

*This brochure supplement provides information about Evan H. Wax that supplements the Wax Asset Management LLC brochure. You should have received a copy of that brochure. Please contact Evan H. Wax, President if you did not receive Wax Asset Management LLC's brochure or if you have any questions about the contents of this supplement.*

## **Wax Asset Management LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Evan H. Wax**

Personal CRD Number: 4694935  
Investment Adviser Representative

Wax Asset Management LLC  
45 Prospect Street  
Greenwich, Connecticut 06830

UPDATED: 5/10/2011

## Item 2: Educational Background and Business Experience

**Name:** Evan H. Wax

**Born:** 1981

### Education Background and Professional Designations:

#### Education:

BA Economics, Yale University - 2003

#### Business Background:

2011 - Present	President Wax Asset Management LLC
2004 - 2010	Managing Director Hayground Cove Asset Management
2003 - 2004	Financial Analyst Goldman Sachs

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Evan H. Wax is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, Evan H. Wax does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Wax Asset Management LLC.

### **Item 6: Supervision**

As the only owner and representative of Wax Asset Management LLC, Evan H. Wax supervises all duties and activities. Evan H. Wax's contact information is on the cover page of this disclosure document.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by Connecticut securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Evan H. Wax has **NOT** been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
- B. Evan H. Wax has **NOT** been the subject of a bankruptcy petition at any time.