

## **Brochure Supplement**

**Lapides Asset Management, LLC  
500 West Putnam Avenue, 4<sup>th</sup> Floor  
Greenwich, CT 06830  
203-422-7202**

**March 30, 2020**

**This brochure supplement provides information about our supervised persons that supplements the brochure of Lapides Asset Management, LLC (“LAM”). You should have received a copy of that brochure. Please contact James F. Betz at 203-422-7202 if you did not receive LAM’s brochure or if you have any questions about the contents of this supplement.**

## **Item 2 – Educational Background and Experience**

*Steven M. Wilson*, born January 26, 1960

### Education

- 1981 Wharton School of the University of Pennsylvania, B.S.
- 1984 Chartered Financial Analyst (CFA) designation. The CFA is a globally recognized standard for measuring the competence and integrity of investment professionals. To obtain the designation, a candidate must pass a series of three practice-oriented examinations, taken in sequential levels, have relevant experience in the investment decision-making process, and uphold the stringent CFA Code and Standards.
- 1985 New York University, M.B.A.

### Business Background

- 2005-Present Lapidés Asset Management, LLC, Greenwich, CT; Investment Advisor, Founder and Managing Member, portfolio manager for all Lapidés Asset Management, LLC core investment products and senior portfolio manager for the income product
- 1994-2005 Reich & Tang Capital Management Group a division of Reich & Tang Asset Management, LLC, New York, NY; Investment Advisor, various positions, ending as Chief Investment Officer
- 1993-1994 Capital Management Group of New England Investment Companies, L.P., predecessor firm to Reich & Tang Asset Management; New York, NY; Investment Advisor, Managing Director
- 1986-1993 Reich & Tang, Inc.; New York, NY; Investment Advisor, various positions, ending as Senior Vice President

*Howard M. Fish IV*, born April 29, 1985

### Education

- 2008 Lafayette College, B.S.

### Business Background

- 2012-present Lapidés Asset Management, LLC, Greenwich, CT; Investment Advisor,

Research Assistant (2012-2017) Director of Research (2017) and Portfolio Manager-Income Product (2020)

2009-2011 The Retina Group of Washington, Washington, D.C.; Ophthalmology Clinic, Technician

**Andrey Seryy**, born January 7, 1987

Education

2013 Wayne State University, BSBA

Business Background

2013-Present Lapides Asset Management, LLC, Greenwich, CT; Investment Advisor, Research Assistant (2013-2017) Research Analyst (2017) and Portfolio Manager-Income Product (2020)

**Jake Friar**, born October 12, 1994

Education

2017 Sacred Heart University, B.S., Finance and Economics

Business Background

2017-present Lapides Asset Management, LLC, Greenwich, CT; Investment Advisor, Research Assistant (2017) and Portfolio Manager-Income Product (2020)

**Colin McLafferty**, born February 24, 1988

Education

2013 Johns Hopkins University, M.S., Electrical Engineering

2010 University of Delaware, B.S., Electrical Engineering

2019 Chartered Financial Analyst (CFA) designation. The CFA is a globally recognized standard for measuring the competence and integrity of investment professionals. To obtain the designation, a candidate must pass a series of three practice-oriented examinations, taken in sequential levels, have relevant experience in the investment decision-making process, and uphold the stringent CFA Code and Standards.

### Business Background

- 2018-present Lapidés Asset Management, LLC, Greenwich, CT; Investment Advisor, Research Assistant (2018) and Portfolio Manager-Income Product (2020)
- 2013-2018 The Advisory Board Company, Washington, D.C.; Consultant Best Practices, Senior Product Manager
- 2010-2013 Naval Surface Warfare Center, Division of DOD, Bethesda, Washington; Various engineering roles

*Ted Shaw*, born December 2, 1995

### Education

- 2017 Sacred Heart University, B.S., Finance and Economics

### Business Background

- 2017-present Lapidés Asset Management, LLC, Greenwich, CT; Investment Advisor, Research Assistant (2017) and Portfolio Manager-Income Product (2020)

### **Item 3 – Disciplinary Information**

This item is not applicable.

### **Item 4 – Other Business Activities**

This item is not applicable.

### **Item 5 – Additional Compensation**

This item is not applicable.

### **Item 6 – Supervision**

James F. Betz, LAM's Chief Compliance Officer, maintains ultimate responsibility for LAM's operations including supervision of all aspects of LAM's compliance operations. Mr. Betz discusses operational and compliance issues with Steven M. Wilson, LAM's Managing Member, on a regular basis. Mr. Betz can be reached at (203) 422-7202 or [jbetz@lapides-am.com](mailto:jbetz@lapides-am.com).