

Item 1

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

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

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

## **Terry Finkel**

### Item 2

YOB: 1958

Education: Arizona State University

#### Business Background:

- |   |                |
|---|----------------|
| • Uhlmann Investment Management, L.L.C., SVP Financial Advisor            | 2012 - Present |
| • Uhlmann Price Securities – SVP, Financial Advisor                       | 2012 - Present |
| • AG Edwards/Wells Fargo – Associate VP of Investments, Financial Advisor | 1995 - 2012    |
| • Merrill Lynch, Associate VP of Investments, Financial Consultant        | 1985 - 1995    |

### Item 3

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

### Item 4

Outside Business Activities – Mr. Finkel is a FINRA registered representative with Uhlmann Price Securities.

### Item 5

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

### Item 6

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

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