

## Item 1 Cover Page

A.

### **John J. Waldron**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about John J. Waldron (CRD # 1864267) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about John J. Waldron is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

John J. Waldron was born in 1959. Mr. Waldron graduated from Robert Morris University in 1982 with a degree in Accounting. Mr. Waldron has served as Managing Member and President and investment advisor representative of Waldron Private Wealth, LLC since September 1995 and is the Managing Member, and Chairman of the Board of Managers and an investment advisor representative. Mr. Waldron was a registered representative and an investment advisor representative of LPL Financial Corporation from September 1995 to December 2012. Mr. Waldron was an investment adviser representative of The Fragasso Group, Inc., from January 2003 to November 2012. Mr. Waldron was a registered representative of Purshe Kaplan Sterling Investments from December 2012 until December 2018.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Waldron, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Waldron to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Mr. Waldron that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Waldron. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Waldron is licensed to sell insurance in the District of Columbia, Florida, Maryland, New Jersey, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Texas, Virginia, and West Virginia. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

### Item 5 Additional Compensation

Mr. Waldron's annual compensation is based, in part, on the number of clients that Mr. Waldron introduces to the Registrant. Accordingly, Mr. Waldron has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any

section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Matthew Helfrich**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Matthew Helfrich (CRD # 4344282) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Matthew Helfrich is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Matthew Helfrich was born in 1981. Mr. Helfrich graduated from Duquesne University in 2003, with a Bachelor of Science degree in Investment Management. Mr. Helfrich has been employed as the President, the Chief Compliance Officer, a wealth counselor, and an investment advisor representative of Waldron Private Wealth, LLC since January 2002 and he is a Member and a Board of Managers Member. He was a registered representative of Purshe Kaplan Sterling Investments from December 2012 to January 2015. Mr. Helfrich was a registered representative and an investment advisor representative of LPL Financial Corporation from July 2003 to December 2012.

Mr. Helfrich is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a

CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent**. Mr. Helfrich, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Helfrich to effect insurance transactions on a commission basis. **Conflict of Interest**: The recommendation by Mr. Helfrich that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Helfrich. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### Item 5 Additional Compensation

Mr. Helfrich's annual compensation is based, in part, on the number of clients that Mr. Helfrich introduces to the Registrant. Accordingly, Mr. Helfrich has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Kevin M. Searfoss**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Kevin M. Searfoss (CRD # 2368306) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Kevin M. Searfoss is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Kevin M. Searfoss was born in 1970. Mr. Searfoss graduated from Geneva College in 1992, with a degree in Business Administration. Mr. Searfoss has been employed as a wealth counselor and investment advisor representative of Waldron Private Wealth, LLC since January 2002. Mr. Searfoss was a registered representative of Purshe Kaplan Sterling Investments from December 2012 to January 2015. He was a registered representative of LPL Financial Corporation from January 2002 to December 2012.

Mr. Searfoss is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP®

certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Mr. Searfoss has held the designation of Certified Divorce Financial Analyst® (CDFA®) since 2012. The Certified Divorce Financial Analyst® (CDFA®) designation is issued by The Institute for Divorce Financial Analysts (IDFATM), which is a national organization dedicated to the certification, education, and promotion of the use of financial professionals in the divorce arena.

Founded in 1993, IDFATM provides specialized training to accounting, financial, and legal professionals in the field of pre-divorce financial planning. Over the years, IDFATM has certified more than 5,000 professionals in the U.S. and Canada as Certified Divorce Financial Analysts® (CDFAs®). The CDFA® designation is available to individuals who have a minimum of three years experience as a financial professional, accountant, or matrimonial lawyer. To acquire the designation, a candidate must successfully pass all exams and be in good standing with their broker dealer (if applicable) and the FINRA/SEC or other licensing or regulatory agency.

To earn the designation, the participant must complete a series of self-study course modules and pass an examination for each module. The American module topics are:

- Financial and legal issues of divorce
- Advanced financial issues of divorce
- Tax issues of divorce
- Working as a CDFA: case studies

Mr. Searfoss has held the designation of Behavioral Financial Advisor (BFA) since 2019. The BFA designation was created by Kaplan Financial Education. The program instructs on how to mentor and coach clients in their financial decisions, transition to advice-based fees, and offer a holistic approach to strengthen the advisor-client relationship. The program uses an integrated approach founded on self-awareness, we demonstrate how traditional finance practices are influenced by psychology and neuroscience. The Behavioral Financial Advice program improves emotional competencies and decision-making behavior to increase the usage of the financial plan for you and your clients. The BFA program requires the completion of 2 courses, related to behavioral finance, and the passing of a certification exam. Twenty hours of continuing education is required every two years.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Searfoss, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Searfoss to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Mr. Searfoss that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Searfoss. Clients are reminded that they may purchase insurance products recommended by the Registrant

through other, non-affiliated insurance agents. Mr. Searfoss is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### **Item 5 Additional Compensation**

Mr. Searfoss's annual compensation is based, in part, on the number of clients that Mr. Searfoss introduces to the Registrant. Accordingly, Mr. Searfoss has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Michael E. Krol**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Michael E. Krol (CRD # 4855869) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Michael E. Krol is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Michael E. Krol was born in 1979. Mr. Krol graduated from Duquesne University in 2001, with a degree in Accounting and Information Technology. Mr. Krol has been employed as an investment adviser representative of Waldron Private Wealth, LLC since March 2007. He was a registered representative of Purshe Kaplan Sterling Investments from December 2012 to January 2015. Mr. Krol was a registered representative and investment adviser representative of LPL Financial Corporation from April 2007 to December 2012. From August 2005 to March 2007, Mr. Krol was employed as an investment adviser representative of Legend Financial Advisors, Inc.

Mr. Krol is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use

these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Mr. Krol has held the designation of Certified Public Accountant ("CPA") since 2002. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of

experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own. Mr. Krol is currently licensed as a CPA in Pennsylvania

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Krol, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Krol to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Mr. Krol that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Krol. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Krol is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

**Certified Public Accountant (CPA).** Mr. Krol, in his individual capacity, is a certified public accountant, and may recommend his tax preparation and/or accounting services. To the extent a client determines to engage Mr. Krol to provide tax preparation and/or accounting services, such services shall be provided by Mr. Krol in his individual capacity as a certified public accountant, independent of Registrant. Registrant shall receive no portion of fees charged by Mr. Krol for such services. **Conflict of Interest:** The recommendation by Mr. Krol that a client elect his accounting services presents a *conflict*

*of interest*, as the receipt of fees for accounting services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Mr. Krol for accounting services. Clients are reminded that they may elect to obtain accounting services recommended by the Registrant through other non-affiliated certified public accountants. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective may have regarding the above conflict of interest.**

#### **Item 5 Additional Compensation**

Mr. Krol's annual compensation is based, in part, on the number of clients that Mr. Krol introduces to the Registrant. Accordingly, Mr. Krol has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

**Eric G. Vogt**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Eric G. Vogt (CRD #5150466) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Eric G. Vogt is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Eric G. Vogt was born in 1984. Mr. Vogt graduated from Miami University of Ohio in 2006, with a degree in Finance. Mr. Vogt has been employed as an investment adviser representative of Waldron Private Wealth, LLC since March 2007. He was a registered representative of Purshe Kaplan Sterling Investments from December 2012 to January 2015. Mr. Vogt was a registered representative and investment adviser representative of LPL Financial Corporation from April 2007 to December 2012. From September 2006 to March 2007, Mr. Vogt was employed as a registered representative of Commonwealth Financial Network. From May 2006 to March 2007, he was employed as a registered representative of D.B. Root & Company.

Mr. Vogt is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use

these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

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- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Vogt, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Vogt to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Mr. Vogt that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Vogt. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Vogt is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### **Item 5 Additional Compensation**

Mr. Vogt's annual compensation is based, in part, on the number of clients that Mr. Vogt introduces to the Registrant. Accordingly, Mr. Vogt has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

**Item 1 Cover Page**

A.

**Benjamin Michael Greenfeld**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Benjamin Michael Greenfeld (CRD# 5272549) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Benjamin Michael Greenfeld is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

Benjamin Michael Greenfeld was born in 1984. Mr. Greenfeld graduated from Duquesne University in 2006, with a degree in Finance. Mr. Greenfeld has been employed as an investment adviser representative of Waldron Private Wealth, LLC since November 2011 and also, since January 2018, he has also been the Chief Investment Officer, and is a Member and a Board of Managers Member. He was a registered representative of Purshe Kaplan Sterling Investments from December 2012 to January 2015. Mr. Greenfeld was a registered representative of LPL Financial Corporation from March 2011 to December 2012. From September 2009 to March 2011, Mr. Greenfeld was an assistant advisor of Emergingwealth Investment Management, Inc. and from September 2004 to March 2011, he was an assistant wealth advisor at Legend Financial Advisors, Inc.

Mr. Greenfield is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Greenfeld, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Greenfeld to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Greenfeld that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Greenfeld. Clients are reminded that they may purchase insurance products recommended by Mr. Greenfeld through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

### Item 5 Additional Compensation

Mr. Greenfeld's annual compensation is based, in part, on the number of clients that Mr. Greenfeld introduces to the Registrant. Accordingly, Mr. Greenfeld has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Robert H. Wyche**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Robert H. Wyche (CRD #6486897) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Robert H. Wyche is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Robert H. Wyche was born in 1977. Mr. Wyche graduated from Campbell University in 2000, with a Bachelor of Science Business Administration degree in Trust Management and from the Joseph M. Katz Graduate School of Business in 2009, with a Master of Business Administration degree. Mr. Wyche has been an investment advisor representative of Waldron Private Wealth, LLC since April 2015 and, he is also a Member and a Board of Managers Member. From May 2001 to April 2015 Mr. Wyche was employed by BNY Mellon Wealth Management, serving most recently as Senior Director of Portfolio Management and Vice President.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Wyche, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Wyche to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Mr. Wyche that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Wyche. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Wyche is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

### Item 5 Additional Compensation

Mr. Wyche's annual compensation is based, in part, on the number of clients that Mr. Wyche introduces to the Registrant. Accordingly, Mr. Wyche has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

**Item 1 Cover Page**

A.

**Chase D. Conti**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Chase D. Conti (CRD #5930586) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Chase D. Conti is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

Chase D. Conti was born in 1988. Mr. Conti graduated from Robert Morris University in 2011, with a Bachelor of Science degree of Business Administration in Finance and Accounting. Mr. Conti has been an investment analyst of Waldron Private Wealth, LLC since July 2013. Before that, Mr. Conti worked for Legend Financial Advisors, Inc., first as a financial intern from November 2009 to May 2011, and then as an assistant financial adviser from May 2011 to July 2013.

Mr. Conti is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Conti's annual compensation is based, in part, on the number of clients that Mr. Conti introduces to the Registrant. Accordingly, Mr. Conti has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Carmen J. Palmieri**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Carmen J. Palmieri (CRD #5744484) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Carmen J. Palmieri is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Carmen J. Palmieri was born in 1981. Mr. Palmieri graduated from the University of Delaware in 2003 with a Bachelor of Science degree in Business Administration and from Duquesne University in 2006 with a Master of Business Administration degree. Mr. Palmieri has been an investment advisor representative of Waldron Private Wealth, LLC since June 2015. From September 2014 to June 2015, Mr. Palmieri was an investment officer at PNC Wealth Management. And from June 2006 to September 2014, he was a portfolio analyst at JK Milne Asset Management.

Mr. Palmieri has been a CFA<sup>®</sup> Charterholder since 2015. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst<sup>®</sup> (CFA<sup>®</sup>) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 178,000 CFA® Charterholders working in over 170 countries and regions. To earn the CFA® charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

### **Item 3 Disciplinary Information**

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent**. Mr. Palmieri, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Palmieri to effect insurance transactions on a commission basis. **Conflict of Interest**: The recommendation by Mr. Palmieri that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Palmieri. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Palmieri is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### **Item 5 Additional Compensation**

Mr. Palmieri's annual compensation is based, in part, on the number of clients that Mr. Palmieri introduces to the Registrant. Accordingly, Mr. Palmieri has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Casey J. Robinson**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Casey J. Robinson (CRD# 4974293) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Casey J. Robinson is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Casey J. Robinson was born in 1986. Mr. Robinson graduated from Indiana University of Pennsylvania in 2008 with a Bachelor of Science degree in Marketing and from Carlow University in 2012 with a Masters Degree in Business Administration. Mr. Robinson has been a wealth planner at Waldron Private Wealth, LLC since June 2014. Mr. Robinson was a registered representative of Purshe Kaplan Sterling Investments from June 2014 to December 2014. He was a financial planner at PNC Investments LLC from July 2010 to June 2014. Mr. Robinson was a registered representative at MetLife Securities from March 2009 to May 2010.

Mr. Robinson is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

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- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

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- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Robinson's annual compensation is based, in part, on the number of clients that Mr. Robinson introduces to the Registrant. Accordingly, Mr. Robinson has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

**Item 1 Cover Page**

A.

**Michael Waldron**

Waldron Private Wealth

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Michael Waldron (CRD#6740376) that supplements the Waldron Private Wealth Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Michael Waldron is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

Michael Waldron was born in 1995. Mr. Waldron graduated from Ohio University in 2017 with a bachelor's degree in finance. He has been a wealth planner at Waldron Private Wealth since August 2016.

**Item 3 Disciplinary Information**

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Waldron's annual compensation is based, in part, on the number of clients that Mr. Waldron introduces to the Registrant. Accordingly, Mr. Waldron has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Bryan Waldron**

Waldron Private Wealth

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Bryan Waldron (CRD#6740376) that supplements the Waldron Private Wealth Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth’s Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Bryan Waldron is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Bryan Waldron was born in 1995. Mr. Waldron graduated from Ohio University in 2015 with a Bachelor of Arts Degree in Finance. He has been an investment analyst and Wealth Planner at Waldron Private Wealth since June 2015.

Mr. Waldron is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.

- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Waldron's annual compensation is based, in part, on the number of clients that Mr. Waldron introduces to the Registrant. Accordingly, Mr. Waldron has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Ali C. Swart**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This brochure supplement provides information about Ali C. Swart (CRD# 4974293) that supplements the Waldron Private Wealth, LLC brochure; you should have received a copy of that brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Ali C. Swart is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Ali C. Swart was born in 1986. Ms. Swart graduated from Marietta College in 2008, with a Bachelor of Arts degree in Marketing and Management Information Systems and from Florida Atlantic University in 2010, with a Master of Business Administration degree. Ms. Swart has been an investment adviser representative at Waldron Private Wealth, LLC since February 2018. Ms. Swart was a Private Client Specialist at Fidelity Investments from October 2010 to July 2012, an Investment Representative at Fidelity Investments from July 2012 to April 2014, and a Financial Consultant from April 2014 to February 2018.

Ms. Swart completed the Executive Certificate in Financial Planning in 2012. The Executive Certificate in Financial Planning is a sequential six-course certificate program offered in Pittsburgh at Duquesne University. The program is designed to be completed in nine months and the curriculum focuses on the technical aspects, practical application, and ethics and professionalism of financial planning.

Ms. Swart is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, she may refer to herself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and she may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

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- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Ms. Swart, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Swart to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. Swart that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. Swart. Clients are reminded that they may purchase insurance products recommended by Ms. Swart through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

### Item 5 Additional Compensation

Ms. Swart's annual compensation is based, in part, on the number of clients that Ms. Swart introduces to the Registrant. Accordingly, Ms. Swart has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Shea A. Waldron**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Shea A. Waldron that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Shea A. Waldron is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Shea A. Waldron was born in 1991. Mr. Waldron graduated from Penn State University in 2015, with Bachelor of Science degree in Accounting. Since July 2015, Mr. Waldron has been a Wealth Planning Associate at Waldron Private Wealth, LLC. From June 2014 to August 2014, Mr. Waldron worked in Family Office Services at Fidelity Investments. From June 2013 to August 2013, Mr. Waldron worked in Broker dealer Services at BNY Mellon.

## Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Waldron's annual compensation is based, in part, on the number of clients that Mr. Waldron introduces to the Registrant. Accordingly, Mr. Waldron has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Christopher C. Horan**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Christopher C. Horan that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Christopher C. Horan is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## **Item 2 Education Background and Business Experience**

Christopher C. Horan was born in 1991. Mr. Horan graduated from Ohio University in 2014, with Bachelor of Business Administration degrees in Finance and in Marketing. Since March 2019, Mr. Horan has been a Wealth Planning Analyst at Waldron Private Wealth, LLC. From May 2018 to March 2019, Mr. Horan was a Financial Strategist at McKinley Carter Wealth Services. From July 2017 to May 2018, he was an Associate at D & C Supply. From October 2016 to July 2017, Mr. Horan was an Associate at Strategic Wealth Partners. From May 2007 to October 2016, Mr. Horan was in Support at Bridgeville Rollerplex and from May 2014 to October 2016, he was a specialist at Ensphere Marketing Group.

Mr. Horan is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP®

certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

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- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Horan's annual compensation is based, in part, on the number of clients that Mr. Horan introduces to the Registrant. Accordingly, Mr. Horan has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Nathaniel L. Ecoff**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Nathaniel L. Ecoff that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Nathaniel L. Ecoff is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Nathaniel L. Ecoff was born in 1987. Mr. Ecoff graduated from Pennsylvania State University in 2010, with Bachelor of Science degree in Finance. Since May 2019, Mr. Ecoff has been the Director of Investments at Waldron Private Wealth, LLC. From May 2015 to May 2019, Mr. Ecoff was an investment consultant at Wills Towers Watson. From October 2011 to April 2015, Mr. Ecoff was an investment consultant associate at Wilshire Associates.

Mr. Ecoff has been a CFA<sup>®</sup> Charterholder since 2015. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst<sup>®</sup> (CFA<sup>®</sup>) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 178,000 CFA<sup>®</sup> Charterholders working in over 170 countries and regions. To earn the CFA<sup>®</sup> charter, candidates must: (1) pass three sequential, six-hour

examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA<sup>®</sup> Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA<sup>®</sup> charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA<sup>®</sup> Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA<sup>®</sup> charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.

- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Ecoff's annual compensation is based, in part, on the number of clients that Mr. Ecoff introduces to the Registrant. Accordingly, Mr. Ecoff has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

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## Item 1 Cover Page

A.

**Nicholas A. Colaizzi**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Nicholas A. Colaizzi that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Nicholas A. Colaizzi is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Nicholas A. Colaizzi was born in 1997. Mr. Colaizzi graduated from Robert Morris University in 2019, with a Bachelor of Science degree in Finance. Since January 2020, Mr. Colaizzi has been an Investment Analyst and from January 2017, he has been an investment associate at Waldron Private Wealth, LLC. From April 2016 to January 2017, Mr. Colaizzi was a client service specialist at Waldron Private Wealth, LLC. From August 2014 to September 2016, Mr. Colaizzi was a shift manager at Buster's Ice Cream and from January 2016 to April 2016, he was also a host at Chili's.

Mr. Colaizzi is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

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- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Colaizzi's annual compensation is based, in part, on the number of clients that Mr. Colaizzi introduces to the Registrant. Accordingly, Mr. Colaizzi has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **William A. Groom**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about William A. Groom that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about William A. Groom is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## **Item 2 Education Background and Business Experience**

William A. Groom was born in 1997. Mr. Groom graduated from Robert Morris University in 2019, with a Bachelor of Business Administration degree in Finance and in Economics. Since June 2019, Mr. Groom has been a Wealth Planning Associate at Waldron Private Wealth, LLC. From August 2017 to June 2019, Mr. Groom was a planning department intern at Waldron Private Wealth, LLC. From May 2017 to August 2017, Mr. Groom was an intern at McKesson and from May 2016 to May 2017, he was a marketing/finance intern at The Polesky Agency. From December 2015 to April 2016, Mr. Groom was a research assistant at Robert Morris University.

Mr. Groom is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Groom's annual compensation is based, in part, on the number of clients that Mr. Groom introduces to the Registrant. Accordingly, Mr. Groom has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Samantha L. Spitzer**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Samantha L. Spitzer that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Samantha L. Spitzer is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Samantha L. Spitzer was born in 1993. Ms. Spitzer graduated from the University of Pittsburgh in 2015, with a Bachelor of Science in Business Administration degree in Finance. Since July 2019, Ms. Spitzer has been a Wealth Planning Analyst at Waldron Private Wealth, LLC. From February 2017 to June 2019, Ms. Spitzer was an employee of Summit Bank. From August 2016 to June 2019, Ms. Spitzer was also an investment adviser representative of Raymond James Financial Services Advisors Inc. and a financial advisor at Raymond James Financial Services, Inc. From April 2016 to February 2017, she was a financial analyst at Laguna Wealth Services. From April 2016 to August 2016, Ms. Spitzer was also a pending financial advisor at Raymond James Financial Services, Inc. From April 2015 to October 2015, Ms. Spitzer was a financial analyst at The Ayco Company, L.P./Mercer Allied. From August 2013 to April 2015, Ms. Spitzer was a sales associate at GNC.

Ms. Spitzer is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, she may refer to herself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and she may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Ms. Spitzer has held the designation of Certified Divorce Financial Analyst® (CDFA®) since 2021. The Certified Divorce Financial Analyst® (CDFA®) designation is issued by The Institute for Divorce Financial Analysts (IDFATM), which is a national organization dedicated to the certification, education, and promotion of the use of financial professionals in the divorce arena.

Founded in 1993, IDFATM provides specialized training to accounting, financial, and legal professionals in the field of pre-divorce financial planning. Over the years, IDFATM has certified more than 5,000 professionals in the U.S. and Canada as Certified Divorce Financial Analysts® (CDFAs®). The CDFAs® designation is available to individuals who have a minimum of three years experience as a financial professional, accountant, or matrimonial lawyer. To acquire the designation, a candidate must successfully pass all exams and be in good standing with their broker dealer (if applicable) and the FINRA/SEC or other licensing or regulatory agency.

To earn the designation, the participant must complete a series of self-study course modules and pass an examination for each module. The American module topics are:

- Financial and legal issues of divorce
- Advanced financial issues of divorce
- Tax issues of divorce
- Working as a CDFAs: case studies

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Ms. Spitzer, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Spitzer to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. Spitzer that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. Spitzer. Clients are reminded that they may purchase insurance products recommended by Ms. Spitzer through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

## **Item 5 Additional Compensation**

Ms. Spitzer's annual compensation is based, in part, on the number of clients that Ms. Spitzer introduces to the Registrant. Accordingly, Ms. Spitzer has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

## **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**John C. Stubbs**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about John C. Stubbs that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about John C. Stubbs is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

John C. Stubbs was born in 1959. Mr. Stubbs graduated from the University of Pittsburgh at Johnstown in 1982, with a Bachelor of Science degree in Finance. Since August 2019, Mr. Stubbs has been a Director of Wealth Planning at Waldron Private Wealth, LLC. From August 2017 to July 2019 Mr. Stubbs was a Senior Director at Rootstock Advisors. From July 2015 to July 2017, Mr. Stubbs was the owner of JCS Estate and Financial Planning. From April 2000 to June 2015, Mr. Stubbs was a Vice President and Relationship Manager at BNY Mellon Wealth Management.

Mr. Stubbs is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

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- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Stubbs's annual compensation is based, in part, on the number of clients that Mr. Stubbs introduces to the Registrant. Accordingly, Mr. Stubbs has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Madison T. Daggett**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Madison T. Daggett that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Madison T. Daggett is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Madison T. Daggett was born in 1997. Ms. Daggett graduated from the University of Pittsburgh in 2018, with Bachelor of Science degrees in Economics and Mathematics. Since January 2020, Ms. Daggett has been an Associate at Waldron Private Wealth, LLC. From January 2019 to January 2020, Ms. Daggett was a Registered Representative of Northwestern Mutual Investment Service, LLC. From June 2018 to October 2018, Ms. Daggett was an Agent Assistant at Craig Fiedler and from October 2018 to December 2019, she was an Associate Agent.

## Item 3 Disciplinary Information

None.

#### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Ms. Daggett, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Daggett to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. Daggett that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. Daggett. Clients are reminded that they may purchase insurance products recommended by Ms. Daggett through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### Item 5 Additional Compensation

Ms. Daggett's annual compensation is based, in part, on the number of clients that Ms. Daggett introduces to the Registrant. Accordingly, Ms. Daggett has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### Item 6 Supervision

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## Item 1 Cover Page

A.

**Alex G. Hendrickson**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Alex G. Hendrickson that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Alex G. Hendrickson is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Alex G. Hendrickson was born in 1993. Mr. Hendrickson graduated from the University of Pittsburgh in 2015, with a Bachelor of Science degree in Business Administration. Since September 2020, Mr. Hendrickson has been a Senior Investment Analyst at Waldron Private Wealth, LLC. From June 2015 to September 2020, Mr. Hendrickson was an Advisor Assistant at Legend Financial Advisors, Inc.

Mr. Hendrickson is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

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- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

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- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Mr. Hendrickson has held the designation of Accredited Wealth Management Advisor<sup>SM</sup> ("AWMA<sup>®</sup>") since 2016. AWMA<sup>®</sup> is a professional designation administered by the College for Financial Planning. Candidates receive training in investment for retirement, strategies for small business owners, the management of deferred compensation plans, insurance, estate planning, asset protection, and tax reduction issues. Candidates are required to complete a final examination testing these topics. All candidates are subject to ongoing ethics and educational requirements.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Hendrickson's annual compensation is based, in part, on the number of clients that Mr. Hendrickson introduces to the Registrant. Accordingly, Mr. Hendrickson has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Tucker M. Beale**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

C. 44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Tucker M. Beale (CRD # 2368306) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Tucker M. Beale is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Tucker M. Beale was born in 1996. Mr. Beale graduated from Duquesne University in 2020, with a Bachelor of Science degree in Business Administration. Mr. Beale has been an Associate of Waldron Private Wealth, LLC since May 2020. From March 2019 to May 2020, Mr. Beale was an Intern at Waldron Private Wealth, LLC.

## Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Beale's annual compensation is based, in part, on the number of clients that Mr. Beale introduces to the Registrant. Accordingly, Mr. Beale has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**Nicholas K. Koury**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Nicholas K. Koury that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer, if you did *not* receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Nicholas K. Koury is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

## Item 2 Education Background and Business Experience

Nicholas K. Koury was born in 1996. Mr. Koury graduated from the Campbell University in 2020, with a Bachelor of Business Administration degree in Trust and Wealth Management and in 2020 with a Master of Business Administration degree. Since July 2020, Mr. Koury has been an Associate at Waldron Private Wealth, LLC. From May 2019 to July 2019 and from May 2018 to August 2018, Mr. Koury was an intern at Waldron Private Wealth Management, LLC.

## Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Koury's annual compensation is based, in part, on the number of clients that Mr. Koury introduces to the Registrant. Accordingly, Mr. Koury has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Craig Aaron Slaubaugh**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Craig Aaron Slaubaugh (CRD # 6249858) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Craig Aaron Slaubaugh is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Craig Aaron Slaubaugh was born in 1984. Mr. Slaubaugh graduated from Gannon University in 2008 with a Bachelor of Science degree in history and education, and in 2010 with a Master of Education degree in curriculum and instruction. Mr. Slaubaugh has been Director of Investments of Waldron Private Wealth, LLC since May 2021. From July 2018 to May 2021, he was employed as a wealth advisor of HBKS Wealth Advisors. From September 2017 to July 2018, Mr. Slaubaugh was employed as a relationship manager of Key Investment Services. From August 2016 to August 2017 he was employed as a wealth advisor of PNC Investments.

Mr. Slaubaugh is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP®

certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Slaubaugh, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Slaubaugh to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Slaubaugh that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Slaubaugh. Clients are reminded that they may purchase insurance products recommended by Mr. Slaubaugh through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### Item 5 Additional Compensation

Mr. Slaubaugh's annual compensation is based, in part, on the amount of assets under management and the number of clients that Mr. Slaubaugh introduces to the Registrant. Accordingly, Mr. Slaubaugh has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Nathan Freshwater**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer  
44 Abele Road, Suite 400  
Bridgeville, Pennsylvania 15017  
[www.waldronprivatewealth.com](http://www.waldronprivatewealth.com)

B.

**This Brochure Supplement provides information about Nathan Freshwater (CRD # 7071273) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Nathan Freshwater is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Nathan Freshwater was born in 1998. Mr. Freshwater graduated from Duquesne University in 2021 with a Bachelor of Science degree in business administration. Mr. Freshwater has been an investment associate of Waldron Private Wealth, LLC since May 2020. Prior to that he was a student at Duquesne University. From January 2019 to May 2020 Mr. Freshwater was an intern at Wells Fargo Advisors, and from June 2016 to December 2018 he was the owner of Fresh Shine.

## Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Freshwater's annual compensation is based, in part, on the number of clients that Mr. Freshwater introduces to the Registrant. Accordingly, Mr. Freshwater has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Lindsay Wilcox**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Lindsay Wilcox (CRD # 7179651) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Lindsay Wilcox is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Lindsay Wilcox was born in 1987. Ms. Wilcox graduated from Saint Vincent College in 2010 with a Bachelor of Science degree in marketing, and from The University of Pittsburgh, Katz Graduate School of Business in 2014 with a Master of Business Administration degree. Ms. Wilcox has been a Senior Wealth Planning Analyst of Waldron Private Wealth, LLC since June 2021. From May 2020 to May 2021, she was employed as a financial advisor of Wells Fargo Clearing Services, LLC. From October 2019 to May 2020, she was employed as a Senior Wealth Strategy Associate of UBS Financial Services Inc. From February 2016 to June 2017, she was employed as a compliance officer of PNC. Ms. Wilcox has also been the owner of Pure Barre Peters Township since November 2016.

Ms. Wilcox is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, she may refer to herself as a

CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and she may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. Ms. Wilcox is the owner of Pure Barre Peters Township, a fitness center, in Canonsburg, PA.

#### **Item 5 Additional Compensation**

Ms. Wilcox's annual compensation is based, in part, on the number of clients that Ms. Wilcox introduces to the Registrant. Accordingly, Ms. Wilcox has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Patrick J. Ellsworth**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Patrick J. Ellsworth (CRD # 6829455) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Patrick J. Ellsworth is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Patrick J. Ellsworth was born in 1995. Mr. Ellsworth graduated from Penn State University in 2017 with a Bachelor of Science degree in economics. Mr. Ellsworth has been an Investment Analyst of Waldron Private Wealth, LLC since February 2022. From October 2018 to February 2022, Mr. Ellsworth was an Investment Analyst of HBKS Wealth Advisors. From November 2018 to October 2018, he was a registered representative of Purshe Kaplan Sterling Investments. From July 2017 to October 2018, he was a registered representative of The Vanguard Group, Inc. Prior to that he was a student.

Mr. Ellsworth has been a CFA<sup>®</sup> Charterholder since 2021. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst<sup>®</sup> (CFA<sup>®</sup>) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 178,000 CFA<sup>®</sup> Charterholders working in over 170 countries and regions. To earn the CFA<sup>®</sup> charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA<sup>®</sup> Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA<sup>®</sup> charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA<sup>®</sup> Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA<sup>®</sup> charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

### **Item 3 Disciplinary Information**

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Ellsworth's annual compensation is based, in part, on the number of clients that Mr. Ellsworth introduces to the Registrant. Accordingly, Mr. Ellsworth has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Jack Knapton**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Jack Knapton (CRD # 7284886) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Jack Knapton is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Jack Knapton was born in 1998. Mr. Knapton graduated from Duquesne University in 2020, with a Bachelor of Business Administration degree in finance. Mr. Knapton has been employed by Waldron Private Wealth, LLC since September 2019, and has been an Associate since June 2020. Prior to that he was a student.

## Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent**. Mr. Knapton, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Knapton to effect insurance transactions on a commission basis. **Conflict of Interest**: The recommendation by Mr. Knapton that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Knapton. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Knapton is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### **Item 5 Additional Compensation**

Mr. Knapton's annual compensation is based, in part, on the number of clients that Mr. Knapton introduces to the Registrant. Accordingly, Mr. Knapton has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

**John R. Raebiger, Jr.**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about John R. Raebiger, Jr. (CRD # 2502160) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about John R. Raebiger, Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

John R. Raebiger, Jr. was born in 1972. Mr. Raebiger graduated from Shippensburg University in 1995 with a Bachelor of Science in Business Administration degree, and from Temple University in 2007 with a master's degree in finance. Mr. Raebiger has been employed as a Senior Managing Director and investment advisor representative of Waldron Private Wealth, LLC since March 2022. From June 2002 to March 2022, Mr. Raebiger was Managing Director of Pitcairn.

Mr. Raebiger is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Mr. Raebiger holds the designation of Certified Trust and Financial Advisor (CTFA). The CTFA designation identifies individuals who have completed certain requirements mandated by the Institute of Certified Bankers (ICB). Candidates must pass a comprehensive exam and meet the following requirements: 1) must have a minimum of three (3) years experience in wealth management and complete an ICB wealth management-training program *or* have five (5) years experience in wealth management and a bachelor's degree *or* have at least ten (10) years experience in wealth management; 2) must provide the ICB with a letter of recommendation; 3)

must agree to ICB's Professional Code of Ethics; 4) must pay an annual fee and 5) must complete forty five (45) continuing education credits every three (3) years.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Raebiger's annual compensation is based, in part, on the number of clients that Mr. Raebiger introduces to the Registrant. Accordingly, Mr. Raebiger has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

**Item 1 Cover Page**

A.

**Renee Elizabeth Mendelsohn**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Renee E. Mendelsohn (CRD # 4972423) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Renee E. Mendelsohn is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

Renee E. Mendelsohn was born in 1972. Ms. Mendelsohn graduated from Davenport University in 2000 with a Bachelor of Business Administration degree, and from Western Michigan Thomas Cooley Law School in 2003 with a Juris Doctor degree. Ms. Mendelsohn has been employed as a Senior Wealth Advisor of Waldron Private Wealth, LLC since May 2021. From March 2021 to May 2021, she was an advisor with Merrill Lynch's Financial Advisor Development Program. From September 2010 to September 2020, she was Vice President of Comerica Bank.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Ms. Mendelssohn's annual compensation is based, in part, on the number of clients that Ms. Mendelssohn introduces to the Registrant. Accordingly, Ms. Mendelssohn has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Patrick Cortazzo Jr.**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Patrick Cortazzo Jr. (CRD # 6865265) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Patrick Cortazzo Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Patrick Cortazzo Jr. was born in 1996. Mr. Cortazzo graduated from Saint Vincent College in 2018 with a Bachelor of Science degree in finance. Mr. Cortazzo has been a Wealth Planning Analyst and an investment advisor representative of Waldron Private Wealth, LLC since May 2022. Mr. Cortazzo was employed by Treloar & Heisel Wealth Management as a Wealth Advisor from January 2022 to May 2022, an Associate Wealth Advisor from May 2019 to December 2021, and a Client Service Associate from December 2018 to May 2019. From August 2018 to December 2018, he was an AML Compliance Specialist of BNY Mellon. Prior to that he was a student.

Mr. Cortazzo is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he may use

these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Mr. Cortazzo has held the designation of Chartered Financial Consultant (ChFC®) since 2021. The ChFC® designation is awarded by The American College, an accredited private educational institution that offers both undergraduate and graduate training programs. Prerequisites include high school education and three years of full-time business experience within the five years preceding the awarding of the designation. Average study time to earn the ChFC® exceeds 450

hours, to complete the 8 required college-level courses and pass the final exam for each course. Required courses cover topics, including retirement and estate planning; insurance planning; financial process and environment, income tax planning; employee benefits planning; asset protection planning and estate tax, transfer tax, and gift tax planning; and applications of comprehensive financial planning and consulting. Certification requires 30 CE credits every two years. ChFC® charterholders are held to a fiduciary standard and agree to comply with The American College code of ethics and procedures.

Mr. Cortazzo has held the designation of Certified Student Loan Professional (CSLP®) since 2020. This designation is awarded by the Certified Student Loan Advisors Board of Standards and is used by financial professionals who seek to provide information to clients about how to efficiently repay student loans within the larger scope of their financial plans. Certification requires individuals to have two years of industry experience in financial services or hold a bachelor's degree in business or finance from an accredited college or university. Individuals must also hold a license or registration in a regulated financial services industry (brokerage, investment adviser services, insurance). Unlicensed individuals providing coaching services may qualify for the certificate program subject to the verification of business and individual qualifications. Designees are required to complete an annual competency exam to ensure that they continue to demonstrate the knowledge required to provide student loan repayment advice to clients.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Cortazzo, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Cortazzo to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Mr. Cortazzo that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Cortazzo. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. Mr. Cortazzo is licensed to sell insurance in Pennsylvania. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

## **Item 5 Additional Compensation**

Mr. Cortazzo's annual compensation is based, in part, on the number of clients that Mr. Cortazzo introduces to the Registrant. Accordingly, Mr. Cortazzo has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

## **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Kaleigh A. Price**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: August 18, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This brochure supplement provides information about Kaleigh A. Price (CRD# 6085740) that supplements the Waldron Private Wealth, LLC brochure; you should have received a copy of that brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Kaleigh A. Price is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Kaleigh A. Price was born in 1996. Ms. Price graduated from Temple University in 2018 with a Bachelor of Business Administration degree in finance. Ms. Price has been a Wealth Planning Associate at Waldron Private Wealth, LLC since July 2022. From December 2015 to July 2022, Ms. Price was a registered representative of Lincoln Investment LLC.

Ms. Price is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, she may refer to herself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and she may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

None.

#### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Ms. Price, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Price to effect insurance transactions on a commission basis. **Conflict of Interest:** The recommendation by Ms. Price that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. Price. Clients are reminded that they may purchase insurance products recommended by the Registrant through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Matthew Helfrich, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

#### Item 5 Additional Compensation

Ms. Price's annual compensation is based, in part, on the number of clients that Ms. Price introduces to the Registrant. Accordingly, Ms. Price has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### **Mary Elizabeth Keegan**

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: October 20, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Mary E. Keegan (CRD # 7058741) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Mary E. Keegan is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Mary E. Keegan was born in 1987. Ms. Keegan graduated from the State University of New York at Geneseo in 2009 with a Bachelor of Communication degree. In 2013, Ms. Keegan graduated from Syracuse University with a Juris Doctor degree as well as a Master's degree in the Cultural Foundations of Education. Ms. Keegan has been employed as a Senior Director of Legal and Compliance of Waldron Private Wealth, LLC since October 2022. From July of 2018 to September of 2022, she was Chief Counsel of MFA Wealth Advisors, LLC. Ms. Keegan was also Chief Compliance Officer of MFA Wealth from March of 2019 to September of 2022. Between October of 2021 and September of 2022, Ms. Keegan was Chief Counsel and Chief Compliance Officer for Aquinas Wealth Advisors, LLC. From March of 2014 to July of 2018, Ms. Keegan was a compliance consultant at Hardin Compliance Consulting LLC.

Mary E. Keegan holds the professional designations Investment Adviser Certified Compliance Professional (IACCP®).

The IACCP® designation is a professional certification awarded by National Regulatory Services (NRS) and the Investment Adviser Association (IAA) to individuals who complete an online and/or in-person instructor-led program of study, pass a certifying examination, and meet its work experience, ethics and continuing education requirements. Recipients of the IACCP® certification have completed 15 required compliance courses, 5 electives, 2 years of work experience, submission of the ethics commitment and assessment, and the certifying examination. The designation signifies knowledge of investment adviser regulation and compliance best practices, and adherence to nationally recognized professional standards and ethical leadership. For additional information about each of these credentials, please refer directly to the website of the issuing organization

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.

## Item 1 Cover Page

A.

### Wade Rashilla

Waldron Private Wealth, LLC

ADV Part 2B, Brochure Supplement

Dated: December 15, 2022

Contact: Matthew Helfrich, Chief Compliance Officer

44 Abele Road, Suite 400

Bridgeville, Pennsylvania 15017

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

B.

**This Brochure Supplement provides information about Wade Rashilla (CRD # 7626544) that supplements the Waldron Private Wealth, LLC Brochure; you should have received a copy of that Brochure. Please contact Matthew Helfrich, Chief Compliance Officer if you did not receive Waldron Private Wealth, LLC's Brochure or if you have any questions about the contents of this Brochure Supplement.**

**Additional information about Wade Rashilla is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Wade Rashilla was born in 1999. Mr. Rashilla graduated from Westmoreland County Community College in 2018 with an Associate of Arts in General Studies. In 2022, Mr. Rashilla graduated from Saint Vincent College with a Bachelor of Science in Finance and Mathematics, minoring in accounting and economics. Mr. Rashilla has been employed by Waldron Private Wealth, LLC since January of 2022, and has been an Investment Associate since July 2022. Prior to that, Mr. Rashilla was a student at Saint Vincent College and intern at Fort Pitt Capital.

## Item 3 Disciplinary Information

None.

#### **Item 4 Other Business Activities**

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

Mr. Rashilla's annual compensation is based, in part, on the number of clients that Mr. Rashilla introduces to the Registrant. Accordingly, Mr. Rashilla has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Matthew Helfrich, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Helfrich at (412) 221-1005.