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**Item 1 - Cover Page**

**Traub Capital Management, LLC**

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**[www.traubcapital.com](http://www.traubcapital.com)**

**March 11, 2014**

**This Brochure Supplement provides information about Heydon D. Traub that supplements the Traub Capital Management [TCM] Brochure. You should have received a copy of that Brochure. Please contact Heydon Traub if you did not receive TCM's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 - Educational Background and Business Experience**

Heydon Traub, born in 1961, founded Traub Capital Management in 2003, where he is owner and CEO. Prior to that, Mr. Traub was a Principal and Sr. VP of State Street Global Advisors (SSgA) and head of its Global Asset Allocation team worldwide from 1999 to June 2003. He was employed at State Street from 1987-2003. Mr. Traub holds a B.A. degree in Economics from Brandeis and an M.B.A. degree in Finance and Accounting from the University of Chicago. He is a Chartered Financial Analyst (CFA), and a Certified Financial Planner™ (CFP). Below are requirements to earn these designations.

**CFA - Chartered Financial Analyst**

Issued by: CFA Institute

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Prerequisites/Experience Required:

Candidate must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- 4 years qualified work experience (full time, but not necessarily investment related)

Educational Requirements: Self-study program (250 hours of study for each of the 3 levels)

Examination Type: 3 course exams

Continuing Education/Experience Requirements: None

### **CFP - Certified Financial Planner**

Issued by: Certified Financial Planner Board of Standards, Inc.

Prerequisites/Experience Required: Candidate must meet the following requirements:

- A bachelor's degree (or higher) from an accredited college or university, and
- 3 years of full-time personal financial planning experience

Educational Requirements: Candidate must complete a CFP-board registered program, or hold one of the following:

- CPA
- ChFC
- Chartered Life Underwriter (CLU)
- CFA
- Ph.D. in business or economics
- Doctor of Business Administration
- Attorney's License

Examination Type: CFP Certification Examination

Continuing Education/Experience Requirements: 30 hours every 2-years

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**Item 3- Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

**Item 4- Other Business Activities**

None.

**Item 5- Additional Compensation**

None to report.

**Item 6 - Supervision**

As owner of the firm, Heydon does not have a supervisor.