC, Managing Director | 09/2015 – 10/2017 |
| • Roth Capital Partners LLC, Managing Director         | 01/2013 – 09/2015 |
| • Advanced Equities, Inc, Managing Director            | 06/2005 – 11/2012 |

Item 3

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

Item 4

Outside Business Activities – Mr. Kozak is a FINRA registered representative with Uhlmann Price Securities LLC, he is a Managing Partner of OnPoint Analytics Capital Partners and a consultant for Empire Group, LLC.

Item 5

Additional Compensation – Mr. Kozak currently has no additional compensation to report.

Item 6

Denise Poling, designated principal of UIM supervises Mr. Kozak by holding regular compliance meetings, reviewing client reports, emails and daily trading as well as the employee's personal securities transactions and portfolio reports. Ms. Poling can be reached at 312-264-4407.

Item 7

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