

Item 1

Glenn A. Baker

400 Skokie Blvd, Suite 850
Northbrook, IL 60062
847-504-1455

March 26, 2012

This Brochure Supplement provides information about Glenn A. Baker that supplements the Baker & Yoest Investment Advisers, Inc. Brochure. You should have received a copy of that Brochure. Please contact Glenn A. Baker, (847) 504-1455, if you did not receive Baker & Yoest Investment Advisers, Inc.'s Brochure or if you have any questions about the contents of this supplement.

Item 2 – Educational Background and Business Experience

BORN: 1954

EDUCATION:

Graduated from Loyola University with a BBA in Accounting in 1976.

Graduated from John Marshall Law School with a JD (earned with distinction) in 1982.

RECENT EMPLOYMENT HISTORY:

President, Chief Compliance Officer, Baker & Yoest Investment Advisers, Inc. from 09/2008 to present.

Registered Representative, Genworth Financial Securities Corporation from 02/2004 to present.

Associate, Hochman & Baker Investment Advisory, Inc., from 08/2008 to 5/2009

Vice President, Hochman & Baker Investment Advisors, Inc. from 08/2006 to 08/2008.

President, Hochman & Baker Financial Services, Inc. 12/2003 to 08/2008.

President, Hochman & Baker Securities, Inc. from 04/1987 to 02/2004.

President, Hochman & Baker Insurance Services, Inc. from 04/1987 to 07/2004.

President, Hochman & Baker Investment Advisory Services, Inc. from 09/1986 to 10/2005.

Investment Adviser Representative, Genworth Financial Advisers Corporation from 02/2004 to present.

President, Hochman & Baker, Inc. from 08/1986 to 07/2004.

Executive, GNA Corp, a subsidiary of GE Capital, from 02/2004 to 01/2005.

Vice President, Prudential Financial from 12/1999 to 01/2004.

Investment Adviser Representative, Genworth Financial Planning Corporation from 10/2005 to 4/2008.

EXAMINATIONS AND PROFESSIONAL DESIGNATIONS:

NASAA Series 65, Uniform Investment Advisor Law Examination, 1998
NASAA Series 63, Uniform Securities Agent State Law Examination, 1988
FINRA Series 7, General Securities Representative Examination, 1984
FINRA Series 24, General Securities Principal Examination, 1987
FINRA Series 27, Financial and Operations Principal, 1987

Attorney, admitted in the state of Illinois, 1982

Certified Public Accountant (CPA), 1979

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members¹ are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

Personal Financial Specialist (PFS), 2010

The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 80 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's *Code of Professional Conduct*, and is encouraged to follow AICPA's *Statement on Responsibilities in Financial Planning Practice*. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

Item 3 – Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

Item 4 – Other Business Activities

I am a registered representative of Genworth Financial Securities Corp. Genworth Financial Securities Corp. is a registered broker/dealer and a member of FINRA and SIPC. My affiliation with Genworth Financial Securities Corp. creates limited potential material conflicts of interest for advisory clients because my commissions are customary and competitive for the marketplace. However, brokerage services may be available elsewhere at a lower cost. At no time is any client obligated to purchase securities through Genworth Financial Securities Corp.

I am a licensed insurance agent and will, from time to time, offer clients advice or products from those activities. Clients should be aware that insurance services pay a commission and involve a possible conflict of interest, as commission-able products can conflict with the fiduciary duties of a registered investment advisor. Baker & Yoeast Investment Advisers, Inc. always acts in the best interest of the client; including the sale of commission-able products to advisory clients. Clients are in no way required to implement the plan through any representative of Baker & Yoeast Investment Advisers, Inc. in their capacity as an insurance agent.

I am also affiliated with another registered investment advisory firm, named Genworth Financial Advisers Corp. in order to offer financial planning or other advisory services that may not be available through Baker & Yoeast Investment Advisers Inc. Genworth Financial Advisers Corp. and Baker & Yoeast Investment Advisers Inc. are not affiliated entities. Genworth Financial Advisers Corp. is registered with the SEC.

I am not a registered or have an application pending to register as a broker/dealer and I am not a registered or associated person of a futures commission merchant, commodity pool operator, or commodity trading adviser.

I am a FINRA Dispute Resolution Arbitrator. This position is not affiliated with Baker & Yoeast Investment Advisers, Inc. and does not provide a substantial source of my income or involve a substantial amount of my time.

Item 5- Additional Compensation

No one provides me any additional economic benefit for providing advisory services.

Item 6 – Supervision

I am the owner of Baker & Yoest Investment Advisers, inc. and am not supervised. However, my investment selections and decisions are periodically reviewed by Lisa Yoest, CFP. Ms. Yoest is an Advisory Representative of Baker & Yoest Investment Advisers and can be reached at (847) 504-1455 or LYoest@BakerYoest.com.

I supervise the quality of the advice I give to my clients. I have access to your custodial account statements and your quarterly performance reports, which I review. I also communicate with you on a quarterly basis and offer to meet with you as frequently as requested.

My branch office is subject to a periodic independent audit which includes a review of client files and verifies that I am servicing clients in accordance with firm policies.

Item 7 – Requirements for State Registered Advisers

Glenn Baker has not been involved in any arbitration cases or civil proceedings where judgement was found against him, nor has Glenn Baker filed a petition for bankruptcy.