

Carol H. Baldi, Inc.  
*Investment Advisors*

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December 2010

Brochure Supplement on Representatives  
for:

Carol H. Baldi

*This brochure provides prospective clients with information about Carol H. Baldi, Inc. that should be considered before obtaining advisory services from Carol H. Baldi, Inc. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any State securities authority.*

## **2. Educational Background and Business Experience**

Carol H. Baldi, President, Carol H. Baldi, Inc. – Born in 1931, graduated with high honors and Phi Beta Kappa from Swarthmore College and received a B.A. degree. Carol H. Baldi began at the Bank of New York. In 1957 Carol H. Baldi joined the Research Department of the United States Trust Company of New York as an analyst and several years later transferred to the Investment Division as a Portfolio Manager. Carol H. Baldi was elected the first woman officer of the Trust Company in 1962, and, in 1970, became the first woman Vice President.

In 1972, Carol H. Baldi left the Trust Company to become President of Lombard, Odier, Inc. which Carol H. Baldi helped to establish as a representative office for a bank of the same name located in Geneva, Switzerland. Lombard, Odier, Inc. was established as an investment research firm. Carol H. Baldi traveled around the country, and to parts of Europe, visiting various companies. She would write extensive research reports on the companies she visited. These reports were given to Lombard, Odier - Geneva in which their American clients would consider for investment opportunities. Eventually, Carol H. Baldi brought in American clients to Lombard, Odier, Inc. in which Carol became their investment advisor.

In 1980, Carol H. Baldi founded Carol H. Baldi, Inc. and has served as its President since then, severing all relations with Lombard, Odier, Inc.

Up until recently, Carol H. Baldi sat on many Boards of Directors of companies, such as, banks, non-profits, and insurance companies.

## **3. Disciplinary History**

None

## **4. Other Business Activities**

None

## **5. Additional Compensation**

Carol H Baldi receives compensation for her duties as a trustee under the Charlotte A. Koch Foundation and Barbara C. Heath Trust.

## **6. Supervision**

Carol H. Baldi