

*This brochure supplement provides information about Ujae Augustine Kang that supplements the UAK Diversified LLC brochure. You should have received a copy of that brochure. Please contact Ujae Augustine Kang if you did not receive UAK Diversified LLC's brochure or if you have any questions about the contents of this supplement.*

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

## **UAK Diversified LLC**

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

*for*

**Ujae Augustine Kang**

Personal CRD Number: 5660240

Investment Adviser Representative

UAK Diversified LLC  
860 Blue Gentian Rd Suite 200  
Eagan, MN 55121  
(651) 757-5534  
[info@uakdiversified.com](mailto:info@uakdiversified.com)

UPDATED: 01/07/2020

## Item 2: Educational Background and Business Experience

**Name:** Ujae Augustine Kang      **Born:** 1979

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

#### **Education:**

Masters Financial Mathematics, University of Minnesota Twin Cities - 2017  
Bachelors Business, Indiana University Bloomington - 2004

#### **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).

### **Business Background:**

02/2019 - Present	Managing Member & Chief Compliance Officer UAK Diversified LLC
02/2012 – 09/2019	Director, Enterprise Risk Management UnitedHealth Group

### **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**

Ujae Augustine Kang is a consultant at UAK Diversified Capital Strategies & Consulting.

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

Ujae Augustine Kang does not receive any economic benefit from any person, company, or organization, other than UAK Diversified LLC in exchange for providing clients advisory services through UAK Diversified LLC.

## **Item 6: Supervision**

As the Chief Compliance Officer of UAK Diversified LLC, Ujae Augustine Kang supervises all activities of the firm. Ujae Augustine Kang's contact information is on the cover page of this disclosure document. Ujae Augustine Kang adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.

## Item 7: Requirements For State Registered Advisers

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

- A. Ujae Augustine Kang 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. Ujae Augustine Kang has NOT been the subject of a bankruptcy.