

Part 2A of Form ADV: *Firm Brochure*

Slocum, Gordon & Co. LLP

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03/03/2020

This brochure provides information about the qualifications and business practices of Slocum, Gordon & Co. LLP. If you have any questions about the contents of this brochure, please contact us at 401-849-4900 or cmedeiros@slocumgordon.com. 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.

Registration with the SEC or with any state securities authority does not imply a certain level of skill or training.

Additional information about Slocum, Gordon & Co. LLP also is available on the SEC's website at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. Our firm's CRD number is 104929.

Item 2 Material Changes

The SEC adopted "Amendments to Form ADV" in July, 2010. This Firm Brochure, dated 03/03/2020, is our new disclosure document prepared according to the SEC's new requirements and rules. As you will see, this document is a narrative that is substantially different in form and content, and includes some new information that we were not previously required to disclose.

After our initial filing of this Brochure, this Item will be used to provide our clients with a summary of new and/or updated information. We will inform you of the revision(s) based on the nature of the updated information.

Consistent with the new rules, we will ensure that you receive a summary of any material changes to this and subsequent Brochures within 120 days of the close of our business' fiscal year. Furthermore, we will provide you with other interim disclosures about material changes as necessary.

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Item 4 Advisory Business

Slocum, Gordon & Co. LLP is a SEC-registered investment adviser with its principal place of business located in RI. Slocum, Gordon & Co. LLP began conducting business in 1978.

Listed below are the firm's principal shareholders (i.e., those individuals and/or entities controlling 25% or more of this company).

- Jeffrey L. Gordon, Managing Partner
- Barclay Douglas Jr., Partner
- Kenneth M.P. Lindh, Partner, CCO
- Peter C. Hatfield, Partner

Slocum, Gordon & Co. LLP offers the following advisory services to our clients:

INVESTMENT SUPERVISORY SERVICES ("ISS") INDIVIDUAL PORTFOLIO MANAGEMENT

Our firm provides continuous advice to a client regarding the investment of client funds based on the individual needs of the client. Through personal discussions in which goals and objectives based on a client's particular circumstances are established, we develop a client's personal investment policy and create and manage a portfolio based on that policy. During our data-gathering process, we determine the client's individual objectives, time horizons, risk tolerance, and liquidity needs. As appropriate, we also review and discuss a client's prior investment history, as well as family composition and background.

We manage these advisory accounts on a discretionary basis. Account supervision is guided by the client's stated objectives (i.e., maximum capital appreciation, growth, income, or growth and income), as well as tax considerations.

Clients may impose reasonable restrictions on investing in certain securities, types of securities, or industry sectors.

Our investment recommendations are not limited to any specific product or service offered by a broker-dealer or insurance company and will generally include advice regarding the following securities:

- Exchange-listed securities
- Securities traded over-the-counter
- Foreign issuers
- Municipal securities
- Mutual fund shares
- United States governmental securities
- Interests in partnerships investing in real estate
- Interests in partnerships investing in oil and gas interests

Because some types of investments involve certain additional degrees of risk, they will only be implemented/recommended when consistent with the client's stated investment objectives, tolerance for risk, liquidity and suitability.

PUBLICATION OF PERIODICALS

Slocum, Gordon & Co. LLP publishes a quarterly newsletter providing general information on various financial topics including, but not limited to, estate and retirement planning, market trends, etc. No specific investment recommendations are provided in this newsletter and the information provided does not purport to meet the objectives or needs of any individual. This newsletter is distributed free of charge to our advisory clients.

AMOUNT OF MANAGED ASSETS

As of 03/03/2020, we were actively managing \$232,358,036 of clients' assets on a discretionary basis.

Item 5 Fees and Compensation

INVESTMENT SUPERVISORY SERVICES ("ISS") INDIVIDUAL PORTFOLIO MANAGEMENT FEES

The annualized fee for Investment Supervisory Services are charged as a percentage of assets under management, according to the following schedule:

1.50% PER ANNUM ON THE FIRST \$1,000,000 MARKET VALUE

1.00% PER ANNUM ON THE NEXT \$4,000,000 MARKET VALUE

.50% PER ANNUM ON BALANCE OF MARKET VALUE

The minimum annual fee is \$1500 and is negotiable. Current client relationships may exist where the fees are higher or lower than the fee schedule above. Fees are based upon the value of the portfolio on each monthly valuation date, which will be debited from the portfolio and payable in arrears. In some cases an invoice may be presented for payment.

In the case where a client of Slocum, Gordon & Co. LLP engages a partner of the firm to act as trustee, the trustee fees charged are those that apply to our standard investment fee schedule. We reserve the right to charge additional fees for services that may be required by terms of the trust that extend beyond our engagement portfolio manager.

Limited Negotiability of Advisory Fees: Although Slocum, Gordon & Co. LLP has established the aforementioned fee schedule(s), we retain the discretion to negotiate alternative fees on a client-by-client basis. Client facts, circumstances and needs are considered in determining the fee schedule. These include the complexity of the client, assets to be placed under management, anticipated future additional assets; related accounts; portfolio style, account composition, reports, among other factors. The specific annual fee schedule is identified in the contract between the adviser and each client.

We may group certain related client accounts for the purposes of achieving the minimum account size requirements and determining the annualized fee.

Discounts, not generally available to our advisory clients, may be offered to family members and friends of associated persons of our firm.

PUBLICATION OF PERIODICALS OR NEWSLETTERS

GENERAL INFORMATION

Termination of the Advisory Relationship: Either the Client or Slocum, Gordon & Co. LLP may terminate this agreement at any time upon written notice, which shall be effective when received by the other party, except where the Client has established a borrowing facility with any financial institution utilizing the securities in the Client's account managed by Slocum, Gordon & Co. LLP as collateral. In which case, the outstanding loan principal and accrued interest must be fully paid to the lending institution thereby obtaining a collateral loan release before the account managed by Slocum, Gordon & Co. LLP with securities held by Fidelity Institutional Brokerage Group can be terminated. Upon termination of any account, any prepaid, unearned fees will be promptly refunded. Upon termination a pro rated fee may be assessed according to the number of days services were rendered during the billing period.

Mutual Fund Fees: All fees paid to Slocum, Gordon & Co. LLP for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds and/or ETFs to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other fund expenses, and a possible distribution fee. If the fund also imposes sales charges, a client may pay an initial or deferred sales charge. A client could invest in a mutual fund directly, without our services. In that case, the client would not receive the services provided by our firm which are designed, among other things, to assist the client in determining which mutual fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and our fees to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

Wrap Fee Programs and Separately Managed Account Fees: Clients participating in separately managed account programs may be charged various program fees in addition to the advisory fee charged by our firm. Such fees may include the investment advisory fees of the independent advisers, which may be charged as part of a wrap fee arrangement. In a wrap fee arrangement, clients pay a single fee for advisory, brokerage and custodial services. Client's portfolio transactions may be executed without commission charge in a wrap fee arrangement. In evaluating such an arrangement, the client should also consider that, depending upon the level of the wrap fee charged by the broker-dealer, the amount of portfolio activity in the client's account, and other factors, the wrap fee may or may not exceed the aggregate cost of such services if they were to be provided separately. We will review with clients any separate program fees that may be charged to clients.

Additional Fees and Expenses: In addition to our advisory fees, clients are also responsible for the fees and expenses charged by custodians and imposed by broker dealers, including, but not limited to, any transaction charges imposed by a broker dealer with which an independent investment manager effects

transactions for the client's account(s). Please refer to the "Brokerage Practices" section (Item 12) of this Form ADV for additional information.

ERISA Accounts: Slocum, Gordon & Co. LLP is deemed to be a fiduciary to advisory clients that are employee benefit plans or individual retirement accounts (IRAs) pursuant to the Employee Retirement Income and Securities Act ("ERISA"), and regulations under the Internal Revenue Code of 1986 (the "Code"), respectively. . As such, our firm is subject to specific duties and obligations under ERISA and the Internal Revenue Code that include among other things, restrictions concerning certain forms of compensation. To avoid engaging in prohibited transactions, Slocum, Gordon & Co. LLP may only charge fees for investment advice about products for which our firm and/or our related persons do not receive any commissions or 12b-1 fees, or conversely, investment advice about products for which our firm and/or our related persons receive commissions or 12b-1 fees, however, only when such fees are used to offset Slocum, Gordon & Co. LLP's advisory fees.

Advisory Fees in General: Clients should note that similar advisory services may (or may not) be available from other registered (or unregistered) investment advisers for similar or lower fees.

Limited Prepayment of Fees: Under no circumstances do we require or solicit payment of fees in excess of \$1200 more than six months in advance of services rendered.

Item 6 Performance-Based Fees and Side-By-Side Management

Slocum, Gordon & Co. LLP does not charge performance-based fees.

Item 7 Types of Clients

Slocum, Gordon & Co. LLP provides advisory services to the following types of clients:

- Individuals (other than high net worth individuals)
- High net worth individuals
- Pension and profit sharing plans(other than plan participants)
- Charitable organizations
- Corporations or other businesses not listed above
- State or municipal government entities

Item 8 Methods of Analysis, Investment Strategies and Risk of Loss

METHODS OF ANALYSIS

We use the following methods of analysis in formulating our investment advice and/or managing client assets:

Charting. In this type of technical analysis, we review charts of market and security activity in an attempt to identify when the market is moving up or down and to predict how long the trend may last and when that trend might reverse.

Fundamental Analysis. We attempt to measure the intrinsic value of a security by looking at economic and financial factors (including the overall economy, industry conditions, and the financial condition and management of the company itself) to determine if the company is underpriced (indicating it may be a good time to buy) or overpriced (indicating it may be time to sell).

Fundamental analysis does not attempt to anticipate market movements. This presents a potential risk, as the price of a security can move up or down along with the overall market regardless of the economic and financial factors considered in evaluating the stock.

Quantitative Analysis. We use mathematical models in an attempt to obtain more accurate measurements of a company's quantifiable data, such as the value of a share price or earnings per share, and predict changes to that data.

A risk in using quantitative analysis is that the models used may be based on assumptions that prove to be incorrect.

Qualitative Analysis. We subjectively evaluate non-quantifiable factors such as quality of management, labor relations, and strength of research and development factors not readily subject to measurement, and predict changes to share price based on that data.

A risk in using qualitative analysis is that our subjective judgment may prove incorrect.

Asset Allocation. Rather than focusing primarily on securities selection, we attempt to identify an appropriate ratio of securities, fixed income, and cash suitable to the client's investment goals and risk tolerance.

A risk of asset allocation is that the client may not participate in sharp increases in a particular security, industry or market sector. Another risk is that the ratio of securities, fixed income, and cash will change over time due to stock and market movements and, if not corrected, will no longer be appropriate for the client's goals.

Risks for all forms of analysis. Our securities analysis methods rely on the assumption that the companies whose securities we purchase and sell, the rating agencies that review these securities, and other publicly-available sources of information about these securities, are providing accurate and unbiased data. While we are alert to indications that data may be incorrect, there is always a risk that our analysis may be compromised by inaccurate or misleading information.

INVESTMENT STRATEGIES

We use the following strategy(ies) in managing client accounts, provided that such strategy(ies) are appropriate to the needs of the client and consistent with the client's investment objectives, risk tolerance, and time horizons, among other considerations:

Long-term purchases. We purchase securities with the idea of holding them in the client's account for a year or longer. Typically we employ this strategy when:

- we believe the securities to be currently undervalued, and/or
- we want exposure to a particular asset class over time, regardless of the current projection for this class.

A risk in a long-term purchase strategy is that by holding the security for this length of time, we may not take advantage of short-term gains that could be profitable to a client. Moreover, if our predictions are incorrect, a security may decline sharply in value before we make the decision to sell.

Short-term purchases. When utilizing this strategy, we purchase securities with the idea of selling them within a relatively short time (typically a year or less). We do this in an attempt to take advantage of conditions that we believe will soon result in a price swing in the securities we purchase.

Risk of Loss. Clients should understand that investing in any securities, including mutual funds, involves a risk of loss of both income and principal.

Item 9 Disciplinary Information

We are required to disclose any legal or disciplinary events that are material to a client's or prospective client's evaluation of our advisory business or the integrity of our management.

Our firm and our management personnel have no reportable disciplinary events to disclose.

Item 10 Other Financial Industry Activities and Affiliations

Our firm and our related persons are not engaged in other financial industry activities and have no other industry affiliations.

Kenneth M.P. Lindh, a member of our firm's management, is an attorney licensed to practice law in the state of Rhode Island. However, this individual does not currently provide direct legal services to any client in that capacity and will not act in this capacity for any advisory client of Slocum, Gordon & Co. LLP.

Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Our firm has adopted a Code of Ethics which sets forth high ethical standards of business conduct that we require of our employees, including compliance with applicable federal securities laws.

Slocum, Gordon & Co. LLP and our personnel owe a duty of loyalty, fairness and good faith towards our clients, and have an obligation to adhere not only to the specific provisions of the Code of Ethics but to the general principles that guide the Code.

Our Code of Ethics includes policies and procedures for the review of quarterly securities transactions reports as well as initial and annual securities holdings reports that must be submitted by the firm's access persons. Among other things, our Code of Ethics also requires the prior approval of any acquisition of securities in a limited offering (e.g., private placement) or an initial public offering. Our code also provides for oversight, enforcement and recordkeeping provisions.

Slocum, Gordon & Co. LLP's Code of Ethics further includes the firm's policy prohibiting the use of material non-public information. While we do not believe that we have any particular access to non-public information, all employees are reminded that such information may not be used in a personal or professional capacity.

A copy of our Code of Ethics is available to our advisory clients and prospective clients. You may request a copy by email sent to cmedeiros@slocumgordon.com, or by calling us at 401-849-4900.

Slocum, Gordon & Co. LLP and individuals associated with our firm are prohibited from engaging in principal transactions.

Slocum, Gordon & Co. LLP and individuals associated with our firm are prohibited from engaging in agency cross transactions.

Our Code of Ethics is designed to assure that the personal securities transactions, activities and interests of our employees will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts.

Our firm and/or individuals associated with our firm may buy or sell for their personal accounts securities identical to or different from those recommended to our clients. In addition, any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.

It is the expressed policy of our firm that no person employed by us may purchase or sell any security prior to a transaction(s) being implemented for an advisory account without prior approval, thereby preventing such employee(s) from benefiting from transactions placed on behalf of advisory accounts.

We do not aggregate our employee trades with client transactions. We have established the following policies and procedures for implementing our firm's Code of Ethics, to ensure our firm complies with its regulatory obligations and provides our clients and potential clients with full and fair disclosure of such conflicts of interest:

As these situations represent actual or potential conflicts of interest to our clients, we have established the following policies and procedures for implementing our firm's Code of Ethics, to ensure our firm complies with its regulatory obligations and provides our clients and potential clients with full and fair disclosure of such conflicts of interest:

1. No principal or employee of our firm may put his or her own interest above the interest of an advisory client.

2. No principal or employee of our firm may buy or sell securities for their personal portfolio(s) where their decision is a result of information received as a result of his or her employment unless the information is also available to the investing public.
3. It is the expressed policy of our firm that no person employed by us may purchase or sell any security prior to a transaction(s) being implemented for an advisory account. This prevents such employees from benefiting from transactions placed on behalf of advisory accounts.

Our firm requires prior approval for any IPO or private placement investments by related persons of the firm.

4. We maintain a list of all reportable securities holdings for our firm and anyone associated with this advisory practice that has access to advisory recommendations ("access person"). These holdings are reviewed on a regular basis by our firm's Chief Compliance Officer or his/her designee.
5. We have established procedures for the maintenance of all required books and records.
6. All of our principals and employees must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices.
7. We require delivery and acknowledgement of the Code of Ethics by each supervised person of our firm.
8. We have established policies requiring the reporting of Code of Ethics violations to our senior management.
9. Any individual who violates any of the above restrictions may be subject to termination.

Item 12 Brokerage Practices

Slocum, Gordon & Co. LLP does not have any soft-dollar arrangements and does not receive any soft-dollar benefits.

The Client authorizes Slocum, Gordon & Co. LLP to initiate or complete transactions for the portfolio through any broker dealer that Slocum, Gordon & Co. LLP in its sole and absolute discretion shall select. In carrying out the function of placing orders for the purchase or sale of securities for the portfolio, Slocum, Gordon & Co. LLP will use its best efforts to obtain prompt execution of such orders at the most favorable prices reasonably obtainable and where these criteria are met, Slocum, Gordon & Co. LLP may place such orders with brokers or dealers who may provide Slocum, Gordon & Co. LLP with research assistance, computer software or other services. It is the Firm's practice to "bunch/block" purchase and sale orders for multiple clients, when appropriate, in order to obtain lower commission costs from the transacting broker. In such cases, the average execution price and brokerage commission for the transaction shall be allocated equally across the participating client accounts.

Block trading may allow us to execute equity trades in a timelier, more equitable manner, at an average share price. Slocum, Gordon & Co. LLP will typically aggregate trades among clients whose accounts can be traded at a given broker, and generally will rotate or vary the order of brokers through which it places trades for clients on any particular day. Slocum, Gordon & Co. LLP's block trading policy and procedures are as follows:

1) The trading desk in concert with the portfolio manager must determine that the purchase or sale of the particular security involved is appropriate for the client and consistent with the client's investment objectives and with any investment guidelines or restrictions applicable to the client's account.

2) The portfolio manager must reasonably believe that the order aggregation will benefit, and will enable Slocum, Gordon & Co. LLP to seek best execution for each client participating in the aggregated order. This requires a good faith judgment at the time the order is placed for the execution. It does not mean that the determination made in advance of the transaction must always prove to have been correct in the light of a "20-20 hindsight" perspective. Best execution includes the duty to seek the best quality of execution, as well as the best net price.

3) Prior to entry of an aggregated order, a written order ticket must be completed which identifies each client account participating in the order and the proposed allocation of the order, upon completion, to those clients.

4) If the order cannot be executed in full at the same price or time, the securities actually purchased or sold by the close of each business day must be allocated pro rata among the participating client accounts in accordance with the initial order ticket or other written statement of allocation. However, adjustments to this pro rata allocation may be made to participating client accounts in accordance with the initial order ticket or other written statement of allocation. Furthermore, adjustments to this pro rata allocation may be made to avoid having odd amounts of shares held in any client account, or to avoid excessive ticket charges in smaller accounts.

5) Generally, each client that participates in the aggregated order must do so at the average price for all separate transactions made to fill the order, and must share in the commissions on a pro rata basis in proportion to the client's participation. Under the client's agreement with the custodian/broker, transaction costs may be based on the number of shares traded for each client.

6) If the order will be allocated in a manner other than that stated in the initial statement of allocation, a written explanation of the change must be provided to and approved by the Chief Compliance Officer no later than the morning following the execution of the aggregate trade.

7) Slocum, Gordon & Co. LLP's client account records separately reflect, for each account in which the aggregated transaction occurred, the securities which are held by, and bought and sold for, that account.

8) Funds and securities for aggregated orders are clearly identified on Slocum, Gordon & Co. LLP's records and to the broker-dealers or other intermediaries handling the transactions, by the appropriate account numbers for each participating client.

9) No client or account will be favored over another.

Slocum, Gordon & Co. LLP has an arrangement with National Financial Services LLC and Fidelity Brokerage Services LLC (collectively, and together with all affiliates, "Fidelity") through which Fidelity provides our firm with "institutional platform services." The institutional platform services include, among others, brokerage, custody, and other related services. Fidelity's institutional platform services that assist us in managing and administering clients' accounts include software and other technology

that (i) provide access to client account data (such as trade confirmations and account statements); (ii) facilitate trade execution and allocate aggregated trade orders for multiple client accounts; (iii) provide research, pricing and other market data; (iv) facilitate payment of fees from its clients' accounts; and (v) assist with back-office functions, recordkeeping and client reporting.

Fidelity also offers other services intended to help our firm manage and further develop its advisory practice. Such services include, but are not limited to, performance reporting, financial planning, contact management systems, third party research, publications, access to educational conferences, roundtables and webinars, practice management resources, access to consultants and other third party service providers who provide a wide array of business related services and technology with whom Slocum, Gordon & Co. LLP may contract directly.

Slocum, Gordon & Co. LLP is independently operated and owned and is not affiliated with Fidelity.

Fidelity generally does not charge its advisor clients separately for custody services but is compensated by account holders through commissions and other transaction-related or asset-based fees for securities trades that are executed through Fidelity or that settle into Fidelity accounts (i.e., transactions fees are charged for certain no-load mutual funds, commissions are charged for individual equity and debt securities transactions). Fidelity provides access to many no-load mutual funds without transaction charges and other no-load funds at nominal transaction charges.

As a result of receiving such services for no additional cost, we may have an incentive to continue to use or expand the use of Fidelity's services. We examined this potential conflict of interest when we chose to enter into the relationship with Fidelity and have determined that the relationship is in the best interests of Slocum, Gordon & Co. LLP's clients and satisfies our client obligations, including our duty to seek best execution. A client may pay a commission that is higher than another qualified broker-dealer might charge to effect the same transaction where we determine in good faith that the commission is reasonable in relation to the value of the brokerage and research services received. In seeking best execution, the determinative factor is not the lowest possible cost, but whether the transaction represents the best qualitative execution, taking into consideration the full range of a broker-dealer's services, including the value of research provided, execution capability, commission rates, and responsiveness. Accordingly, while Slocum, Gordon & Co. LLP will seek competitive rates, to the benefit of all clients, we may not necessarily obtain the lowest possible commission rates for specific client account transactions. Although the investment research products and services that may be obtained by us will generally be used to service all of our clients, a brokerage commission paid by a specific client may be used to pay for research that is not used in managing that specific client's account.

Fidelity is providing Slocum, Gordon & Co. LLP with certain brokerage and research products and services that qualify as "brokerage or research services" under Section 28(e) of the Securities Exchange Act of 1934 ("Exchange Act").

Item 13 Review of Accounts

INVESTMENT SUPERVISORY SERVICES ("ISS") INDIVIDUAL PORTFOLIO MANAGEMENT

REVIEWS: While the underlying securities within Individual Portfolio Management Services accounts are continually monitored, these accounts are reviewed at least quarterly. Accounts are reviewed in the context of each client's stated investment objectives and guidelines. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances, or the market, political or economic environment.

These accounts are reviewed by: Jeffery L. Gordon, Managing Partner and/or Peter C. Hatfield, Partner.

REPORTS: In addition to the monthly statements and confirmations of transactions that clients receive from their broker-dealer, we provide quarterly reports summarizing account performance, balances and holdings.

Item 14 Client Referrals and Other Compensation

It is Slocum, Gordon & Co. LLP's policy not to engage solicitors or to pay related or non-related persons for referring potential clients to our firm.

It is Slocum, Gordon & Co. LLP's policy not to accept or allow our related persons to accept any form of compensation, including cash, sales awards or other prizes, from a non-client in conjunction with the advisory services we provide to our clients.

Item 15 Custody

We previously disclosed in the "Fees and Compensation" section (Item 5) of this Brochure that our firm directly debits advisory fees from client accounts.

As part of this billing process, the client's custodian is advised of the amount of the fee to be deducted from that client's account. On at least a quarterly basis, the custodian is required to send to the client a statement showing all transactions within the account during the reporting period.

Because the custodian does not calculate the amount of the fee to be deducted, it is important for clients to carefully review their custodial statements to verify the accuracy of the calculation, among other things. Clients should contact us directly if they believe that there may be an error in their statement.

In addition to the periodic statements that clients receive directly from their custodians, we also send account statements directly to our clients on a quarterly basis. We urge our clients to carefully compare the information provided on these statements to ensure that all account transactions, holdings and values are correct and current.

Our firm does not have actual or constructive custody of client accounts.

Item 16 Investment Discretion

Clients may hire us to provide discretionary asset management services, in which case we place trades in a client's account without contacting the client prior to each trade to obtain the client's permission.

Our discretionary authority includes the ability to do the following without contacting the client:

- Determine the security to buy or sell; and/or
- Determine the amount of the security to buy or sell

Clients give us discretionary authority when they sign a investment management agreement with our firm, and may limit this authority by giving us written instructions. Clients may also change/amend such limitations by once again providing us with written instructions.

Item 17 Voting Client Securities

We vote proxies for all client accounts; however, you always have the right to vote proxies yourself. You can exercise this right by instructing us in writing to not vote proxies in your account.

We will vote proxies in the best interests of its clients and in accordance with our established policies and procedures. Our firm will retain all proxy voting books and records for the requisite period of time, including a copy of each proxy statement received, a record of each vote cast, a copy of any document created by us that was material to making a decision how to vote proxies, and a copy of each written client request for information on how the adviser voted proxies. If our firm has a conflict of interest in voting a particular action, we will notify the client of the conflict and retain an independent third-party to cast a vote.

Clients may obtain a copy of our complete proxy voting policies and procedures by contacting Candice S. Medeiros by telephone, email, or in writing. Clients may request, in writing, information on how proxies for his/her shares were voted. If any client requests a copy of our complete proxy policies and procedures or how we voted proxies for his/her account(s), we will promptly provide such information to the client.

We will neither advise nor act on behalf of the client in legal proceedings involving companies whose securities are held in the client's account(s), including, but not limited to, the filing of "Proofs of Claim" in class action settlements. If desired, clients may direct us to transmit copies of class action notices to the client or a third party. Upon such direction, we will make commercially reasonable efforts to forward such notices in a timely manner.

With respect to ERISA accounts, we will vote proxies unless the plan documents specifically reserve the plan sponsor's right to vote proxies. To direct us to vote a proxy in a particular manner, clients should contact Candice S. Medeiros by telephone, email, or in writing.

You can instruct us to vote proxies according to particular criteria (for example, to always vote with management, or to vote for or against a proposal to allow a so-called "poison pill" defense against a possible takeover). These requests must be made in writing. You can also instruct us on how to cast your vote in a particular proxy contest by contacting us at Slocum, Gordon & Co. LLP, 39 Mill Street, Newport, RI 02840; 401-849-4900; cmedeiros@slocumgordon.com

Item 18 Financial Information

As an advisory firm that discretionary authority or client accounts, we are also required to disclose any financial condition that is reasonable likely to impair our ability to meet our contractual obligations. Slocum, Gordon & Co. LLP has no such financial circumstances to report.

Under no circumstances do we require or solicit payment of fees in excess of \$1200 per client more than six months in advance of services rendered. Therefore, we are not required to include a financial statement.

Slocum, Gordon & Co. LLP has not been the subject of a bankruptcy petition at any time during the past ten years.

Part 2B of Form ADV: *Brochure Supplement*

Jeffrey L. Gordon
39 Mill Street
Newport, RI 02840
401-849-4900

Slocum, Gordon & Co. LLP
39 Mill Street
Newport, RI 02840

03/03/2020

This brochure supplement provides information about Jeffrey L. Gordon that supplements the Slocum, Gordon & Co. LLP brochure. You should have received a copy of that brochure. Please contact Candice S. Medeiros 401-849-4900 if you did not receive Slocum, Gordon & Co. LLP's brochure or if you have any questions about the contents of this supplement.

Additional information about Jeffrey L. Gordon is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Jeffrey L. Gordon **Born:** 1951

Education

- Governor Dummer Academy; 1969
- The John Hopkins University; BA; 1973

Business Experience

- First National Bank Boston; Old Colony Trust Division
- White, Weld & Co.; Individual & endowment portfolio management
- Slocum, Gordon & Co. LLP; Partner; from 1978 to Present

Item 3 Disciplinary Information

Jeffrey L. Gordon has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

1. Jeffrey L. Gordon is not engaged in any other investment-related activities.
2. Jeffrey L. Gordon does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

B. Non Investment-Related Activities

Jeffrey L. Gordon 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

Jeffrey L. Gordon does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 Supervision

Supervisor:

Title:

Phone Number:

Part 2B of Form ADV: *Brochure Supplement*

Barclay Douglas Jr.
39 Mill Street
Newport, RI 02840
401-849-4900

Slocum, Gordon & Co. LLP
39 Mill Street
Newport, RI 02840

03/03/2020

This brochure supplement provides information about Barclay Douglas Jr. that supplements the Slocum, Gordon & Co. LLP brochure. You should have received a copy of that brochure. Please contact Candice S. Medeiros 401-849-4900 if you did not receive Slocum, Gordon & Co. LLP's brochure or if you have any questions about the contents of this supplement.

Additional information about Barclay Douglas Jr. is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Barclay Douglas Jr. **Born:** 1951

Education

- The Browning School; 1969
- Fordham University; BS; 1973

Business Experience

- ABD Securities Corporation; Operations & administration department
- Barclay Douglas & Co.; Operations & securities processing departments

Item 3 Disciplinary Information

Barclay Douglas Jr. has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

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

B. Non Investment-Related Activities

Barclay Douglas Jr. 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

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

Item 6 Supervision

Supervisor:

Title:

Phone Number:

Part 2B of Form ADV: *Brochure Supplement*

Kenneth M.P. Lindh
39 Mill Street
Newport, RI 02840
401-849-4900

Slocum, Gordon & Co. LLP
39 Mill Street
Newport, RI 02840

03/03/2020

This brochure supplement provides information about Kenneth M.P. Lindh that supplements the Slocum, Gordon & Co. LLP brochure. You should have received a copy of that brochure. Please contact Candice S. Medeiros 401-849-4900 if you did not receive Slocum, Gordon & Co. LLP's brochure or if you have any questions about the contents of this supplement.

Additional information about Kenneth M.P. Lindh is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Kenneth M.P. Lindh **Born:** 1970

Education

- Episcopal School of Dallas; 1989
- Southern Methodist University; BA; 1993
- Southern Methodist University; JD; 1999

Business Experience

- Oil & Gas Industry; Negotiating lease contracts

Item 3 Disciplinary Information

Kenneth M.P. Lindh has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

1. Kenneth M.P. Lindh is not engaged in any other investment-related activities.
2. Kenneth M.P. Lindh does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

B. Non Investment-Related Activities

Kenneth M.P. Lindh is a managing partner of KB Sycamore Ranch LLP.

Item 5 Additional Compensation

Kenneth M.P. Lindh does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 Supervision

Supervisor:

Title:

Phone Number:

Part 2B of Form ADV: *Brochure Supplement*

Peter C Hatfield

Slocum, Gordon & Co. LLP
39 Mill Street
Newport, RI 02840

03/03/2020

This brochure supplement provides information about Peter C Hatfield that supplements the Slocum, Gordon & Co. LLP brochure. You should have received a copy of that brochure. Please contact Candice S. Medeiros 401-849-4900 if you did not receive Slocum, Gordon & Co. LLP's brochure or if you have any questions about the contents of this supplement.

Additional information about Peter C Hatfield is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Peter C Hatfield **Born:** 1985

Education

- St. George's School; High School; 2003
- Amherst College; B.A., Economics; 2007

Business Experience

- Cowen and Company; Senior Equity Research Analyst; from 04/2011 to 08/2015
- Bernstein Global Wealth Management; Private Client Associate; from 05/2010 to 04/2011
- Bloomberg, LP; Product Specialist; from 11/2007 to 04/2010

Designations

Peter C Hatfield has earned the following designation(s) and is in good standing with the granting authority:

- Chartered Financial Analyst®; CFA Institute; 2015

This designation is offered by the CFA Institute (formerly the Association for Investment Management and Research [AIMR]). To obtain the CFA® charter, candidates must successfully complete three exams and gain at least three (3) years of qualifying work experience, among other requirements. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis.

Item 3 Disciplinary Information

Peter C Hatfield has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

1. Peter C Hatfield is not engaged in any other investment-related activities.
2. Peter C Hatfield does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

B. Non Investment-Related Activities

Peter C Hatfield 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

Peter C Hatfield does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 Supervision

Supervisor:

Title:

Phone Number: