

**Item 1**

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**This Brochure Supplement provides information about Rebecca Coleman that supplements the Baker & Yoest Investment Advisers, Inc. Brochure. You should have received a copy of that Brochure. Please contact Glenn A. Baker, 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**

I was born in 1968.

**FORMAL EDUCATION**

I have the following educational background:

*University of Illinois at Urbana-Champaign, 1986-08 to 1990-05 Bachelor of Science  
Accountancy*

*DePaul University 2002-08 to 2006-03 Master of Science Taxation*

**RECENT WORK EXPERIENCE**

I have the following business background:

Partner, Coleman & Associates CPAs Ltd 01/2004 to present.

Registered Representative, Genworth Financial Securities Corporation from 07/2004 to present.

Investment Adviser Representative, Genworth Financial Advisers Corporation from 07/2004 to present.

Solicitor, Baker & Yoest Investment Advisers, Inc. from 4/2009 to present.

**EXAMINATIONS AND PROFESSIONAL DESIGNATIONS:**

FINRA Series 7, General Securities Representative Examination, 2001

FINRA Series 66, Uniform Combined State Law Examination, 2001

## PROFESSIONAL DESIGNATIONS

I hold the following professional designations:

### Designation Name/Accredited Sponsor/Date Earned

CPA - Certified Public Accountant *University of Illinois 3/4/1991*

PFS - Personal Financial Specialist *American Institute of Certified Public Accountants 1/31/2009*

### CPA - Certified Public Accountant

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) members 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.

### PFS - Personal Financial Specialist

Prerequisites are to meet all of the following requirements: be a member of the AICPA; hold an unrevoked state issued CPA certificate; have at least two years of full-time business personal financial planning experience or 3,000 hours equivalent experience (including up to 1,000 hours of tax compliance) and a minimum of 80 hours of personal financial planning education within the five-year period preceding the date of the PFS application. There is a Final Certification Exam. CE is 60 hours of continuing professional education every three years related to the personal financial planning body of knowledge.

## Item 3 Disciplinary Information

I have not been involved in any legal or disciplinary proceeding material to a client's determination of my integrity or my financial advice.

## **Item 4 - Other Business Activities**

### **INVESTMENT-RELATED BUSINESS ACTIVITIES**

I am engaged in the following investment-related business activities in addition to serving acting as a solicitor of Baker & Yoest Investment Advisers, Inc. I recognize that these activities may raise conflicts of interests and describe how I address them and any compensation I receive from these activities.

I am also a Registered Representative Genworth Financial Securities Corporation. Genworth Financial Securities Corporation 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 receive no additional economic benefits that could create a material conflict of interest.

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 & Yoest Investment Advisers Inc. Genworth Financial Advisers Corp. and Baker & Yoest 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.

### **NON-INVESTMENT-RELATED BUSINESS ACTIVITIES**

I am involved in non-investment-related business activities that provide a substantial source of my income or involve a substantial amount of my time.

Description: I am a partner at Coleman & Assoc. CPAS'S LTD, which is not affiliated with Baker & Yoest Investment Advisers, Inc.

Conflict of Interest: N/A

## **Item 5 Additional Compensation**

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

**Item 6 – Supervisory System**

I am a solicitor for Baker & Yoest Investment Advisers, Inc. and may receive referral fee. I do not provide investment advice or quarterly performance reports to clients that I refer to Baker & Yoest Investment Advisers, Inc. I am not a partner, officer, director or employee of Baker & Yoest Investment Advisers, Inc. Any questions regarding this relationship should be directed to Glenn A. Baker, owner and an Advisory Representative of Baker & Yoest Investment Advisers. He can be reached at (847) 504-1455 or GBaker@BakerYoest.com.

**Item 7 – Requirements for State Registered Advisers**

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