

## FACTS

### WHAT DOES WALLER & WAX ADVISORS, INC. DO WITH YOUR PERSONAL INFORMATION?

#### Why?

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.

#### What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Date of birth, Social Security number, and other government-issued identification number
- Assets, income, investment objectives, and financial goals
- Account numbers, account balances, and transaction information

When you are **no longer** our customer, we continue to share your information as described in this notice.

#### How?

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 Waller & Wax Advisors, Inc. ("Waller & Wax") chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Waller & Wax Share?	Can you limit sharing?
For our everyday business purposes—such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes—to offer our products and services to you	Yes	No
For joint marketing with other financial companies	Yes	No
For our affiliates' everyday business purposes—information about your transactions and experiences	No	We do not share
For our affiliates' everyday business purposes—information about your creditworthiness	No	We do not share
For our affiliates to market to you	No	We do not share
For non-affiliates to market to you	No	We do not share

#### Questions?

Contact Waller & Wax Advisors, Inc.  
100 North Tampa St, Suite 2150  
Tampa, FL 33602  
(813) 221-1956

## Who we are

<b>Who is Providing this notice?</b>	Waller & Wax Advisors, Inc.
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## What we do

<b>How does Waller &amp; Wax 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 and secured files and buildings.
<b>How does Waller &amp; Wax Collect my personal information?</b>	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>▪ tell us about your financial profile</li> <li>▪ tell us about an investment or retirement portfolio</li> <li>▪ open an account or perform transactions</li> <li>▪ make a wire transfer or tell us where to send money</li> </ul>
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only <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>

## Definitions

<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <i>We do not share with our affiliates</i></li> </ul>
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <i>We do not share with non-affiliates so they can market to you</i></li> </ul>
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>▪ <i>Our joint marketing partners include Raymond James Financial Services, Inc. and Raymond James Financial Services Advisors, Inc.</i></li> </ul>

## Other important information

Securities offered through Raymond James Financial Services, Inc., Member FINRA/SIPC. Investment Advisory Services offered through Raymond James Financial Services Advisors, Inc and Waller & Wax Advisors, Inc. Waller & Wax Advisors, Inc. is not a registered broker/dealer and is independent of Raymond James Financial Services, Inc.

Persons registered with Waller & Wax may change investment advisory firms and nonpublic personal information collected by the Registered Person from you may be provided by that Registered Person to the new firm so that the Registered Person can continue to service your account(s) at the new firm. If you do not want the Registered Person who is/was assigned to your account to use or transfer this information, please call (813) 221-1956 to opt out of this sharing. Opt-in states such as California and Vermont require your affirmative consent to share your nonpublic information with the Registered Person's new firm, and in those states you must give your written consent before the Registered Person can take your nonpublic information with him or her. You can withdraw this consent at any time by contacting (813) 221-1956.