

\$10 billion to less than \$50 billion

\$50 billion or more

For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your *Legal Entity Identifier* if you have one:

A *legal entity identifier* is a unique number that companies use to identify each other in the financial marketplace. You may not have a *legal entity identifier*.

SECTION 1.B. Other Business Names

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name.

Name: RKM A BALDWIN INVESTMENT MANAGEMENT COMPANY

Jurisdictions

AL

AK

AZ

AR

CA

CO

CTILNEPASC

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name.

Name: CHESTER COUNTY ASSET MANAGEMENT, A BALDWIN COMPANY LLC

Jurisdictions

AL

AK

AZ

AR

CA

CO

CTILNEPASC

SECTION 1.F. Other Offices

If this address is a private residence, check this box: ☐

Telephone Number: 844-322-2861
Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
CLIENT ACCOUNT AND TRANSACTION INFORMATION

Name of entity where books and records are kept:
IRON MOUNTAIN

Number and Street 1: 1101 ENTERPRISE DRIVE	Number and Street 2:		
City: ROYERSFORD	State: Pennsylvania	Country: United States	ZIP+4/Postal Code: 19468

If this address is a private residence, check this box: ☐

Telephone Number: 8008994766
Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
RETENTION OF PHYSICAL CLIENT ACCOUNT AND FIRM DATA NO LONGER RETAINED ONSITE.

Name of entity where books and records are kept:
CHARLES SCHWAB & CO

Number and Street 1: 1958 SUMMIT PARK DRIVE, #500,	Number and Street 2:		
City: ORLANDO	State: Florida	Country: United States	ZIP+4/Postal Code: 32810

If this address is a private residence, check this box: ☐

Telephone Number: 407-420-2020
Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
CLIENT ACCOUNT AND OTHER CUSTODY TYPE DATA.

