



# ROUND TABLE

## WEALTH MANAGEMENT

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### *Privacy Policy*

[www.roundtablewealth.com](http://www.roundtablewealth.com)

#### NEW JERSEY OFFICE:

319 Lenox Avenue  
Westfield, NJ 07090  
(908) 789-7310

#### NEW YORK OFFICE:

145 West 57th Street, Floor 14  
New York, NY 10019  
(212) 257-4369

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**Should you have any questions regarding this policy, please contact your RTWM Wealth Manager or the RTWM Compliance Department at:**

**Ushir Shah**  
**Round Table Wealth Management**  
**319 Lenox Avenue**  
**Westfield, NJ 07090**  
**(646) 561-3220**  
[compliancedept@roundtablewealth.com](mailto:compliancedept@roundtablewealth.com)

## Round Table Wealth Management Privacy Policy

### Privacy Policy

Pursuant to Regulation S-P adopted by the Securities and Exchange Commission, it is the policy of Round Table Wealth Management (“RTWM” or “Firm”) to keep confidential nonpublic personal information (“information”) pertaining to each current and former client. RTWM recognizes the privacy concerns of its clients and assures that the safeguarding of information is one of our highest priorities. RTWM provides this notice so that clients are aware of the kinds of information the Firm collects and the circumstances in which such information may be disclosed to third parties.

### Information RTWM May Collect

RTWM may collect the following information about the Firm’s clients:

- Name and contact Information
- Social security or taxpayer identification number
- Assets and income
- Account information including investment activities
- Investment objectives and risk tolerance
- Financial documents including tax returns, wills, trusts and other documents

RTWM may collect clients’ information from the following sources:

- Account applications and other forms
- Correspondence between a client or service provider and RTWM; this may be written, electronic or telephonic

### How RTWM Handles Clients’ Personal Information

RTWM does not sell information about clients to third parties. The information the Firm collects is not disclosed to anyone unless RTWM is:

- Authorized by the client to disclose information to individuals and/or entities that service the clients account(s) and have need for such information (e.g., attorney, accountant, insurance agent, account custodian, administrators, etc.); or
- Required to do so by judicial or regulatory process or otherwise permitted to do so in accordance with the parameters of Regulation S-P.

RTWM may contract with companies to perform services for us (e.g. independent auditors, administrative, and systems support). Where necessary, RTWM will disclose information the Firm has about clients to these third parties. In all such cases, we provide the third party with only the information necessary to carry out its assigned responsibilities and only for that purpose. We require these third parties to treat your private information with the same high degree of confidentiality that we do.

### How RTWM Protects the Firm’s Clients’ Information

Each employee of RTWM is aware of this Privacy Policy and has acknowledged the requirement to comply with this policy. In accordance with this policy, each employee has access to information to the extent reasonably necessary for them to perform services for the client, and to comply with applicable procedures and requirements. To protect client information from unauthorized use, RTWM uses security measures that comply with federal law, including computer safeguards and secured files and buildings.

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Rev. March 2016

FACTS	WHAT DOES ROUND TABLE WEALTH MANAGEMENT(“RTWM”) DO WITH YOUR PERSONAL INFORMATION?		
<b>WHY?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.		
<b>WHAT?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li style="display: inline-block; width: 45%;">• Social security number</li> <li style="display: inline-block; width: 45%;">• Wire transfer instructions</li> <li style="display: inline-block; width: 45%;">• Income</li> <li style="display: inline-block; width: 45%;">• Transaction history</li> <li style="display: inline-block; width: 45%;">• Assets</li> <li style="display: inline-block; width: 45%;">• Account Balances</li> </ul>		
<b>HOW?</b>	All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons RTWM chooses to share; and whether you can limit this sharing.		
	<b>Reasons we can share your personal information</b>	<b>Does RTWM Share?</b>	<b>Can you limit this sharing?</b>
	<b>For our everyday business purposes</b> – such as to process your transactions, maintain your accounts(s) or respond to court orders and legal investigations.	Yes	No
	<b>For our marketing purposes</b> – to offer our products and services to you	Yes	Yes
	<b>For joint marketing with other financial companies</b>	No	N/A
	<b>For our affiliates' everyday business purposes</b> – information about your transactions and experiences	No	N/A
	<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	No	N/A
	<b>For our affiliates to market to you</b>	No	N/A
	<b>For non-affiliates to market to you</b>	No	N/A
<b>To limit our sharing</b>	<p><b><u>Please note:</u></b></p> <p>If you are a <i>new</i> customer, we can begin sharing your information 3 days from the date we sent this notice. When you are <i>no longer</i> our customer, we may continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>		
<b>Questions?</b>	Call RTWM at (908) 789-7310 or visit <a href="http://www.roundtablewealth.com">www.roundtablewealth.com</a>		

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**What we do**

<b>How does RTWM protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards, secured files, and secured buildings.
<b>How does RTWM collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Enter into an advisory contract or seek financial advice</li> <li>▪ Provide documents and correspondences, and meet with RTWM</li> <li>▪ Make deposits or withdrawals from your account</li> <li>▪ Tell us about your investment or retirement portfolio</li> <li>▪ Give us your employment history</li> </ul>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>▪ sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>▪ affiliates from using your information to market to you</li> <li>▪ sharing for non-affiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account – unless you tell us otherwise.

**Definitions**

<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ <i>RTWM does not share with our affiliates. RTWM has no affiliates.</i></li> </ul>
<b>Non-affiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ <i>RTWM does not share with non-affiliates so they can market to you.</i></li> </ul>
<b>Joint Marketing</b>	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>▪ <i>RTWM does not jointly market.</i></li> </ul>

**Other important information**

None.