

**Slocum, Gordon & Co. LLP**  
**Form CRS**  
**March 19, 2024**

**Introduction**

Slocum, Gordon & Co. LLP (referred to as “we” or “us”) is registered as an investment advisor with the Securities and Exchange Commission (SEC). Our financial professionals (“professionals”) offer investment advisory services to our clients. Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. It is also important that you understand the advisory services we offer, the fees charged and the conflicts of interest that exist when we provide those services.

The SEC offers free and simple tools to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs) which also provides information tailored to educate retail investors about financial professionals.

**What investment services and advice can you provide me?**

We offer portfolio management services to our retail clients. Portfolio management services involve providing you with continuous advice, or investing your account, based on your specific circumstances. We do not require a minimum account size or investment.

We offer our portfolio management services on a discretionary basis. “Discretionary basis” means that we will make investment decisions for your account, without requiring your pre-approval on an ongoing basis. Our investment decisions are based on reasonable limitations set by you. **We monitor your accounts on an ongoing basis.**

For additional information, please see [www.slocumgordon.com](http://www.slocumgordon.com) for our Form ADV, 2A brochure (Items 4 and 7 of Part 2A or Items 4.A. and 5 of Part 2A Appendix 1).

**Conversation starters:** Ask your financial professional:

- ï Given my financial situation, should I choose an investment advisory service? Why or why not?
- ï How will you choose investments to recommend to me?
- ï What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

**What fees will I pay?**

It is important that you understand the fees associated with our services. Those fees are outlined below.

We charge an annual fee for investment advisory services that is based on the amount of assets you have under management with us. For instance, we charge 1.0% on the first \$5,000,000 of the market value of those assets, and .50% on the remainder. Those fees are non-negotiable and will be based on the value of your portfolio on each monthly valuation date. With your prior approval, we will deduct them in arrears, from your account, each month.

The more assets there are in your account, the more you will pay in fees. Therefore, we have an incentive to encourage you to increase the assets in your account.

To invest with us, you must pay a minimum annual fee of \$1,500, which is negotiable. Current client relationships may exist where the fees are higher or lower than the fee schedule above.

There are other fees and costs related to our investment advisory services and investments that you will pay directly or indirectly. The most common additional fees are trustee fees. Other fees may include fees related to mutual funds, and other transactional fees and product-level fees.

**You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.**

For more detailed information about our fees and costs please review our Form ADV, Part 2A brochure (specifically Items 5.A., B., C., and D.) which can be found at [www.slocumgordon.com](http://www.slocumgordon.com).

**Conversation starters:** Ask your financial professional:

- ï Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

### **What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?**

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice we provide you. Here is an example to help you understand what this means.

We receive an advisory fee based on the assets you have under management with us. The more assets you have under management with us, the larger your advisory fee will be. This creates an incentive to encourage you to increase the assets in your account.

For more detailed information about our fees and costs please review our Form ADV, Part 2A brochure (specifically Items 5.A., B., C., and D.) which can be found at [www.slocumgordon.com](http://www.slocumgordon.com).

**Conversation starters.** Ask your financial professional:

- ï How might your conflicts of interest affect me, and how will you address them?

### **How do your financial professionals make money?**

Your financial professional will receive a salary, and a discretionary bonus that is based on the firm's overall performance and earnings.

That said, your financial professional is legally required to act in your best interest and not put his or her interests ahead of your own. We have systems in place to mitigate the conflicts of interest that arise from the way he or she makes money, including systems to review whether a recommendation is in your best interest.

**Conversation starters.** Ask your financial professional:

- ï How might your conflicts of interest affect me, and how will you address them?

### **Do you or your financial professionals have legal or disciplinary history?**

No. Neither our firm nor our financial professionals have any legal or disciplinary history. Visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

**Conversation Starters:** Ask your financial professional:

- ï As a financial professional, do you have any disciplinary history? If so, for what kind of conduct.

### **Additional Information**

You can find additional information about our services, receive up-to-date information or request a copy of the relationship summary by visiting [www.slocumgordon.com](http://www.slocumgordon.com); emailing at [cmedeiros@slocumgordon.com](mailto:cmedeiros@slocumgordon.com) or calling us at 401-849-4900.

**Conversation Starters:** Ask your financial professional:

- ï Who is my primary contact person? Is he or she a representative of a broker-dealer or an investment adviser? Who can I talk to if I have concerns about how this person is treating me?