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Form ADV Part 2B
Brochure Supplement

Essex Investment Management Company, LLC
125 High Street, Suite 1803
Boston, MA 02110

617-342-3200

March - 2020

This brochure supplement provides information about the investment advisory representatives and supplements the information provided in the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

Additional information about Essex Investment Management Company, LLC and its licensed investment advisory personnel is available on the SEC’s website at www.adviserinfo.sec.gov. The searchable IARD/CRD number for Essex Investment Management Company, LLC is 109962. Information on Essex Investment Management Company, LLC licensed personnel can be accessed via their personal CRD number.

Education and Business Standards

Essex Investment Management Company, LLC requires that all advisors it employs have a bachelor's degree. Further coursework demonstrating knowledge of institutional money management is highly valued and most Essex Investment Management Company, LLC investment personnel have such coursework. Examples of acceptable coursework or designations include: Masters in Business Administration, Masters in Finance, or Certified Financial Analyst. Additionally, advisors must have work experience that demonstrates their aptitude for institutional investment advice and management.

Essex requires that any employee whose function involves determining or giving investment advice to clients must have significant experience in investments, accounting, or actuarial science.

Professional Certifications

Employees may have earned certifications and credentials that are required to be explained in further detail.

Chartered Financial Analyst (CFA®): Chartered Financial Analysts are licensed by the CFA Institute to use the CFA mark. CFA certification requirements:

- Hold a bachelor's degree from an accredited institution or have equivalent education or work experience.
- Successful completion of all three exam levels of the CFA Program.
- Have 48- months of acceptable professional work experience in the investment decision-making process.
- Fulfill society requirements, which vary by society. Unless you are upgrading from affiliate membership, all societies require two sponsor statements as part of each application; these are submitted online by your sponsors.
- Agree to adhere to and sign the Member's Agreement, a Professional Conduct Statement and any additional documentation requested by CFA Institute.

Master in Business Administration (MBA): The Master in Business Administration (MBA) is an academic degree higher than a bachelor's degree but lower than a doctor's degree. This degree provides theoretical and practical training to help graduates gain a better understanding of general business management functions. MBA general requirements:

- Bachelor's degree from an accredited college or university.
- Graduate Management Admission Test (GMAT).
- Accepted by the program based on its selection criteria.
- Completion of required coursework with a passing grade.

Certified Public Accountant (CPA): 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).
- Successful passage of the Uniform CPA Examination.
- Ongoing maintenance of the CPA license generally requires the completion of 120 hours over a three-year period.

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This brochure supplement provides information about Joseph C. McNay that supplements the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

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Joseph C. McNay

Item 2 – Educational Background and Business Experience

Year of Birth: 1934

Education and Professional Designations:

- Bachelor of Arts, Yale University, 1956
- Master in Business Administration, Wharton School of Finance, 1959

Business Experience

- Chairman, Chief Investment Officer and a Senior Portfolio Manager, Essex, December 1976 - Present
- Executive Vice President and Director of Endowment Management & Research Corp, 1966 - 1976
- Vice President and Senior Portfolio Manager at the Massachusetts Company, 1963 - 1965

Item 3 – Disciplinary Information

Essex Investment Management Company LLC and its advisory personnel have not been disciplined by any governing authority, including any regulatory agency, CFA Board of Governors, the Securities and Exchange Commission or any industry association of which we are licensed and/or are members. There is no information of this type to report.

Item 4 – Other Business Activities

- Distinguished Trustee and member of the Investment Committee and Trustee Science Committee of the Dana Farber Cancer Institute, January 1987 - Present
- Trustee Emeritus of the Boston Ballet, January 2015 - Present
- Boston Children's Hospital Investment Committee Board Member, January 1993 - Present
- Honorary Advisor of the Museum of Fine Arts & a member of its Investment Committee, January 2006 - Present
- Advisor Emeritus of the Boston Symphony Orchestra, September 2008 - Present
- Member of the Yale School of Management Board of Advisors, January 2004 - Present
- Trustee of Tenacity, May 1999 - Present
- Trustee of The New England Foundation, September 1986 - Present
- Board of Directors of RegeneRx, January 1987 - Present
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- Board of Directors of LiveData, May 2009 - Present

We do not believe that these roles create a conflict of interest with our clients.

Mr. McNay is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of his income or involves a substantial amount of his time.

Item 5 – Additional Compensation

Mr. McNay does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

Joseph McNay is Chairman, Chief Investment Officer and a Senior Portfolio Manager of Essex. His compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Joseph McNay's work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

- Client communications including e-mails, internal notes and memos
- Financial Plans, Investment Policy Statements and client recommendations
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Essex Investment Management Company, LLC
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This brochure supplement provides information about Nancy B. Prial that supplements the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

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Nancy B. Prial, CFA®

Item 2 – Educational Background and Business Experience

Year of Birth: 1957

Education and Professional Designations

- Bachelor of Science degree in Electrical Engineering, Bucknell University, 1980
- Bachelor of Arts degree in Mathematics Bucknell University, 1980
- Master in Business Administration, Harvard Business School, 1984
- Chartered Financial Analyst (“CFA®”), 1987

Business Experience

- Co-Chief Executive Officer and a Senior Portfolio Manager, Essex, January 2005 - Present
- Senior Vice President and Chief Investment Officer at the Burrige Group, LLC, 1998 - 2004
- Senior Portfolio Manager at Twentieth Century division of American Century Investors, 1994 - 1998
- Fundamental Analyst and Portfolio Manager at Frontier Capital Management, 1984 - 1994

Item 3 – Disciplinary Information

There are no applicable legal or disciplinary events relating to Ms. Prial.

Item 4 – Other Business Activities

- Trustee for Bucknell University, July 2004 – Present
- Evanston Art Center – Executive Board, January 2015 – Present
- CFA Society of Chicago – Education Advisory Group, January 2010 – Present
- Women Investment Professionals – Vice President, July 2019 - Present

We do not believe that this role creates a conflict of interest with our clients.

Ms. Prial is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of her income or involves a substantial amount of her time.

Item 5 – Additional Compensation

Ms. Prial does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

Nancy B. Prial is Co-Chief Executive Officer and Senior Portfolio Manager of Essex. Her compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm’s compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Nancy B. Prial’s work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

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Essex Investment Management Company, LLC
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This brochure supplement provides information about Robert J. Uek that supplements the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

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Robert J. Uek, CFA®

Item 2 – Educational Background and Business Experience

Year of Birth: 1967

Education and Professional Certifications

- Bachelor of Arts in Economics, Boston College, 1989
- Master of Science in Accounting, Northeastern University, 1990
- Chartered Financial Analyst (“CFA®”), 1996
- Certified Public Accountant (“CPA”) (Inactive), 1990

Business Experience

- Co-Chief Executive Officer and Senior Portfolio Manager, Essex, February 2009 - Present
- Portfolio Manager, State Street Global Advisors, June 2004 – December 2008
- Portfolio Management & Global Industry Analyst, John Hancock Advisers, March 1997 – June 2004
- Consultant, Ernst & Young, October 1990 – March 1997

Item 3 – Disciplinary Information

There are no applicable legal or disciplinary events relating to Mr. Uek.

Item 4 – Other Business Activities

- Mr. Uek is a member of the Investment Committee of Anatolia College in Thessaloniki, Greece, January 2015 - Present

We do not believe that this role creates a conflict of interest with our clients.

Mr. Uek is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of his income or involves a substantial amount of his time.

Item 5 – Additional Compensation

Mr. Uek does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

Robert J. Uek is Co-Chief Executive Officer and Senior Portfolio Manager of Essex. His compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm’s compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Robert J. Uek’s work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

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Essex Investment Management Company, LLC
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This brochure supplement provides information about Stephen D. Cutler that supplements the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

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Stephen D. Cutler, CFA®

Item 2 – Educational Background and Business Experience

Year of Birth: 1936

Education and Professional Designations

- Bachelor of Arts, Brown University, 1957
- Master in Business Administration, Babson College, 1961
- Chartered Financial Analyst (“CFA®”), 1966

Business Experience

- President and a Senior Portfolio Manager, Essex, October 1989 - Present
- President and Director of Baring America (formerly Endowment Management & Research Corp.), 1978 - 1989
- Director of Investments and Portfolio Manager for the Massachusetts Company, 1970 - 1978
- Portfolio Manager and Analyst for Keystone, 1961 - 1978

Item 3 – Disciplinary Information

Essex Investment Management Company LLC and its advisory personnel have not been disciplined by any governing authority, including any regulatory agency, CFA Board of Governors, the Securities and Exchange Commission or any industry association of which we are licensed and/or are members. There is no information of this type to report.

Item 4 – Other Business Activities

- Trustee Emeritus at Babson College, October 2017 - Present
- Member of the Babson College Investment Committee, October 2001 - Present

We do not believe that these roles create a conflict of interest with our clients.

Mr. Cutler is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of his income or involves a substantial amount of his time.

Item 5 – Additional Compensation

Mr. Cutler does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

Stephen Cutler is President and a Senior Portfolio Manager of Essex. His compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm’s compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Stephen Cutler’s work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

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William H. Page

Item 2 – Educational Background and Business Experience

Year of Birth: 1963

Education and Professional Certifications

- Bachelor's degree in Economics, Boston University, 1986
- Master in Business Administration, F.W. Olin School of Business at Babson College, 1992

Business Experience

- Senior Vice President and Senior Portfolio Manager, Essex, February 2009 - Present
- Lead Portfolio Manager, State Street Global Advisors (SSgA), February 1998 - October 2008
- Head of the Environmental, Social and Governance (ESG) investment team, State Street Global Advisors (SSgA), January 2005 - October 2008
- Product management, Wellington Management Company, LLC, April 1994 - February 1998
- Asset allocation, Product Manager, Fidelity Investments, March 1993 - April 1994

Item 3 – Disciplinary Information

There are no applicable legal or disciplinary events relating to Mr. Page.

Item 4 – Other Business Activities

Mr. Page is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of his income or involves a substantial amount of his time.

Item 5 – Additional Compensation

Mr. Page does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

William H. Page is Senior Vice President and Portfolio Manager of Essex. His compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of William H. Page's work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

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This brochure supplement provides information about Saralyn Sacks that supplements the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

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Saralyn Sacks, CFA®

Item 2 – Educational Background and Business Experience

Year of Birth: 1969

Education and Professional Certifications

- Bachelor of Science in Statistics, University of Michigan, 1992
- Master of Science in Economics, London School of Economics, 1993
- Master in Business Administration in Finance and Accounting, University of Chicago Booth School of Business, 2000
- Chartered Financial Analyst (“CFA®”), 2000

Business Experience

- Senior Vice President and Portfolio Manager, Essex, January 2005 - Present
- Burridge Growth Partners, Senior Vice President and Research Analyst, January 1995 - December 2004
- Associate Equity Analyst, Stifel, Nicolaus and Company, Inc., September 1993 - December 1994

Item 3 – Disciplinary Information

There are no applicable legal or disciplinary events relating to Ms. Sacks.

Item 4 – Other Business Activities

Ms. Sacks is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of her income or involves a substantial amount of her time.

Item 5 – Additional Compensation

Ms. Sacks does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

Saralyn Sacks is Senior Vice President and Portfolio Manager of Essex. Her compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm’s compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Saralyn Sacks’ work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

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**Form ADV Part 2B
Brochure Supplement**

Essex Investment Management Company, LLC
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March - 2020

This brochure supplement provides information about Alexander A. Forse that supplements the Essex Investment Management Company, LLC (“Essex”) brochure. You should have received a copy of that brochure. Please contact Essex’s Compliance Department at (617) 342-3200 if you did not receive the brochure or if you have any questions about the content of this supplement.

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Alexander A. Forse

Item 2 – Educational Background and Business Experience

Year of Birth: 1984

Education and Professional Certifications

- Bachelor of Arts in Politics & Government, Ohio Wesleyan University, 2006
- Master in Business Administration, University of Massachusetts, 2007
- Juris Doctorate from Suffolk University Law School, 2010
- Member Massachusetts Bar Association, 2008

Business Experience

- Senior Vice President, Portfolio Manager and Research Analyst, Essex, August 2010 – Present
- Merger & Acquisitions internship at Banco Itau in Sao Paulo, Brazil, May 2007 – August 2007
- Legal Clerk internship at Sarrouf Corso LLC, April 2006 – April 2007

Item 3 – Disciplinary Information

There are no applicable legal or disciplinary events relating to Mr. Forse.

Item 4 – Other Business Activities

Mr. Forse is not engaged in any other investment-related business or occupation, and is not engaged in any other business or occupation for compensation which provides a substantial source of his income or involves a substantial amount of his time.

Item 5 – Additional Compensation

Mr. Forse does not receive economic benefits from third parties who are not clients for providing advisory services.

Item 6 – Supervision

Alexander A. Forse is a Senior Vice President, Portfolio Manager and Research Analyst of Essex. His compliance-related activities are supervised by Mike McCarthy, Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Alexander A. Forse's work is periodically reviewed by the CCO to ensure compliance. This includes, but is not limited to, the following items:

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