

*Gofen and Glossberg, L.L.C.*

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**This brochure supplement provides information about Gofen and Glossberg investment advisor representatives that supplements the Gofen and Glossberg, L.L.C. brochure. You should have received a copy of that brochure. If you did not receive a Gofen and Glossberg brochure or if you have any questions about the contents of this brochure supplement, please contact us at [mbrown@gofen.com](mailto:mbrown@gofen.com).**

**Additional information about Gofen and Glossberg, L.L.C. is also available at the SEC website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **James G. Borovsky**

Born April 25, 1958

#### Educational Background

Occidental College (Bachelor of Arts, 1980)

Harvard University (Master of Public Policy, 1983)

#### Business Background

Gofen and Glossberg, L.L.C. 1984—Present

#### Disciplinary Information

Mr. Borovsky does not have any regulatory action to report. Public information concerning Mr. Borovsky's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Joseph B. Glossberg**

Born April 2, 1941

#### Educational Background

University of Pennsylvania (Bachelor of Science, 1963)

University of Pennsylvania (Master of Business Administration, 1965)

#### Professional Designations

Chartered Financial Analyst [CFA]

Chartered Investment Counselor [CIC]

#### Business Background

Gofen and Glossberg, L.L.C. 1965—Present

#### Disciplinary Information

Mr. Glossberg does not have any regulatory action to report. Public information concerning Mr. Glossberg's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Charles S. Gofen**

Born December 19, 1964

#### Educational Background

Stanford University (Bachelor of Arts, 1987)

Harvard University (Master of Public Policy, 1991)

#### Professional Designations

Chartered Financial Analyst [CFA]

Chartered Investment Counselor [CIC]

#### Business Background

Gofen and Glossberg, L.L.C. 1992—Present

#### Disciplinary Information

Mr. Gofen does not have any regulatory action to report. Public information concerning Mr. Gofen's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **William H. Gofen**

Born October 22, 1931

#### Educational Background

University of Wisconsin (Bachelor of Arts, 1952)

Harvard University (Master of Business Administration, 1954)

#### Professional Designations

Chartered Investment Counselor [CIC]

#### Business Background

Gofen and Glossberg, L.L.C. 1956—Present

#### Disciplinary Information

Mr. Gofen does not have any regulatory action to report. Public information concerning Mr. Gofen's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Mark R. Goodman**

Born July 29, 1947

#### Educational Background

University of Illinois, Chicago (Bachelor of Science, 1969)

DePaul University (Master of Business Administration, 1974).

#### Professional Designations

Chartered Financial Analyst [CFA]

Chartered Investment Counselor [CIC]

#### Business Background

Gofen and Glossberg, L.L.C. 1971—Present

#### Disciplinary Information

Mr. Goodman does not have any regulatory action to report. Public information concerning Mr. Goodman's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Peter B. Kupferberg**

Born June 13, 1961

#### Educational Background

Grinnell College (Bachelor of Arts, 1983)

University of Chicago (Master of Business Administration, 1988)

#### Business Background

Gofen and Glossberg, L.L.C. 1992—Present

#### Disciplinary Information

Mr. Kupferberg does not have any regulatory action to report. Public information concerning Mr. Kupferberg's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.



## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **John W. Myers**

Born July 22, 1953

#### Educational Background

University of Colorado (Bachelor of Arts, 1975)

University of North Carolina (Master of Business Administration, 1981)

#### Business Background

Gofen and Glossberg, L.L.C. 1989—Present

#### Disciplinary Information

Mr. Myers does not have any regulatory action to report. Public information concerning Mr. Myers's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Jonathan T. Vree**

Born May 29, 1972

#### Educational Background

University of Michigan (Bachelor of Arts, 1994)

Northwestern University (Master of Business Administration, 2002)

#### Business Background

Gofen and Glossberg, L.L.C. 2007—Present

#### Disciplinary Information

Mr. Vree does not have any regulatory action to report. Public information concerning Mr. Vree's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Daniel J. Sobol**

Born February 23, 1956

#### Educational Background

DePaul University (Bachelor of Science, 1978)

Northwestern University (Master of Business Administration, 1986)

#### Business Background

Gofen and Glossberg, L.L.C. 1978—Present

#### Disciplinary Information

Mr. Sobol does not have any regulatory action to report. Public information concerning Mr. Sobol's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

**GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

**Michael J. Stelmacki**

Born May 23, 1974

Educational Background

University of Notre Dame (Bachelor of Business Administration, 1996)

Professional Designations

Chartered Financial Analyst [CFA]

Business Background

Gofen and Glossberg, L.L.C. 2000—Present

Disciplinary Information

Mr. Stelmacki does not have any regulatory action to report. Public information concerning Mr. Stelmacki's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Mary Pat Burke**

Born March 2, 1965

#### Educational Background

University of Illinois, Urbana-Champaign (Bachelor of Science 1987)

Loyola University, Chicago (Master of Business Administration, 1989)

#### Professional Designations

Chartered Financial Analyst [CFA]

#### Business Background

Gofen and Glossberg, L.L.C. 2004—Present

#### Disciplinary Information

Ms. Burke does not have any regulatory action to report. Public information concerning Ms. Burke's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Scott Frazin**

Born December 26, 1983

#### Educational Background

Columbia University (Bachelor of Arts, 2006)

University of Chicago Booth School of Business (Master of Business Administration, 2013)

#### Professional Designations

Chartered Financial Analyst [CFA]

#### Business Background

Gofen and Glossberg, L.L.C. 2013—Present

#### Disciplinary Information

Mr. Frazin does not have any regulatory action to report. Public information concerning Mr. Frazin's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Michael Benoit**

Born May 9, 1975

#### Educational Background

University of Illinois, Urbana-Champaign (Bachelor of Science, Accountancy, 1997)

#### Professional Designations

Chartered Financial Analyst [CFA]

Certified Public Accountant [CPA]

#### Business Background

Gofen and Glossberg, L.L.C. 2018—Present

Fort Washington Advisors-Chicago—2011-2018  
Senior Equity Research Analyst

#### Disciplinary Information

Mr. Benoit does not have any regulatory action to report. Public information concerning Mr. Benoit's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.

## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **John Ptak**

Born November 4, 1974

#### Educational Background

Indiana University (Bachelor of Science, Accountancy, 1996)

#### Professional Designations

Chartered Financial Analyst [CFA]

#### Business Background

Gofen and Glossberg, L.L.C. 2014—Present

#### Disciplinary Information

Mr. Ptak does not have any regulatory action to report. Public information concerning Mr. Ptak's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### Other Business Activities

There is nothing to report for this item.



## **GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES**

### **Molly Carl**

Born June 6, 1969

#### **Educational Background**

University of Illinois, Urbana-Champaign (Bachelor of Arts, Economics, 1991)

University of Chicago Booth School of Business (Master of Business Administration, 1997)

#### **Professional Designations**

Chartered Financial Analyst [CFA]

#### **Business Background**

Gofen and Glossberg, L.L.C. 2021—Present

Northern Trust—2016-2021

#### **Disciplinary Information**

Ms. Carl does not have any regulatory action to report. Public information concerning Ms. Carl's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### **Other Business Activities**

There is nothing to report for this item.

## **Supervision**

Gofen and Glossberg investment adviser representatives are supervised by Mark A. Brown, General Counsel and Chief Compliance Officer, through reviews of security holdings and transaction reports, correspondence, and other internal reports as mandated by the firm and regulatory authorities. Mr. Brown can be reached at 312.828.1100.

## **Chartered Financial Analyst [CFA]**

The Chartered Financial Analyst (CFA) charter is a graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

To earn the CFA charter, candidates must:

- Pass three sequential, six-hour examinations;
- Have at least four years of qualified professional investment experience;
- Join CFA Institute as members; and
- 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 charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Comprehensive and Current Knowledge**

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.

## **Chartered Investment Counselor [CIC]**

In 1975, the Investment Adviser Association established the Chartered Investment Counselor (CIC) Program in order that excellence and experience in the investment counsel profession might be better recognized.

The Charter was designed to recognize the special qualifications of persons employed by IAA member firms whose primary duties are consistent with section 208(c) of the Investment Advisers Act of 1940 (pertaining to the use of the term “investment counsel”), as well as with the professional responsibilities and professional qualifications set forth in Sections I and II of the Association’s Standards of Practice:

- *An investment adviser is a fiduciary and has the responsibility to render professional, continuous, and unbiased investment advice oriented to the investment goals of each client.*
- *To enable a member firm to serve its clientele effectively, its investment and managerial personnel should be individuals of experience, ability, and integrity.*

The CIC program was initially developed in cooperation with the Institute of Chartered Financial Analysts. Today, a key educational component of the program is the requirement that candidates hold the Chartered Financial Analyst (CFA) designation, administered by the CFA Institute (formerly the Association for Investment Management and Research). In addition to successful completion of the CFA program, the CIC designation requires candidates to demonstrate significant experience in performing investment counseling and portfolio management responsibilities. At the time the charter is awarded, candidates must be employed by an IAA member firm, must provide work and character references, must endorse the IAA’s Standards of Practice, and must provide professional ethical information.