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## **FORM ADV PART 2B BROCHURE SUPPLEMENT**

**James K. Pollock, CFA**

This brochure supplement provides information about James K. Pollock, CFA that supplements the Pollock Investment Advisors, LLC Form ADV Part 2A Brochure. You should have received a copy of that brochure. Please contact James K. Pollock, CFA at 734.929.2520 if you did not receive Pollock Investment Advisors, LLC Form ADV Part 2A Brochure, or if you have any questions about the contents of this supplement.

Additional information about James K. Pollock, CFA is available on the Securities and Exchange Commissions' website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable IARD/CRD number for Pollock Investment Advisors, LLC is 153350.

Pollock Investment Advisors, LLC is a Registered Investment Adviser. Registration with the United States Securities and Exchange Commission or any state securities authority does not imply a certain level of skill or training.

**March 1, 2020**

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## Educational Background and Business Experience

**James K. Pollock, CFA**

Form ADV Part 2B, Item 2

Year of Birth: 1957

Formal Education after High School:

- University of Michigan, Ann Arbor - 1979
  - Bachelor of General Science, General Business
- Eastern Michigan University – 1982
  - Master of Business Administration, Finance

Business Background for the Previous Five Years:

- Pollock Investment Advisors, Managing Partner, 2006 – Current

Certifications:

- CFA Institute – 15 Year Certificate of Achievement for continuing Education 2017
- CFA Chartered Financial Analyst – Charter Awarded September 1987
  - To earn the CFA charter, candidates must:
    - 1) pass three sequential, six-hour examinations
    - 2) have at least four years of qualified professional investment experience
    - 3) join CFA Institute as members
    - 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct
  - High Ethical Standards
    - Place their clients' interests ahead of their own
    - Maintain independence and objectivity
    - Act with integrity
    - Maintain and improve their professional competence
    - Disclose conflicts of interest and legal matters
  - Global Recognition
    - Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level.) Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders – often making the charter a prerequisite for employment.

- Regulatory bodies in 19 countries recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.
- Comprehensive and Current Knowledge
  - CFA Program curriculum provided a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management and wealth planning.
  - The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

#### Exams

- Uniform Securities Agent State Law Examination, Series 63, 1993
- Uniform Investment Adviser Law Examination, Series 65, 1993
- Uniform Combined State Law Examination, Series 66, 2005

### **Disciplinary Information**

Form ADV Part 2B, Item 3

There are no current or historical legal or disciplinary events concerning  
James K. Pollock, CFA.

### Other Business Activities

Form ADV Part 2B, Item 4

Mr. James K. Pollock was named as an advisor to the trustees of the permanent endowment of Michigan Sigma Phi, Inc. in December, 2017. There are two independent trustees of the endowment. Mr. Pollock is not a signatory on the account, is not a trustee, and is unable to move money from the account. Sigma Phi is a nationally chartered fraternal organization with a chapter at the University of Michigan – Ann Arbor. Mr. Pollock is an alumnus of Sigma Phi and the University of Michigan.

The monies held in the endowment of Michigan Sigma Phi, Inc. resulted from a gift by a deceased alumnus. The funds exist for the ongoing maintenance and repair of the Sigma Phi fraternity house located in Ann Arbor, Michigan. Assets are custodied at Vanguard, as determined by the trustees.

Mr. Pollock had previously been a 50% owner of Pollock Investment Research (PIR), a C-corporation as defined by the Internal Revenue Service code. Pollock Investment Research was dissolved in 2012.

### Additional Compensation

Form ADV Part 2B, Item 5

Mr. James K. Pollock does not receive compensation from any non-client advisory services.

### Requirements for State-Registered Advisers

Form ADV Part 2B, Item 7

Pollock Investment Advisors, LLC is registered with the Securities and Exchange Commission (SEC).

## Supervision

Form ADV Part 2B, Item 6

Mr. Robert N. Pollock, Jr. is Managing Partner of Pollock Investment Advisors, LLC. In that role, he is responsible for the review and monitoring of all client communications, marketing materials, and presentations and advice provided to clients. Mr. Pollock can be contacted at:

Robert N. Pollock, Jr.  
*Managing Partner*  
Pollock Investment Advisors, LLC  
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