

Item 1

Uhlmann Investment Management, L.L.C.
303 West Madison
Suite 1700
Chicago, IL 60606
312-264-4400

**BROCHURE SUPPLEMENT
FOR
ALAN KONN Registered Investment
Advisor Securities and Exchange
Commission Form ADV Part 2B
Dated March 10, 2021**

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 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 Alan Konn is available on the SEC's website at 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 - 08/2003 |

Item 3

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

Item 4

Outside Business Activities - Mr. Konn is a principal and partial owner (24%) of Price Asset Management LLC (PAM), an SEC registered investment advisor that manages a 40-Act mutual fund and private placement funds. Alan is Managing Member of ARK Investors, LLC, which holds a direct membership interest in PAM. He is an owner of UPS Holdings, L.L.C., and 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 and Denise Poling, designated principals of UIM supervise 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; Ms. Poling at 312-264-4407.

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.