



RW Baker Wealth Management Group LLC

100 W. 17TH STREET
CHEYENNE, WY 82001
307-514-4445

Rosalyn Wallach Baker
2B Supplemental Brochure

September 2018

The Brochure Supplement provides information about Rosalyn Baker (CRD#1078293) that supplements the RW Baker Wealth Management Group LLC Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer at 307-630-5466. if you did not receive RW Baker Wealth Management Group LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Rosalyn Baker is available on the SEC's website at [SEC Adviser Info](#). You can search this site by a unique identifying number, known as the CRD number listed above.

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Rosalyn W. Baker

Born: 1940

Post-Secondary Education:

- Successfully completed the General Securities Representative Examination (Series 7), and Uniform Investment Adviser Law Examination (Series 65)
- Insurance Licenses in Life, Accident, Health & Variable Annuities

Recent Business Experience:

- *RW Baker Wealth Management Group LLC*, Investment Advisor Representative/ Owner, 06/2018- Present
- *Purshe Kaplan Sterling, LLC*, Registered Representative, 06/2018 – Present
- *RBC Capital Markets LLC*, Financial Advisor, 06/1998 – 06/2018
- *Dain Rauscher Incorporated*, Financial Advisor, 05/1983 - 1998

ITEM 3 - DISCIPLINARY INFORMATION

Rosalyn Baker has no history of any legal or disciplinary events that deems to be material to a client's consideration of Rosalyn Baker to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Rosalyn Baker that is not included in this brochure supplement. ([SEC Adviser Info](#)).

ITEM 4 - OTHER BUSINESS ACTIVITIES

Rosalyn Baker is a Registered Representative and Investment Advisor Representative of Purshe Kaplan Sterling, LLC a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the U.S Securities and Exchange Commission ("SEC").

As a broker-dealer, Purshe Kaplan Sterling, LLC engages in a broad range of activities normally associated with securities brokerage firms. Pursuant to the investment advice given by Rosalyn Baker, investments in securities will be recommended for you. If Purshe Kaplan Sterling, LLC is selected as the broker-dealer, it will affect transactions in securities for you, a client of RW Baker Wealth Management Group LLC and Rosalyn Baker. By serving as the broker-dealer, Purshe Kaplan Sterling, LLC and Rosalyn Baker will receive commissions for executing securities transactions.

You are advised that if Purshe Kaplan Sterling, LLC is selected as the broker-dealer, the transaction charges may be higher or lower than the charges you may pay if the transactions were executed at other broker-dealers. You should note, however, that you are under no obligation to purchase securities through Rosalyn Baker, RW Baker Wealth Management Group LLC or Purshe Kaplan Sterling, LLC.

Rosalyn Baker will provide advice regarding investment company securities. You should be aware that, in addition to the advisory fees paid by you, each investment company also charges its own separate investment advisory fees and other expenses (internal management fees). In addition, you should be aware that mutual funds may be purchased separately independent of the investment management services of RW Baker Wealth Management Group LLC.

Rosalyn Baker, in her capacity as registered representatives of Purshe Kaplan Sterling, LLC, or as agents appointed with various life, disability or other insurance companies, receives commissions, 12(b) -1 fees, trails, or other compensation from the respective product sponsors and/or as a result of effecting securities transactions for you. However, you should note that you are under no obligation to purchase any investment products through Rosalyn Baker. He/she is able to offer a variety of advisory programs and services through Purshe Kaplan Sterling, LLC in addition to the advisory services he/she is able to offer through RW Baker Wealth Management Group LLC.

Rosalyn Baker is an insurance agent. It is anticipated that a small portion, less than (10%) of her time, will be spent providing these insurance products. In such capacity, she offers fixed and variable life insurance products and receive normal and customary commissions as a result of any purchases made by clients. The client is under no obligation to purchase fixed or variable life insurance through Rosalyn Baker on a commissionable basis. In addition, Rosalyn Baker receives other compensation such as fixed or variable life trails. The potential for receipt of commissions and other compensation gives her incentive to recommend insurance products based on the compensation received, rather than on the client's needs. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation (e.g., commissions, trails) to be paid by the client and/or received by the insurance agent.

In addition to serving as your investment advisory representative, Rosalyn Baker is a Successor Trustee for family related accounts - the Richard M. Baker and Timothy Baker Trust. Her time spent on this activity is approximately 5 hours per month.

ITEM 5 - ADDITIONAL COMPENSATION

Rosalyn Baker does not receive any economic benefit for providing advisory services beyond the scope of RW Baker Wealth Management Group LLC and business activities listed in **Item 4**.

ITEM 6 - SUPERVISION

Rosalyn Baker is the Chief Compliance Officer of RW Baker Wealth Management Group LLC. Her activities are generally supervised in accordance with the Firm's compliance procedures. Specific areas of review include transactions, account suitability and written correspondence including email, among other activities. Rosalyn Baker may be reached at 307-514-4445.

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ITEM 7 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS

Rosalyn Baker has not been involved in or found liable in an arbitration claim or civil, self-regulatory organization or administrative proceeding alleging damages in excess of \$2,500, involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Rosalyn Baker has not been the subject of a bankruptcy petition. To the best of our ability all material conflicts of interest are disclosed regarding the Firm, its representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice.