

Item 1

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

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

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

## **Gordon Fallone**

### Item 2

YOB: 1964

Education: University of Connecticut, BS & Honors Scholar in Finance Degree

#### Business Background:

- |   |                   |
|---|-------------------|
| • Uhlmann Investment Management, L.L.C., RIA          | 11/2017 - Present |
| • Uhlmann Price Securities, L.L.C., Registered Rep    | 11/2017 - Present |
| • Robertson Stephens Advisors, 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. Fallone has no disciplinary information to report.

### Item 4

Outside Business Activities – Mr. Fallone is a FINRA registered representative with Uhlmann Price Securities L.L.C. He is a Managing Partner of OnPoint Analytics Capital Partners and a consultant for Empire Group, LLC. Gordon is General Partner at Transfusion Associated, LLC, a Partner at 8701 Opportunities Funds II in addition to being a Director with Connected Data.

### Item 5

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

### Item 6

James Baer and Alan Konn, designated principals of UIM supervise Mr. Fallone 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. Fallone 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. Fallone has not been the subject of a bankruptcy petition.