



**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Golub Group's professionals who provide investment advice that supplements The Golub Group's brochure (ADV, part 2A). You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.



**Michael Golub**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Michael Golub that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Michael Golub (1942)

## **Formal Education**

B.S. in Finance from the University of Colorado, Boulder

## **Business Background (Past Five Years Only)**

Founder, CEO & Senior Portfolio Manager, The Golub Group (since 2003)

# Disciplinary Information

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Mr. Golub does not have any disciplinary history.

# Other Business Activities

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Mr. Golub is not actively involved in any other investment-related business activities.

# Additional Compensation

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Mr. Golub does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## **Describe Supervision**

Michael adheres himself to the Golub Group's code of ethics and compliance manual as mandated. Clients may contact Jennifer Rouse at (650) 212-2240 to obtain a copy of Golub Group's code of ethics. Jennifer Rouse, Chief Compliance Officer supervises Michael's personal transactions. Michael's actions are supervised by the board of directors.

## **Name, Title and Telephone Number of Supervisor**

The Board of Directors (Colin Higgins, Greg Golub, Michael Golub)

(650)212-2240



Colin Higgins

1850 Gateway Drive

(650)212-2240

or

(866)604-6582

The Golub Group, LLC

February 7, 2013

This brochure supplement provides information about Colin Higgins that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Colin Higgins (1972)

## **Formal Education**

B.A. in History from Washington & Lee University

## **Business Background (Past Five Years Only)**

President & Portfolio Manager, The Golub Group (Since 2003)

# Disciplinary Information

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Mr. Higgins does not have any disciplinary history.

# Other Business Activities

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Mr. Higgins is not actively involved in any other investment-related business activities.

# Additional Compensation

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Mr. Higgins does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## Describe Supervision

Colin adheres himself to the Golub Group's code of ethics and compliance manual as mandated. Clients may contact Jennifer Rouse at (650) 212-2240 to obtain a copy of Golub Group's code of ethics. Jennifer Rouse, Chief Compliance Officer supervises Colin's personal transactions. Michael's actions are supervised by the board of directors.

## Name, Title and Telephone Number of Supervisor

Michael Golub

Founder & CEO

(650)212-2240 or (866)604-6582



**Kurt Hoefer**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Kurt Hoefer that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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



# Educational Background & Business Experience

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## Name, Age (Year of Birth)

Kurt Hoefer, (1965)

## Formal Education

B.A. in Economics from Stanford University

MBA from the UCLA-Anderson School of Management

## Business Background (Past Five Years Only)

Director, Business Development & Portfolio Manager, Golub Group (since 2004)

## Description of Professional Designations

### The Chartered Financial Analyst (CFA)

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 charter holders working in 135 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 charter holders to:

- Place their clients' interest 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 charter holders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries 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).

# Disciplinary Information

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Mr. Hoefer does not have any disciplinary history.

# Other Business Activities

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Mr. Hoefer is not actively involved in any other investment-related business activities.

# Additional Compensation

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Mr. Hoefer does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## Describe Supervision

Kurt adheres himself to the Golub Group's code of ethics and compliance manual as mandated. Clients may contact Jennifer Rouse at (650) 212-2240 to obtain a copy of Golub Group's code of ethics. Jennifer Rouse, Chief Compliance Officer supervises Kurt's personal transactions. Michael's actions are supervised by the board of directors.

## Name, Title and Telephone Number of Supervisor

Colin Higgins

President

(650)212-2240 or (866)604-6582



**John Dowling**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about John Dowling that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## Name, Age (Year of Birth)

John Dowling (1974)

## Formal Education

Business Economics, University of California at Santa Barbara

## Business Background (Past Five Years Only)

Portfolio Manager/Research Analyst, Golub Group (since 2007)

Senior Research Analyst, Peters MacGregor Capital Management (2004-2006)

## Description of Professional Designations

### The Chartered Financial Analyst (CFA)

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.

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### High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter holders to:

- Place their clients' interest 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 charter holders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries 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).

# Disciplinary Information

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Mr. Dowling does not have any disciplinary history.

# Other Business Activities

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Mr. Dowling is not actively involved in any other investment-related business activities.

# Additional Compensation

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Mr. Dowling does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## Describe Supervision

John's supervision includes: 1) Quarterly Reviews of employee performance, 2) Monthly one-on-one conversations about progress and areas of development, 3) Quarterly reviews of investment decisions and related performance outcomes, 4) Regular reviews of notes entered into CRM system related to portfolio reviews 5) Weekly team meetings to discuss portfolio and investments.

## Name, Title and Telephone Number of Supervisor

Colin Higgins

President

(650)212-2240 or (866)604-6582



**Matt Gordon**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Matt Gordon that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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



# Educational Background & Business Experience

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## Name, Age (Year of Birth)

Matt Gordon (1980)

## Formal Education

BA in Computer Science from Amherst College

MBA from Columbia Business School

## Business Background (Past Five Years Only)

Equity Analyst, Golub Group (since 2013)

Analyst, Chordant Capital Partners (2011-2012)

Investment Professional Consultant, Stonerise Capital (2010-2011)

Investment Associate, Putnam Investments (2004-2008)

## Description of Professional Designations

### The Chartered Financial Analyst (CFA)

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High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter holders to:

- Place their clients' interest 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 charter holders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries 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).

## Disciplinary Information

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Mr. Gordon does not have any disciplinary history.

## Other Business Activities

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Mr. Gordon is not actively involved in any other investment-related business activities.

## Additional Compensation

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Mr. Gordon does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

## Supervision

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### Describe Supervision

Mr. Gordon's supervision includes: 1) Quarterly Reviews of employee performance, 2) Monthly one-on-one conversations about progress and areas of development, 3) Quarterly reviews of investment decisions and related performance outcomes, 4) Regular reviews of notes entered into CRM system related to portfolio reviews 5) Weekly team meetings to discuss portfolio and investments.

### Name, Title and Telephone Number of Supervisor

John Dowling

Director, Research & Portfolio Manager

(650)212-2240 or (866)604-6582



**Michael Kon**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Michael Kon that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## Name, Age (Year of Birth)

Michael Kon (1974)

## Formal Education

MBA from McGill University

## Business Background (Past Five Years Only)

Equity Analyst, Golub Group (since 2013)

Senior Equity Analyst, Morningstar (2006-2013)

## Description of Professional Designations

### The Chartered Financial Analyst (CFA)

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 charter holders working in 135 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 charter holders to:

- Place their clients' interest 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 charter holders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries 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).

# Disciplinary Information

---

Mr. Kon does not have any disciplinary history.

# Other Business Activities

---

Mr. Kon is not actively involved in any other investment-related business activities.

# Additional Compensation

---

Mr. Kon does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## Describe Supervision

Mr. Kon's supervision includes: 1) Quarterly Reviews of employee performance, 2) Monthly one-on-one conversations about progress and areas of development, 3) Quarterly reviews of investment decisions and related performance outcomes, 4) Regular reviews of notes entered into CRM system related to portfolio reviews 5) Weekly team meetings to discuss portfolio and investments.

## Name, Title and Telephone Number of Supervisor

John Dowling

Director, Research & Portfolio Manager

(650)212-2240 or (866)604-6582



**Chris Joyner**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Chris Joyner that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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



# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Chris Joyner (1960)

## **Formal Education**

BA in Business from the University of San Diego

MBA from the University of San Diego

## **Business Background (Past Five Years Only)**

Business Development Principal, Golub Group (since 2012)

Director of Business Development, Grassi Investment Management (2010-2012)

Regional Representative at First Bank Brokerage (2009-2010)

# Disciplinary Information

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Mr. Joyner does not have any disciplinary history.

# Other Business Activities

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Mr. Joyner is not actively involved in any other investment-related business activities.

# Additional Compensation

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Mr. Joyner receives additional compensation that is based on the number or amount of sales, client referrals, or new accounts, and therefore may have an incentive to recommend investment services based on the compensation received, rather than on a client's needs. To mitigate this potential conflict, The Golub Group performs quarterly suitability reviews of the securities in the account, the strategy, and the client's circumstances to ensure that they are appropriate.

## Supervision

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### Describe Supervision

Mr. Joyner's supervision includes 1) Weekly meeting to discuss pipeline of prospective clients and determine the suitability of our offering to their needs, 2) Review of marketing materials to ensure their accuracy and compliance with regulations, 3) Monthly one-on-one conversations to discuss team members' progress and areas of development, 4) Review of agreements and the firm's practices with third-party referral sources to ensure the accuracy of disclosures.

### Name, Title and Telephone Number of Supervisor

Kurt Hoefer

Director, Business Development

(650)212-2240 or (866)604-6582



**Joe Martin**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Joe Martin that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Joe Martin (1971)

## **Formal Education**

B.A. in Psychology from the University of California, Los Angeles

## **Business Background (Past Five Years Only)**

Director, Private Client Group, Golub Group (since 2003)

# Disciplinary Information

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Mr. Martin does not have any disciplinary history.

# Other Business Activities

---

Mr. Martin is not actively involved in any other investment-related business activities.

# Additional Compensation

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Mr. Martin does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## Describe Supervision

Joe adheres himself to the Golub Group's code of ethics and compliance manual as mandated. Clients may contact Jennifer Rouse at (650) 212-2240 to obtain a copy of Golub Group's code of ethics. Jennifer Rouse, Chief Compliance Officer supervises Joe's personal transactions. Michael's actions are supervised by the board of directors.

## Name, Title and Telephone Number of Supervisor

Colin Higgins

President

(650)212-2240 or (866)604-6582



**Cynthia Duncan**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Cynthia Duncan that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Cynthia Duncan (1969)

## **Formal Education**

B.S. in Accounting, Santa Clara University

## **Business Background (Past Five Years Only)**

Senior Financial Advisor, Golub Group (since 2005)

# Disciplinary Information

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Ms. Duncan does not have any disciplinary history.

# Other Business Activities

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Ms. Duncan is not actively involved in any other investment-related business activities.

# Additional Compensation

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Ms. Duncan does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, she does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## **Describe Supervision**

Cynthia provides broad based financial advice and services to the clients of The Golub Group and is supervised by Joe Martin. This supervision includes: 1) Quarterly Reviews of employee performance, 2) Monthly one-on-one conversations to discuss progress and areas of development, 3) Reviews of Investment Policy Statements and Financial Plans prepared for clients, 4) Regular reviews of notes entered into CRM system for client calls and meetings, 5) Periodic joint attendance on client calls and in client meetings, and 6) Weekly team meetings to discuss work being done for clients.

## **Name, Title and Telephone Number of Supervisor**

Joe Martin

Director, Private Client Group

(650)212-2240 or (866)604-6582





**Sherry Williams**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Sherry Williams that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Sherry Williams (1964)

## **Formal Education**

B.A. in Sociology with minors in Business and English

## **Business Background (Past Five Years Only)**

Senior Financial Advisor, Golub Group (since 2007)

## **Description of Professional Designations**

### **Certified Financial Planner (CFP)**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services,

and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;

Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and

Ethics – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and

Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

## Disciplinary Information

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Ms. Williams does not have any disciplinary history.

## Other Business Activities

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Ms. Williams is not actively involved in any other investment-related business activities.

## Additional Compensation

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Ms. Williams does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, she does not receive any economic benefit from anyone who is not a client for providing advisory services.

## Supervision

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### Describe Supervision

Sherry provides broad based financial advice and services to the clients of The Golub Group and is supervised by Joe Martin. This supervision includes: 1) Quarterly Reviews of employee performance, 2) Monthly one-on-one conversations to discuss progress and areas of development, 3) Reviews of Investment Policy Statements and Financial Plans prepared for clients, 4) Regular reviews of notes entered into CRM system for client calls and meetings, 5) Periodic joint attendance on client calls and in client meetings, and 6) Weekly team meetings to discuss work being done for clients.

### Name, Title and Telephone Number of Supervisor

Joe Martin

Director, Private Client Group

(650)212-2240 or (866)604-6582



**Claire Silverman**

**1850 Gateway Drive**

**(650)212-2240**

**or**

**(866)604-6582**

**The Golub Group, LLC**

**February 7, 2013**

This brochure supplement provides information about Claire Silverman that supplements The Golub Group's brochure. You should have received a copy of that brochure. Please contact Jennifer Rouse at [jennifer@golubgroup.com](mailto:jennifer@golubgroup.com) or (866)604-6582 if you did not receive The Golub Group brochure or if you have any questions about the contents of this supplement.

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

# Educational Background & Business Experience

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## **Name, Age (Year of Birth)**

Claire Silverman (1977)

## **Formal Education**

B.A. in Art History & Design from University of CA, Davis, 1999

## **Business Background (Past Five Years Only)**

Financial Advisor, Golub Group (Since 2003)

## **Description of Professional Designations**

### **Certified Financial Planner (CFP)**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services,

and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

**Examination** – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;

**Experience** – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and

**Ethics** – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

**Continuing Education** – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and

**Ethics** – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

# Disciplinary Information

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Ms. Silverman does not have any disciplinary history.

# Other Business Activities

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Ms. Silverman is not actively involved in any other investment-related business activities.

# Additional Compensation

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Ms. Silverman does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, she does not receive any economic benefit from anyone who is not a client for providing advisory services.

# Supervision

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## Describe Supervision

Claire provides broad based financial advice and services to the clients of The Golub Group and is supervised by Joe Martin. This supervision includes: 1) Quarterly Reviews of employee performance, 2) Monthly one-on-one conversations to discuss progress and areas of development, 3) Reviews of Investment Policy Statements and Financial Plans prepared for clients, 4) Regular reviews of notes entered into CRM system for client calls and meetings, 5) Periodic joint attendance on client calls and in client meetings, and 6). Weekly team meetings to discuss work being done for clients.

## Name, Title and Telephone Number of Supervisor

Joe Martin

Director, Private Client Group

(650)212-2240 or (866)604-6582







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