

**Benjamin M. Bratt, CFA**  
Investment Advisor Representative

Tanaka Capital Management

60 East 42<sup>nd</sup> Street, Suite 4000  
New York, NY 10165  
Phone (212) 490-3380

As of March 31, 2022

**This brochure supplement provides information about Benjamin M. Bratt that supplements the Tanaka Capital Management (“TCM”) (CRD No. 109888) brochure. You should have received a copy of that brochure. Please contact us at (212) 490-3380 if you did not receive our brochure or if you have any questions about the contents of this supplement.**

**Additional information about Benjamin M. Bratt is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

Benjamin M. Bratt was born in 1992. He earned a Bachelor of Arts degree in Mathematics-Economics from Wesleyan University in 2015. Mr. Bratt earned his Chartered Financial Analyst (“CFA”) designation in 2021.

Mr. Bratt has been a Financial Adviser for TCM since joining the firm in 2015. Mr. Bratt also serves as Chief Compliance Officer. TCM is a federally registered investment advisory firm. Prior to joining TCM, Mr. Bratt was a Mutual Fund Services Intern at Brown Brothers Harriman & Company.

## **Item 3- Disciplinary Information**

Mr. Bratt has not been subject to any legal or disciplinary events that would be material to a client's or prospective client's evaluation of his services.

## **Item 4- Other Business Activities**

Mr. Bratt is not currently actively engaged in any other investment-related business or occupation.

## **Item 5- Additional Compensation**

Mr. Bratt does not receive any Economic Benefit from a non-client for providing advisory services.

For purposes of this Item, “Economic Benefits” include sales awards and other prizes, but do not include Mr. Bratt’s regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts would also be considered an economic benefit, but other regular bonuses would not.

## **Item 6 - Supervision**

Mr. Bratt’s activities on behalf of TCM are normally monitored by the firm's Chief Compliance Officer. The firm has adopted policies and procedures to oversee, monitor and control the activities of its Supervised Persons, one of which is Mr. Bratt, who is the firm’s Chief Compliance Officer, and the other is Mr. Graham Tanaka, President.

Since Mr. Bratt cannot monitor himself, the person responsible for monitoring the advice and activities provided by Mr. Bratt is:

Graham Tanaka  
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