

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.

Additional information about Gofen and Glossberg, L.L.C. is also available at the SEC website at 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.

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.

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.

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.

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.

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.

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.

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.

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.

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.

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.

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.

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.

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.

Other Business Activities

There is nothing to report for this item.

GOFEN AND GLOSSBERG INVESTMENT ADVISER REPRESENTATIVES

Julie Kessler

Born September 18, 1988

Educational Background

University of Notre Dame (Bachelor of Arts, Political Science, 2011)

Professional Designations

Chartered Financial Analyst [CFA]

Business Background

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

GCM Grosvenor- 2014-2021

Disciplinary Information

Ms. Kessler does not have any regulatory action to report. Public information concerning Ms. Kessler's registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at 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.