

Kenneth Shubin Stein
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Spencer Capital Management, LLC
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This brochure supplement provides information about Kenneth Shubin Stein that supplements Spencer Capital Management, LLC's brochure. You should have received a copy of that brochure. Please contact Deena Dominguez (dd@spencercapital.com, 646.546.5078) if you did not receive Spencer Capital Management, LLC's brochure or if you have any questions about the contents of this supplement.

03/30/2015

Educational Background & Business Experience

Name, Age (Year of Birth)

Kenneth Shubin Stein, MD, CFA

Date of Birth: June 15, 1969

Formal Education

Columbia College, New York, New York, A.B. 1991 (Political Science, Pre-Medical Studies);

Albert Einstein College of Medicine, New York, New York, M.D. 1996

Business Background

Spencer Capital Management, LLC
Founder, Manager, and Portfolio Manager

12/02 – Present

Disciplinary Information

NA

Other Business Activities

Note that Dr. Shubin Stein has a minority interest in, and is Chairman of the Board of, a Client that is a Bermuda holding company that wholly owns an offshore reinsurance company.

Additional Compensation

NA

Supervision

Describe Supervision

Kenneth Shubin Stein is the Founder as well as the Portfolio Manager; therefore he is under no additional supervision. There are policies and procedures in place to ensure compliance with requirements under the Investment Advisers Act and to ensure that client interests are placed first.