

Nicholas Colarossi  
Leigh Baldwin & Co., LLC  
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Part II-B of Form ADV:  
Brochure Supplement

Last updated on 3.5.2018

This brochure supplement provides information about Nicholas Colarossi that supplements Leigh Baldwin & Co., LLC's Brochure. You should have received a copy of that brochure. Please contact Leigh D. Baldwin, President, if you did not receive Leigh Baldwin & Co.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Nicholas Colarossi is available on the SEC's website at <https://brokercheck.finra.org/>

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

### **Nicholas J. Colarossi**

Mr. Colarossi was born in Scranton, Pennsylvania in 1963 and graduated from Drexel University in 1986 with a Bachelor of Science Degree in Business Administration. His focus of studies was in Marketing and Finance. Mr. Colarossi was first employed in the finance industry by Prudential Securities in 1993, where he rose from a junior associate to the status of First Vice President within an eight year period.

Mr. Colarossi joined the independent investment firm of Leigh Baldwin and Company, LLC in 2003. His current investment licenses are Series 7, Series 31, Series 63, and Series 65.

Mr. Colarossi is a certified retirement counselor through the International Foundation for Retirement Education, INFRE. This is a designation he has held since May of 2008. He is also a licensed Pennsylvania Insurance Agent with licensing credentials in Health, Accident and Life. Each year Mr. Colarossi completes continuing education credits to satisfy the requirements of his firm Leigh Baldwin & Company LLC, FINRA, the Pennsylvania Insurance Department, and INFRE.

He is currently a registered representative at Leigh Baldwin & Co., LLC a FINRA registered broker dealer owned by Mr. Baldwin and an Investment Advisor Representative of Leigh Baldwin & Co., LLC and Sec Registered RIA. See “Guide to Industry Examinations” below.

### **Guide to Industry Examinations**

**General Securities Representative - (Series 7)** - 250 multiple choice questions - administered in two parts of 125 questions each; 3 hours testing time for each part. This registration qualifies a candidate for the solicitation, purchase, and/or sale of all securities products, including corporate securities, municipal securities, municipal fund securities, options, direct participation programs, investment company products, and variable contracts.

**Futures Managed Funds - (Series 31)** – 45 multiple choice questions; 1 hour testing time. This registration qualifies a candidate to sell managed futures funds or supervise those activities.

**Uniform Securities Agent State Law Examination - (Series 63) (NASAA)** – 60 multiple choice questions; 1 hour and 15 minutes testing time. The Series 63 is designed to qualify candidates as securities agents. The examination covers the principles of state securities regulation reflected in the Uniform Securities Act.

**Uniform Investment Adviser Law Examination - (Series 65) (NASAA)** – 130 multiple choice questions; 3 hours testing time. The Series 65 is designed to qualify candidates as investment adviser representatives.

### **Item 3 – Disciplinary Information**

Mr. Colarossi has not had any customer complaints or disciplinary actions against him while employed at Leigh Baldwin & Company, LLC.

Mr. Colarossi was asked to resign by Prudential Securities in 2003 after being asked by a client to sign the client's name to a letter of authorization to transfer \$25.00 between that client's accounts in order to cover the client's incoming check that was about to be declined. The client reported to Prudential that he asked Mr. Colarossi to sign the document in his place. Still, Mr. Colarossi fully accepted responsibility for signing the client's name, but chose to have Prudential Securities terminate him rather than resign.

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

Nicholas Colarossi hosts a radio program titled “Your Financial Future” that airs weekly on 94.3 FM The Talker. He discusses timely investment topics throughout the hour long program airing Saturday’s at 9:00 AM EST. He does not receive any compensation for this activity.

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

Mr. Colarossi receives no additional compensation that is not otherwise disclosed in Leigh Baldwin & Co., LLC’s ADV Part II. d

#### **Item 6 – Supervision**

Stefanie Dorozynski handles Compliance at Leigh Baldwin & Co., LLC for RIA activities and is therefore charged with the oversight of all supervised persons. She can be reached during normal business hours at 315-734-1410. Mrs. Dorozynski has no director/advisor/client relationship and does not have discretionary authority over clients’ assets. Leigh D. Baldwin will also perform account level reviews.

The following policies are in place to provide oversight of Nicholas Colarossi. There will be periodic or regular review of electronic communications, non electronic communications, advertisements, trading activity, client positions and performance. There are also periodic conversations with Mr. Colarossi regarding advice given to clients.