

**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](mailto: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.

03/30/11

# Educational Background & Business Experience

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## 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  
Managing Member

12/02 – Present

# Disciplinary Information

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NA

# Other Business Activities

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NA

# Additional Compensation

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NA

# Supervision

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## Describe Supervision

Kenneth Shubin Stein is the Managing Member 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.