

## **Part 2B of Form ADV: *Brochure Supplement***

### **D. Douglas Close**

Gryphon Advisors, LLC  
1578 Sherman Avenue  
Evanston, IL 60201  
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This brochure supplement provides information about D. Douglas Close that supplements the Gryphon Advisors brochure. You should have received a copy of that brochure. Please contact D. Douglas Close if you did not receive Gryphon Advisors' brochure or if you have any questions about the contents of this supplement.

Additional information about D. Douglas Close is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 Educational, Background and Business Experience**

**Full Legal Name:** David Douglas Close

**Born:** 1957

**Education:**

- Loyola University of Chicago; B.B.A., Public Accounting; 1981.

**Business Experience:**

- Gryphon Advisors, LLC; President, Managing Member; from 08/2006 to Present.
- Close and Associates, LLC; Managing Member; from 01/1985 to Present.
- Takaki Close and Associates, LTD.; President; from 04/1993 to 08/2006.

**Designations:**

- Certified Financial Planner; CFP Board; 1993. *The program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards. For more information on the CFP® designation, please visit <http://www.cfp.net/certificants/ADVexplanation.asp>*
- Certified Public Accountant (CPA); Illinois Board of Examiners; 1982. *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). For more information about the CPA designation please visit <https://www.aicpa.org/becomeacpa/licensure.html>*

## **Item 3 Disciplinary Information**

**Disciplinary History:**

- D. Douglas Close has no reportable disciplinary history.

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

##### **Investment-Related Activities:**

- D. Douglas Close is not engaged in any other investment-related activities.
- D. Douglas Close does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

##### **Non Investment-Related Activities:**

- D. Douglas Close is the owner and managing member of Close & Associates, LLC (“C&A”). C&A is an accounting firm that provides tax preparation services for some Gryphon clients.

#### **Item 5 Additional Compensation**

- D. Douglas Close does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## **Part 2B of Form ADV: *Brochure Supplement***

**Anthony John Sapienza**

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1578 Sherman Avenue  
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Phone: (847)-424-0465  
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This brochure supplement provides information about Anthony John Sapienza that supplements the Gryphon Advisors brochure. You should have received a copy of that brochure. Please contact D. Douglas Close if you did not receive Gryphon Advisors' brochure or if you have any questions about the contents of this supplement.

Additional information about Anthony John Sapienza is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 Educational, Background and Business Experience**

**Full Legal Name:** Anthony John Sapienza

**Born:** 1979

**Education:**

- University of Wisconsin; B.B.A., Finance; 2002.

**Business Experience:**

- Gryphon Advisors, LLC; Principal; from 01/2021 to Present.
- Gryphon Advisors, LLC; Manager; from 08/2006 to 12/2020.
- Takaki Close and Associates, LTD.; Manager; from 02/2004 to 08/2006.
- Harris Bank and Trust; Associate Underwriter; from 04/2003 to 10/2003.

**Designations:**

- Certified Financial Planner; Financial Planning Association; 2007. *The program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.*

## **Item 3 Disciplinary Information**

**Disciplinary History:**

- Anthony John Sapienza has no reportable disciplinary history.

## **Item 4 Other Business Activities**

**Investment-Related Activities:**

- Anthony John Sapienza is not engaged in any other investment-related activities.
- Anthony John Sapienza does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

**Non Investment-Related Activities:**

- Anthony John Sapienza is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

## **Item 5 Additional Compensation**

- Anthony John Sapienza does not receive any economic benefit from a non-advisory client for the provision of advisory services.

**Item 6 Supervision**

**Supervisor:** D. Douglas Close, President and CCO

**Phone Number:** 847-424-0465

## **Part 2B of Form ADV: *Brochure Supplement***

**John Patrick Swee**

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1578 Sherman Avenue  
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This brochure supplement provides information about John Patrick Swee that supplements the Gryphon Advisors brochure. You should have received a copy of that brochure. Please contact D. Douglas Close if you did not receive Gryphon Advisors' brochure or if you have any questions about the contents of this supplement.

Additional information John Patrick Swee is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 Educational, Background and Business Experience**

**Full Legal Name:** John Patrick Swee

**Born:** 1985

### **Education:**

- Northwestern University; B.A., Economics & English Literature; 2008.
- University of Chicago Booth School of Business; MBA; 2021.

### **Business Experience:**

- Gryphon Advisors, LLC, Principal, from 01/2021 to Present
- Gryphon Advisors, LLC; Manager; from 10/2008 to 12/2020.

### **Designations:**

- Certified Financial Planner; Financial Planning Association; 2012. *The program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.*

## **Item 3 Disciplinary Information**

### **Disciplinary History:**

- John Patrick Swee has no reportable disciplinary history.

## **Item 4 Other Business Activities**

### **Investment-Related Activities:**

- John Patrick Swee is not engaged in any other investment-related activities.
- John Patrick Swee does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### **Non Investment-Related Activities:**

- John Patrick Swee is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

## **Item 5 Additional Compensation**

- John Patrick Swee does not receive any economic benefit from a non-advisory client for the provision of advisory services.



**Item 6 Supervision**

**Supervisor:** D. Douglas Close, President and CCO

**Phone Number:** 847-424-0465