

Form ADV - Part 2B

Brochure Supplement

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Lebenthal Asset Management LLC

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This brochure supplement provides information about; Alexandra Lebenthal, Christopher C. Liu, Gregory W. Serbe, James B. Lebenthal, John B. Carey, Robert Morgan, Paul T. Barbera, Grover McKean, Leila Heckman, John Mullin and Vijay Chopra. This information supplements the Lebenthal Asset Management LLC brochure. You should have received a copy of that brochure. Please contact Monique Schulman, Chief Compliance Officer, if you did not receive Lebenthal Asset Management LLC brochure or if you have any questions about the contents of this supplement.

Additional information about Christopher C. Liu, Gregory W. Serbe, John B. Carey, Robert Morgan, James B. Lebenthal and Paul T. Barbera is available on the SEC's website at

www.adviserinfo.sec.gov.

Name: Alexandra Lebenthal

Age/Date of Birth: 48

Formal Education (post high school):

Princeton University '86 - A.B. in History.

Business Background (past 5 years):

Lebenthal Holdings LLC, Lebenthal Family Wealth Management: President & CEO (9/12-Present)

Lebenthal Asset Management, LLC: Chairwoman (9/12-Present)

Lebenthal & Co., LLC: President & CEO (9/07-Present)

Alexandra & James, LLC, Alexandra & James Advisory Services, LLC President & CEO (09/07-9/12).

President & CEO of Alexandra & James, LLC and Registered Representative of IDB Capital Corp (10/06-03/08).

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: Ms. Lebenthal holds a current FINRA securities registration. As a result, she may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management LLC affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures. Ms. Lebenthal is President & CEO of Lebenthal – Family Wealth Management which does not present a conflict of interest with her advisory duties. Ms. Lebenthal is a board member of Broadridge Financial Solutions where she receives non-material quarterly compensation for her services on the board. There is no relationship between Lebenthal Asset Management and Broadridge Financial Solutions and, Mrs. Lebenthal's activities as a board member does not present a conflict of interest.

Additional Compensation: None.

Supervision: Ms. Alexandra Lebenthal is the Chairwoman of the Adviser and the investment advice that Mrs. Lebenthal provides to Lebenthal Asset Management is not subject to supervision. The activities of all supervised persons, including Ms. Lebenthal, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A.

Name: James B. Lebenthal

Age/Date of Birth: 44

Formal Education (post high school):

Wharton School of Business '99 – M.B.A. in Business

Princeton University '90 – B.A. in Molecular Biology

Business Background (past 5 years):

Lebenthal Holdings LLC: CFO (9/12-Present)

Lebenthal Asset Management, LLC: President & CIO (9/12-Present)

Lebenthal Asset Management: President of Equity Asset Management (2007- Present)

Alexandra & James, LLC: Chief Financial Officer (2007- 9/12)

Alexandra & James Advisory Services, LLC: Chief Investment Officer (2007-9/12)

Levy, Harkins & Co.: Partner (2004-2007)

Professional Designations: 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: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm adherence to, the CFA Institute Code of Ethics and Standards of Professional Conduct. For more information visit: www.cfainstitute.org.

Disciplinary Actions: None.

Other Business Activities: Mr. Lebenthal holds a current FINRA securities registration. As a result, he may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management, LLC affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Additional Compensation: None.

Supervision: Mr. James B. Lebenthal is the President & Portfolio Manager of the Adviser and the investment advice that Mr. Lebenthal provides to Lebenthal Asset Management is not subject to supervision. The activities of all supervised persons, including Mr. Lebenthal, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A.

Name: Gregory W. Serbe

Age/Date of Birth: 67

Formal Education (post high school):

University of Chicago '71 - M.B.A. International Finance

Louvain University in Louvain, Belgium '70 - License en Sciences Economiques Appliquees

Yale University '67 - B.A. History

Business Background (past 5 years):

Lebenthal Asset Management, LLC: Portfolio Manager (9/12-Present)

Lebenthal Asset Management: President of Municipal Management (9/07-Present).

Alexandra & James Advisory Services, LLC: Portfolio Manager (09/07-9/12)

BlackRock: Vice President & Portfolio Manager (10/06-8/07).

Merrill Lynch Investment Managers: Vice President (2005-2006).

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: Mr. Serbe holds a current FINRA securities registration. As a result, he may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management, LLC affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Additional Compensation: None.

Supervision: Mr. Gregory W. Serbe is the Portfolio Manager of the Adviser and the investment advice that Mr. Serbe provides to Lebenthal Asset Management is not subject to supervision. The activities of all supervised persons, including Mr. Serbe, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: John B. Carey

Age/Date of Birth: 62

Formal Education (post high school):

Pennsylvania State University '73 - M.B.A. Finance

Susquehanna University '72 - B.A. Economics

Business Background (past 5 years):

Lebenthal Asset Management, LLC: Managing Director (9/12-Present)

Alexandra & James Advisory Services LLC: Managing Director (2009-9/12)

U.S. Trust/Bank of America: Senior Vice President & Portfolio Manager (1974-2009)

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: None.

Additional Compensation: None.

Supervision: Mr. John B. Carey is supervised by Mr. James B. Lebenthal, President, on a continuous basis. Mr. Lebenthal's telephone number is 212-490-1947. In addition, the activities of all supervised persons, including Mr. Carey's, is subject to the Adviser's compliance policies and procedures which are administered by Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: Robert Morgan

Age/Date of Birth: 39

Formal Education (post high school):

Georgetown University'96 - B.S.B.A. Business Administration

Business Background (past 5 years):

Lebenthal Asset Management, LLC: Assistant Portfolio Manager (9/12-Present)

Lebenthal Asset Management: Vice President of Municipal Management (3/11-Present)

Alexandra & James Advisory Services, LLC: Assistant Portfolio Manager (3/11-9/12)

First Investors Management Co.: Municipal Trader (4/01-3/11)

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: Mr. Morgan holds a current FINRA securities registration. As a result, he may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Additional Compensation: None.

Supervision: Mr. Robert Morgan is the Assistant Portfolio Manager of the Adviser and the investment advice that Mr. Morgan provides to Lebenthal Asset Management is subject to the supervision of Gregory W. Serbe. The activities of all supervised persons, including Mr. Morgan, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: Christopher C. Liu

Age/Date of Birth: 27

Formal Education (post high school):

New York University '05 - College of Arts & Science: B.A. Economics & B.A. East Asian Studies.

Business Background (past 5 years):

Lebenthal Asset Management, LLC: Junior Portfolio Manager (9/12-Present)

Alexandra & James Advisory Services LLC: Junior Portfolio Manager (10/09-9/12).

U.S. Trust, Bank of America - Private Wealth Management: Portfolio Manager Associate (8/06-10/09).

NY Immigration Services: (09/02-08/06).

Professional Designations: 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: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm adherence to, the CFA Institute Code of Ethics and Standards of Professional Conduct. For more information visit: www.cfainstitute.org.

Disciplinary Actions: None.

Other Business Activities: Mr. Liu holds a current FINRA securities registration. As a result, he may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Additional Compensation: None.

Supervision: Mr. Christopher C. Liu is supervised by Mr. James B. Lebenthal, President, on a continuous basis. Mr. Lebenthal's telephone number is 212-490-1947. In addition, the activities of all supervised persons, including Mr. Liu, is subject to the Adviser's compliance policies and procedures which are administered by Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: Paul T. Barbera

Age/Date of Birth: 60/October 3, 1952

Formal Education (post high school):

Pace University '76 - B.S.B.A. Business Administration

Business Background (past 5 years):

Lebenthal Asset Management, LLC: VP Institutional Sales (2012-Present)

Wells Fargo: Financial Advisor (2006-2012)

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: Mr. Barbera holds a current FINRA securities registration. As a result, he may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Additional Compensation: None.

Supervision: Mr. Paul Barbera is supervised by Mr. James B. Lebenthal, President, on a continuous basis. Mr. Lebenthal's telephone number is 212-490-1947. In addition, the activities of all supervised persons, including Mr. Barbera, is subject to the Adviser's compliance policies and procedures which are administered by Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: Leila Heckman

Age/Date of Birth: 69

Formal Education (post high school):

Polytechnic Institute of NYU '82 – PhD Operations Research

Cornell University '68 – M.S. Operations Research

Brown University '66 - B.A. Mathematics

Business Background (past 5 years):

Roosevelt Investment Group: Managing Director (2/2012 – 1/2014)

Mesirow Financial: Managing Director (11/2008-1/2012)

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: Mr. Leila Heckman holds a current FINRA securities registration. As a result, she may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management, LLC affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Further, Ms. Heckman has been on the Sun Life Financial U.S. Board for 9 years. She has been a member of NYU/Polytechnic University's Board of Trustees for 15 years (and has been Chair of the Investment Committee) and is on the investment committees for the International Rescue Committee (IRC) and the Fieldston Schools. She also services on the Advisory Committee for Cornell University's Financial Engineering Program. She is a member of the Council on Foreign Relations.

Additional Compensation: None.

Supervision: Ms. Heckman is the Portfolio Manager of the Adviser and the investment advice that Ms. Heckman provides to Lebenthal Asset Management is not subject to supervision. The activities of all supervised persons, including Mr. Heckman, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: John J. Mullin

Age/Date of Birth: 55 years old

Formal Education (post high school):

University of California, Los Angeles '89 – Ph.D. in Economics

University of California, Berkeley '81 – B.A. in Economics and History

Business Background (past 5 years):

Roosevelt Investment Group: Portfolio Manager (2/12- 1/14)

Mesirow Financial: Portfolio Manager (11/08 – 1/12)

Bear Stearns Asset Management: Portfolio Manager 6/05 – 10/08

Prism Global Advisors: Portfolio Manager 5/02 – 5/05

ABN AMRO: Equity Strategist: 1/98 – 3/01

Salomon Brothers: Equity Strategist: 1996 – 1997

Smith Barney: Equity Strategist: 1994 – 1996

Federal Reserve Bank of New York: Senior Economist: 1989 - 1994

Professional Designations: None.

Disciplinary Actions: None.

Other Business Activities: Mr. John Mullin holds a current FINRA securities registration. As a result, he may receive commissions and service fees from the adviser's relationship with Lebenthal Asset Management, LLC affiliate Lebenthal & Co. in connection with brokerage services, which could give the adviser an incentive to recommend investment products based on the compensation received, rather than the client's needs. Any conflict that may arise is subject to the Lebenthal Asset Management, LLC compliance policies and procedures.

Additional Compensation: None.

Supervision: Mr. John J. Mullin is the Portfolio Manager of the Adviser and the investment advice that Mr. Mullin provides to Lebenthal Asset Management is not subject to supervision. The activities of all supervised persons, including Mr. Mullin, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Monique Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

Name: Vijay Chopra

Age/Date of Birth: 50

Formal Education (post high school):

Indian Institute of Technology, New Delhi '85 – Bachelor of Technology

Vanderbilt University '88 - M.B.A. Finance

Vanderbilt University '90 – PH.D - Finance

Business Background (past 5 years):

Roosevelt Investment Group: Portfolio Director/Managing Director (2/2012 – 1/2014)

Mesirow Financial: Portfolio Director/Managing Director (11/2008- 1/2012)

Professional Designations: CFA (1996)

Disciplinary Actions: None.

Other Business Activities: None.

Additional Compensation: None.

Supervision: Mr. Chopra is the Portfolio Manager of the Adviser and the investment advice that Mr. Chopra provides to Lebenthal Asset Management is not subject to supervision. The activities of all supervised persons, including Mr. Chopra, is subject to the Adviser's compliance policies and procedures which are administered by Ms. Monique Schulman, the Chief Compliance Officer of the Adviser. Ms. Monique Schulman's telephone number is 212-682-0531.

Requirements for State-Registered Advisers: N/A

