

*This brochure supplement provides information about Jacob Timothy Rothman that supplements the Rothman Investment Management brochure. You should have received a copy of that brochure. Please contact Jacob Timothy Rothman if you did not receive Rothman Investment Management's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Jacob Timothy Rothman is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **Rothman Investment Management**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**Jacob Timothy Rothman**  
Personal CRD Number: 6399323  
Investment Adviser Representative

Rothman Investment Management  
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UPDATED: 02/22/2019

## Item 2: Educational Background and Business Experience

**Name:** Jacob Timothy Rothman

**Born:** 1976

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelor of Science, Business Administration from California Polytechnic State University - 1997

Master of Business Administration (MBA) from Darden Graduate School of Management, University of Virginia - 2005

Master of Arts in Religion (MAR) from Liberty Baptist Theological Seminary - 2011

#### **Designations:**

##### **CFA - Chartered Financial Analyst**

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 134 countries. 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; and 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**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- 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.

Additionally, regulatory bodies in 22 countries and territories 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**

The CFA Program curriculum provides 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.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### **CPA - Certified Public Accountant**

- CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination.
- In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's Code of Professional Conduct within their state accountancy laws or have created their own.

### **Business Background:**

09/2014 - Present	Investment Adviser Representative Rothman Investment Management
04/2014 - 08/2014	Unemployed
11/2012 - 03/2014	Equity Analyst Madison Investment Advisors
09/2005 - 10/2012	Equity Analyst Mayo Capital Partners

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Jacob Timothy Rothman is an accountant and from time to time, may offer clients advice or products from those activities and clients should be aware that these services may involve a conflict of interest. Neither Jacob Timothy Rothman nor any related accounting firm has signatory authority for client accounts. RIM always acts in the best interest of the client and clients are in no way required to the services of any representative of RIM in connection with such individual's activities outside of RIM.

Jacob Timothy Rothman is a board member of Sierra Vista Hospital. He attends monthly meetings as a community member to oversee safety, licensing and community issues. He spends 3 hours devoted to this activity during trading hours.

All material conflicts of interest under Section 260.238 (k) of the California Corporations Code are disclosed regarding the investment adviser, its representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice.

### **Item 5: Additional Compensation**

Jacob Timothy Rothman does not receive any economic benefit from any person, company, or organization, other than Rothman Investment Management in exchange for providing clients advisory services through Rothman Investment Management.

### **Item 6: Supervision**

As the only owner and representative of Rothman Investment Management, Jacob Timothy Rothman supervises all activities of the firm. Jacob Timothy Rothman's response information is on the cover page of this disclosure document. Jacob Timothy Rothman adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by California state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Jacob Timothy Rothman has NOT been involved in any of the events listed below.

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.

B. Jacob Timothy Rothman has NOT been the subject of a bankruptcy petition in the past ten years.