

# CIM, LLC

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**Albany, NY 12207**

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**Thomas Joseph Curran**

**30 S. Pearl St. 9<sup>th</sup> Flr**

**Albany, NY 12207**

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**Kevin Thomas Curran**

**1500 Walnut St. Ste. 800**

**Philadelphia, PA 19102**

**518-391-4200**

This brochure supplement provides information about Thomas Joseph Curran and Kevin Thomas Curran that supplements CIM, LLC's (Curran Investment Management) brochure. You should have received a copy of that brochure. Please contact us at 518-391-4200 or [info@curranllc.com](mailto:info@curranllc.com), if you did not receive Curran Investment Management's brochure or if you have any questions about the contents of this supplement.

Additional information about Thomas Joseph Curran and Kevin Thomas Curran is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**March 18, 2016**

# Thomas Joseph Curran

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## Name, Age (Year of Birth)

Thomas J. Curran, 70 (1945)

## Formal Education

Graduated from Temple University in 1967 with a B.A. in Political Science

Graduated from University of Pennsylvania in 1969 with a M.B.A. in Business Administration

## Business Background

Chief Compliance Officer, CIM, LLC, hereafter CIM, from December 2006 to present.

Chief Compliance Officer, Curran Investment Advisory Services, LLC hereafter CIMAS from December 2006 to present.

Chief Executive Officer and Portfolio Manager, CIM from August 2013 to Present

President and Chief Investment Officer, CIM from October 2004 to August 2013.

President and Chief Investment Officer, CIMAS from October 2004 to present.

Director-Investments of Curran Investment Management of Wachovia Securities, LLC from August 2000 to November 2004.

Managing Director/Investments for First Albany Corporation from September 1973 to August 2000.

## Disciplinary Information

Mr. Curran does not have any disciplinary history.

## Other Business Activities

Mr. Curran is a registered representative of CIMAS, LLC and licensed to sell insurance policies during the course of financial planning. Mr. Curran is able to effect securities transactions and may receive separate, yet customary compensation for effecting any securities transactions. While these individuals endeavor at all times to put the interest of CIM's advisory clients first as part of CIM's fiduciary duty, clients should be aware that the receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of these individuals when making advisory/investment recommendations. To check this conflict Mr. Curran receives no compensation from effecting any securities transactions.

## Additional Compensation

Mr. Curran receives no compensation, other than that mentioned above.

## Supervision

Mr. Curran's correspondence is reviewed by Kevin T. Curran, a registered Securities Principal of CIMAS. Regarding investment decisions he serves on the firm's investment committee with Kevin T. Curran. The committee meets frequently to discuss market conditions, analyze and evaluate both current and prospective investments as well as make investment trades such as selling one security and purchasing another. Minutes are kept of the meetings and remain on file. Investment decisions are made jointly requiring the consent of each party. It needs to be noted that as Chief Executive Officer of the firm, Thomas J. Curran does not have a direct supervisor.

# Kevin Thomas Curran

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## Name, Age (Year of Birth)

Kevin T. Curran, 41 (1974)

## Formal Education

Graduated from Lafayette College in 1996 with an A.B. in Government and Law.

Graduated from NYU Stern School of Business in 2001 with a M.B.A. in Finance.

## Business Background

Chief Investment Officer and Portfolio Manager, CIM from August 2013 - Present

Vice President, Director of Research, CIM from October 2004 to August 2013.

Investment Associate of Curran Investment Management of Wachovia Securities, LLC from October 2002 to November 2004.

## Description of Professional Designations

Mr. Curran earned his Chartered Financial Analyst (CFA) designation in 2005.

The Chartered Financial Analyst (CFA) charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over a minimum duration of 2.5 years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charter holder's must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct

## Disciplinary Information

Mr. Curran does not have any disciplinary history.

## Other Business Activities

Mr. Curran is a registered representative of CIMAS. Mr. Curran is able to effect securities transactions and may receive separate, yet customary compensation for effecting any securities transactions. While these individuals endeavor at all times to put the interest of CIM's advisory clients first as part of CIM's fiduciary duty, clients should be aware that the receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of these

individuals when making advisory/investment recommendations. To directly address this conflict, Mr. Curran does not receive any compensation from CIMAS.

### **Additional Compensation**

Mr. Curran does not receive any additional compensation.

### **Supervision**

Mr. Curran's correspondence is reviewed by either, Thomas J. Curran Chief Executive Officer or Teri King, a registered Securities Principal of CIMAS, 518-391-4200. Regarding investment decisions Mr. Curran serves on the firm's investment committee with Thomas J. Curran. The committee meets frequently to discuss market conditions, analyze and evaluate both current and prospective investments as well as make investment trades such as selling one security and purchasing another. Minutes are kept of the meetings and remain on file. Investment decisions are made jointly requiring the consent of each party.