

BrokerCheck Report

JAMES PATRICK KOZAK

CRD# 2237880

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**JAMES P. KOZAK**

CRD# 2237880

Currently employed by and registered with the following Firm(s):

IA UHLMANN INVESTMENT MANAGEMENT, L.L.C.
 5202 OLD ORCHARD ROAD
 SUITE 250
 SKOKIE, IL 60077
 CRD# 118025
 Registered with this firm since: 11/16/2017

B UHLMANN PRICE SECURITIES, LLC
 5202 OLD ORCHARD ROAD
 SUITE 250
 SKOKIE, IL 60077
 CRD# 42854
 Registered with this firm since: 11/15/2017

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 21 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA ROBERTSON STEPHENS ADVISORS**
 CRD# 166736
 SAN FRANCISCO, CA
 10/2015 - 10/2017
- B ROBERTSON STEPHENS SECURITIES**
 CRD# 167704
 Chicago, IL
 10/2015 - 10/2017
- B ROTH CAPITAL PARTNERS, LLC**
 CRD# 15407
 CHICAGO, IL
 01/2013 - 09/2015

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 21 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **UHLMANN INVESTMENT MANAGEMENT, L.L.C.**

Main Office Address: **5202 OLD ORCHARD ROAD
SUITE 250
SKOKIE, IL 60077**

Firm CRD#: **118025**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	11/16/2017

Branch Office Locations

5202 OLD ORCHARD ROAD
SUITE 250
SKOKIE, IL 60077

Employment 2 of 2

Firm Name: **UHLMANN PRICE SECURITIES, LLC**

Main Office Address: **5202 OLD ORCHARD ROAD
SUITE 250
SKOKIE, IL 60077**

Firm CRD#: **42854**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	11/15/2017
B	FINRA	General Securities Representative	Approved	11/15/2017
B	FINRA	Municipal Securities Principal	Approved	11/15/2017



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Municipal Securities Representative	Approved	11/15/2017

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/27/2022
B California	Agent	Approved	11/16/2017
B Colorado	Agent	Approved	04/24/2018
B Connecticut	Agent	Approved	11/17/2017
B District of Columbia	Agent	Approved	12/11/2017
B Florida	Agent	Approved	11/22/2017
B Illinois	Agent	Approved	11/16/2017
B Louisiana	Agent	Approved	09/20/2022
B Maine	Agent	Approved	09/15/2022
B Maryland	Agent	Approved	09/15/2022
B Massachusetts	Agent	Approved	09/19/2022
B Michigan	Agent	Approved	10/05/2018
B Minnesota	Agent	Approved	09/16/2022
B Nevada	Agent	Approved	09/27/2022
B New Jersey	Agent	Approved	06/10/2022
B New York	Agent	Approved	09/27/2022
B Ohio	Agent	Approved	04/05/2019
B Pennsylvania	Agent	Approved	03/20/2018
B Texas	Agent	Approved	01/04/2019

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	12/12/2018
B	Wisconsin	Agent	Approved	11/20/2017

Branch Office Locations

UHLMANN PRICE SECURITIES, LLC
5202 OLD ORCHARD ROAD
SUITE 250
SKOKIE, IL 60077



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	04/05/2004
B General Securities Principal Examination	Series 24	07/19/2000

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/15/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/30/2001
B Uniform Securities Agent State Law Examination	Series 63	06/17/1992

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2015 - 10/2017	ROBERTSON STEPHENS ADVISORS	166736	SAN FRANCISCO, CA
B 10/2015 - 10/2017	ROBERTSON STEPHENS SECURITIES	167704	Chicago, IL
B 01/2013 - 09/2015	ROTH CAPITAL PARTNERS, LLC	15407	CHICAGO, IL
IA 01/2013 - 09/2015	ROTH CAPITAL PARTNERS, LLC	15407	CHICAGO, IL
B 06/2005 - 11/2012	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL
IA 06/2005 - 11/2012	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL
IA 12/2002 - 04/2006	CERTES CAPITAL WEALTH MANAGEMENT, LLC	124341	DEERFIELD, IL
B 04/2003 - 06/2005	CERTES CAPITAL SECURITIES, LLC	124392	DEERFIELD, IL
IA 09/2002 - 02/2003	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL
B 11/1999 - 02/2003	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL
B 07/1995 - 12/1999	MADISON SECURITIES, INC.	32176	CHICAGO, IL
B 05/1994 - 06/1995	LEXINGTON SECURITIES, INC.	13102	CHICAGO, IL
B 06/1992 - 05/1994	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2017 - Present	Uhlmann Price Securities, LLC	Financial Professional	Y	Chicago, IL, United States
09/2015 - 10/2017	ROBERTSON STEPHENS ADVISORS LLC	MANAGING DIRECTOR	Y	SAN FRANCISCO, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2015 - 10/2017	ROBERTSON STEPHENS SECURITIES LLC	MANAGING DIRECTOR	Y	SAN FRANCISCO, CA, United States
01/2013 - 09/2015	ROTH CAPITAL PARTNERS, LLC	MANAGING DIRECTOR	Y	NEWPORT BEACH, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

- (1) Uhlmann Investment Management LLC, 303 W State St, Suite 1700 Chicago, IL 60606 INVESTMENT ADVISOR - START DATE 11/2017. 95/5 PERCENT SPLIT BETWEEN BROKERAGE DEALER AND RIA SIDE OF BUSINESS, advisory fees based on AUM
- (2) Empire Group LLC, 6617 N Scottsdale Rd Ste 101, Scottsdale AZ, real estate , started 2009. Entered into consulting agreement July 2024- Institutional fund raising strategies.
- (3) OnPoint Analytics Capital Partners, 661 San Luis Rd, Berkeley CA, advisory firm, Co Founder & managing partner, sourcing & introducing alternative investments, 100% of the time, all compensation paid through BD Uhlmann Price
- (4) Kovitz Investment Group, 115 S LaSalle, 27th Fl, Chicago, IL. Investment Advisory Firm, referral source only, do not hold a title, starting 6/30/2019. 0 hours. Duties, introduce/refer potential investors to their RIA.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 04/18/2005

Docket/Case Number: C8A050023

Employing firm when activity occurred which led to the regulatory action: CERTES CAPITAL SECURITIES, LLC

Product Type: No Product

Allegations: SEC RULES 10B-9, 15C2-4, NASD BY-LAWS ARTICLE II, SECTION 3(B), ARTICLE IV SECTION 1, ARTICLE V SECTION 1, NASD RULES 1021, 1031, 2110, 3010 - RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, PERMITTED AN UNREGISTERED PERSON TO ACT IN A CAPACITY REQUIRING REGISTRATION AND FAILED TO AMEND HIS FIRM'S FORM BD TO DISCLOSE THE UNREGISTERED PERSON'S ROLE AT THE FIRM; PARTICIPATED IN AN "ALL OR NONE" PRIVATE PLACEMENT OFFERING, DEPOSITED THE FUNDS INTO A CHECKING ACCOUNT THAT WAS NOT AN ESCROW ACCOUNT AND WAS NOT SUBJECT TO AN ESCROW AGREEMENT IN THE NAME OF A FUND CONTROLLED BY A CONSULTANT PAID BY HIS MEMBER FIRM'S PARENT COMPANY AND RELEASED THE FUNDS TO THE



ISSUER BEFORE THE REQUIRED MAXIMUM HAD BEEN RAISED; FAILED TO REASONABLY SUPERVISE AN UNREGISTERED ASSOCIATED PERSON IN THAT RESPONDENT PERMITTED HIM TO PREPARE AND DISTRIBUTE CORRESPONDENT AND SALES LITERATURE TO THE PUBLIC FOR AND ON BEHALF OF THE FIRM THAT CONTAINED MISLEADING INFORMATION, AND ALLOWED HIM TO EXERT CONTROL AND/OR DIRECT CERTAIN OPERATIONS OF THE FIRM INCLUDING PARTICIPATING IN EMPLOYMENT RELATED DECISIONS AND COORDINATING THE FIRM'S PRIVATE PLACEMENT OFFERINGS.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/23/2006
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, KOZAK CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$40,000, JOINTLY AND SEVERALLY. FINE PAID 01/14/2008.
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Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	RESPONDENTS CERTES, KOZAK & HEDEKER FINED JOINTLY & SEVERALLY IN THE AMOUNT OF \$40,000.
Date Initiated:	04/17/2005
Docket/Case Number:	C8A050023
Employing firm when activity occurred which led to the regulatory action:	CERTES CAPITAL, LLC



Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: 1. PERMITTED AN UNREGISTERED INDIVIDUAL TO ACT IN A CAPACITY REQUIRING REGISTRATION. 2. PRIVATE PLACEMENT OFFERING DEFICIENCIES. 3. FAILURE TO SUPERVISE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/12/2006

Sanctions Ordered: Monetary/Fine \$40,000.00

Other Sanctions Ordered: CENSURE

Sanction Details: N/A

Reporting Source: Firm

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/17/2005

Docket/Case Number: C8A050023

Employing firm when activity occurred which led to the regulatory action: CERTES CAPITAL LLC

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: 1. PERMITTED AN UNREGISTERED INDIVIDUAL TO ACT IN A CAPACITY REQUIRING REGISTRATION.
2. PRIVATE PLACEMENT OFFERING DEFICIENCIES.
3. FAILURE TO SUPERVISE

Current Status: Pending



Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	04/15/2005
Docket/Case Number:	C8A050023
Employing firm when activity occurred which led to the regulatory action:	CERTES CAPITAL, LLC
Product Type:	Direct Investment-DPP & LP Interests
Allegations:	1.) PERMITTED AN UNREGISTERED INDIVIDUAL TO ACT IN A CAPACITY REQUIRING REGISTRATION. 2) PRIVATE PLACEMENT OFFERING DEFICIENCIES. 3) FAILURE TO SUPERVISE.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/23/2006
Sanctions Ordered:	Censure
Broker Statement	PERSUANT TO A VERBAL AGREEMENT BETWEEN KOZAK, HEDEKER AND CERTES, KOZAK SHALL ONLY BE REQUIRED TO CONTRIBUTE PERSONALLY TO THE FINE NOTED ABOVE IN THE EVENT HEDEKER AND CERTES ARE UNABLE TO SATISFY THE FINE THEMSELVES. 01/30/2006 FILING CORRECTS 01/26/2006 FILING IN WHICH QUESTION 14G(1) WAS MISTAKENLY CHECKED INSTEAD OF QUESTION 14E(2).

End of Report



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