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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 31, 2023

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](http://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.

Masters 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
- Masters 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
- Honorary Advisor of the Museum of Fine Arts, 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
- Board of Directors of Live Data, 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 Michael S. 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
- Portfolio reports and trade records
- Client meetings and on-site visits
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- Pre-clearance of personal securities transactions

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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
- Masters 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 Emeritus for Bucknell University, January 2018 – Present
- Women Investment Professionals – President, July 2021 – Present; Vice President, July 2019 – July 2021
- Cultural Vistas – Board Member, Finance & Audit Committee Member, March 2023 – Present
- Origami Foundation – Advisory Board Member, March 2023 – 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 Michael S. 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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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**

- Member of the Board of Trustees at The American Farm School in Thessaloniki, Greece, October 2021 - 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 Michael S. 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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This brochure supplement provides information about William H. Page 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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## **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
- Masters 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 Michael S. 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
- Masters 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 Michael S. 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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