

Item 1

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

**BROCHURE SUPPLEMENT**  
**FOR**  
**DENISE POLING**  
**Registered Investment Advisor/CCO**  
**Securities and Exchange Commission**  
**Form ADV Part 2B**  
**Dated March 10, 2021**

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

## **Denise Poling**

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YOB: 1958

Education: Prairie State College

Business Background:

- |   |                   |
|---|-------------------|
| • Uhlmann Investment Management, L.L.C, CCO                 | 2016 – Present    |
| • Uhlmann Price Securities, LLC, CCO                        | 2016 – Present    |
| • Uhlmann Price Securities, LLC, Registered Sales Assistant | 12/2007 – 04/2016 |
| • AG Edwards, Registered Financial Associate                | 12/2003 – 12/2007 |
| • Morgan Stanley, Operations Manager                        | 01/2001 – 11/2003 |

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Disciplinary Information – Denise Poling has no disciplinary information to report.

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Outside Business Activities – Denise Poling is a FINRA registered representative with Uhlmann Price Securities LLC.

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Additional Compensation – Denise Poling has no additional compensation to report.

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James Baer and Alan Konn, designated principals of UIM supervise Denise Poling 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.

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Denise Poling 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.

Denise Poling has not been the subject of a bankruptcy petition.