

# CASTLE WEALTH MANAGEMENT

FORTIFY YOUR FAMILY'S FUTURE



Facts	What Does Castle Wealth Management (“Castle”) Do with Your Personal Information?												
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share and protect your personal information. Please read this notice carefully to understand what we do.												
What?	<p>The types of personal information we collect can include:</p> <table border="0" data-bbox="326 657 997 888"> <tr> <td>Social Security number</td> <td>Transaction history/Investment Activity</td> </tr> <tr> <td>Income/Assets</td> <td>Phone Numbers</td> </tr> <tr> <td>Name and Address</td> <td>Email</td> </tr> <tr> <td>Financial Documents</td> <td>Legal Documents</td> </tr> <tr> <td>Account Numbers</td> <td>Date of Birth</td> </tr> <tr> <td>Driver license or passport information</td> <td></td> </tr> </table> <p>When you are <i>no longer</i> our customer, we will continue to hold your information and share it as described in this notice.</p>	Social Security number	Transaction history/Investment Activity	Income/Assets	Phone Numbers	Name and Address	Email	Financial Documents	Legal Documents	Account Numbers	Date of Birth	Driver license or passport information	
Social Security number	Transaction history/Investment Activity												
Income/Assets	Phone Numbers												
Name and Address	Email												
Financial Documents	Legal Documents												
Account Numbers	Date of Birth												
Driver license or passport information													
How?	All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons why financial companies can share their customers’ personal information, the reasons Castle chooses to share personal information and whether you can limit this sharing.												

Reasons We Can Share Your Personal Information	Does Castle Share?	Can You Limit This Sharing?
For our everyday business purposes, such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, auditors, examiners, compliance reviews or report.	Yes	No
For our marketing purposes to offer our products and services to you	No	We don’t share
For joint marketing with other financial companies	No	We don’t Share
For our affiliates’ everyday business purposes—information about your transactions and experiences	No	We don’t Share
For our affiliates’ everyday business purposes—information about your creditworthiness	No	We don’t share
<p>For non-affiliates to market to you—for clients with accounts established with Castle’s independent representatives.</p> <p>If your independent representative terminates his or her relationship with us and moves to another brokerage or investment advisory firm, we or your independent representative may not disclose your personal information to the new firm, unless you instruct us to by completing the transfer information at the new financial firm.</p>	No*	We don’t share

<p>For non-affiliates to market to you—for clients with accounts established with Castle independent representatives</p> <p>* If your independent representative terminates his or her relationship with us and moves to another brokerage or investment advisory firm, we or your independent representative may disclose your personal information to the new firm, unless you instruct us not to by returning the completed Privacy Choices Notice form attached to this notice.</p>	No*	Yes
---	-----	-----

## Questions?

Email us at [info@castlewm.com](mailto:info@castlewm.com) call us at 561-686-9604

## Who We Are

Who is providing this notice?	<p>Castle Wealth Management, LLC          201 Arkona Court          West Palm Beach Florida 33401          561-686-9604  <a href="mailto:info@castlewm.com">info@castlewm.com</a>  <a href="http://www.castlewm.com">www.castlewm.com</a></p>
-------------------------------	---

## What We Do

How does Castle Financial protect my personal information?	<p>To protect your personal information from unauthorized access and use, we use security measures that we believe comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>Our online environment uses security technologies, including layered security and access controls over personal information. For further information, please contact us at 561-686-9604</p>
How does Castle collect my personal information?	<p>We collect your personal information, for example, when you:</p> <ul style="list-style-type: none"> <li>▪ Enter into an agreement with us</li> <li>▪ Seek financial advice</li> <li>▪ Make deposits or withdrawals from your account</li> <li>▪ Tell us about your portfolio/investments</li> <li>▪ Provide us with your employment history, account statements and other personal information for us to manage your accounts and offer financial advice.</li> </ul> <p>We also collect your personal information from others such as other financial institutions, Broker-dealers/Custodians that you have authorized us to receive information from.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> <li>▪ Sharing for affiliates' everyday business purposes—information about your creditworthiness (Which we do not provide)</li> <li>▪ Affiliates from using your information to market to you</li> <li>▪ Sharing for non-affiliates to market to you ( We do not share for marketing purposes)</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
What happens when I limit sharing for an account, I hold jointly with someone else?	<p>Your choices will apply to everyone on your account.</p>

## Definitions

Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies.
Non-Affiliates	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"><li>▪ Non-affiliates we may share information with include an independent representative's new brokerage or an investment advisory firm.</li></ul>
Joint marketing	A formal agreement between non-affiliates financial companies that together market financial products or services to you: <ul style="list-style-type: none"><li>▪ This may include banks, credit unions or other financial institutions with which we have a joint marketing agreement</li></ul>

## Third Parties

Third Parties we share for providing services that you have not entered into a contract with.		
Electronic Communication archiving services	Physical Storage providers	Research Services
Portfolio Management services	Financial Planning Technologies	Accounting services
Document Destruction providers	Legal Services	Compliance services
Document Management systems	Auditors/Examiners	Client Relationship Mgmt.
IT/Cyber Managed Services	Client Consultants	Investment Consultants

## Other Important Information

Information for California, North Dakota, and Vermont Customers

In response to applicable state law, if the mailing address provided for your account is in California, North Dakota, or Vermont, we will automatically treat your account as if you do not want us to disclose your personal information to non-affiliated third parties for purposes of them marketing to you, except as permitted by the applicable state law.

For clients of Castle that have also opened an account with an un-affiliated custodian, operator, fund or other financial institution You may have authorized us to receive and send information to these parties in order to maintain your account.

## PRIVACY CHOICES NOTICE

### Privacy Choices Notice

If you would like to limit the personal information, please contact us at:

Christina Worley CPA/PFS, CFP®, CFA – Managing Partner/Chief Compliance Officer

Castle Wealth Management, LLC

201 Arkona Court

West Palm Beach Florida 33401

561-686-9604

info@castlewm.com

www.castlewm.com

All the information we collect, and share is required in order to maintain your account with Castle.