

Item 1

Anne C. Ruzicka

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Northbrook, IL 60062
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This Brochure Supplement provides information about Anne C. Ruzicka 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: 1946

EDUCATION:

Graduated from University of Kentucky 1969 Master of Science Accounting
Beta Sigma Phi, Beta Alpha Psi, Graduated with Honors and Distinction

RECENT EMPLOYMENT HISTORY:

Vice President, Owner, Ruzicka & Associates Ltd 09/1976 to present.
Registered Representative, Genworth Financial Securities Corporation from 06/2004 to present.
Investment Adviser Representative, Genworth Financial Advisers Corporation from 07/2004 to present.
Solicitor, Baker & Yoest Investment Advisers, Inc. from 3/2009 to present.

EXAMINATIONS AND PROFESSIONAL DESIGNATIONS:

FINRA Series 6, Investment Company Products/Variable contracts Representative Examination, 1989
FINRA Series 63, Uniform Securities Agent State Law Examination, 1991
FINRA Series 7, General Securities Representative Examination, 1991
FINRA Series 65, Uniform Investment Adviser Law Examination, 2001

Certified Public Accountant (CPA), 1972

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.

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 engaged in the following investment-related business activities in addition to serving acting as a solicitor of Baker & Yost 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 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 & Yost Investment Advisers,

Inc. always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Baker & Yoest 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 & 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.

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. I own a tax and accounting practice; Ruzicka & Associates, Ltd., which is not affiliated with Baker & Yoest Investment Advisers, Inc.

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

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