

ITEM 1 – COVER PAGE



FIRM BROCHURE
(Part 2A of Form ADV)
March 31, 2024

SNC Wealth Management, LLC
25 Sullivan St.
Plainsboro, NJ 08536
(914) 420-2543

This brochure provides information about the qualifications and business practices of SNC Wealth Management, LLC. If you have any questions about the contents of this brochure, please contact Adul A. Shroff, Chief Compliance Officer, by phone on (914) 420-2543.

The information in this brochure has not been approved or verified by the u. S. Securities and exchange commission or by any state securities authority. SNC Wealth Management LLC is a registered investment adviser. Registration of an investment adviser does not imply a certain level of skill or training. Additional information about SNC Wealth Management, LLC, is available on the sec's website at www.adviserinfo.sec.gov.

ITEM 2 – MATERIAL CHANGES

This Form ADV Part 2A Brochure dated March 31, 2024, has been prepared according to the requirements and rules promulgated by the SEC. This Brochure provides information about the qualifications and business practices of SNC Wealth Management, LLC referred to as (“SNC” or the “Adviser,” or “we,” or “us,” or “our”).

The Securities and Exchange Commission requires registered investment advisers to amend their ADV, Part 2 brochure when information becomes materially inaccurate. If there are any material changes to an adviser’s disclosure brochure, the adviser is required to notify you and provide you with a description of the material changes.

This Item 2 will be amended with respect to our annual update to identify and discuss any material changes since our last annual or last update of the brochure.

No material changes have occurred since our previous update dated May 15, 2023.

We will further provide you with a new Brochure as necessary based on changes or new information, at any time, without charge.

Currently, our Brochure may be requested by contacting us at phone number (914) 420-2543.

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ITEM 4 - ADVISORY BUSINESS

Description of Firm

SNC Wealth Management LLC, ("SNC Wealth Management" or the "Adviser" or the "Firm") is a New Jersey-based investment management firm founded in 2022. SNC Wealth Management provides customized investment management services to individuals, high net worth clients, trusts, estates, small businesses, and charitable organizations. As discussed more fully below, SNC Wealth Management assists clients in investment management and consultation, determination of financial objectives, identification of financial concerns, cash flow management, tax planning, insurance review, retirement planning, and estate planning. Some of the investment instruments SNC Wealth Management advises its clientele on include, among other things, mutual funds, exchange traded funds ("ETFs"), equities, bonds, treasuries, options and/or limited partnership interests. SNC Wealth Management is currently registered with the Securities and Exchange Commission ("SEC") as an investment adviser as a limited liability company. SNC Wealth Management is 100% owned by Nicole Giannone and Abdulaziz Shroff.

As of December 31, 2023, SNC managed \$12,232,104 in assets under management.

Description of Advisory Services

SNC Wealth Management provides asset management and financial advice to individuals, institutions, and corporations. Investment advisory services are provided through various types of discretionary and non-discretionary accounts (the "Accounts") in accordance with each client's investment objectives and pursuant to the terms outlined in SNC Wealth Management's investment advisory agreement. The Adviser's discretionary and non-discretionary investment management services include the design, structure, and implementation of various personalized investment strategies for managed Accounts. Investment activities focus on investments in various kinds of assets and securities in a variety of markets that are intended to fit within the client's objectives, strategies and risk profile as described by each client. The overall advisory services offered by SNC Wealth Management fall within the following categories:

Customized Discretionary Portfolios

SNC Wealth Management offers Discretionary Separately Managed Accounts that are customized to each client. Managed Accounts may focus on investments in specified and limited kinds of assets and securities, in limited markets, or they may be broad-based across many asset classes and markets. Such accounts are intended to fit within the investor's objectives, strategies and risk profile as described by each client. The strategies utilized for these customized accounts may be like or may vary widely from the core strategies typically utilized by the Adviser, as further described in the section titled "Methods of Analysis, Investment Strategies, and Risk of Loss", or customized for each client based upon varying factors. Clients may place performance targets on these accounts and may restrict the types of investments made in such accounts.

SNC Wealth Management may customize investment advisory services to the individual needs of the client. The goals and objectives for each client are documented via new account documentation. Client Profiles are created that reflect the stated goals and objective. The Adviser's clients are allowed to impose restrictions on the investments in their account, provided all limitations and restrictions placed on accounts are presented in writing.

Other Non-Discretionary Advisory Services

SNC Wealth Management provides non-discretionary advisory services to all types of clients in accordance with a non-discretionary advisory agreement between the Firm and the client. Each agreement typically defines the services to be provided and if a fee is charged, the fees will also be agreed to in the advisory agreement. The Firm also provides recommendations and research regarding the investment of securities and cash in a client's account. These services are individually customized to each client's needs and such advice may be provided to accounts with assets maintained at various third parties.

Family Office Services

The Adviser offers family office investment advisory services. Such services include but are not limited to furnishing advice to clients on matters not involving securities, such as financial planning matters, retirement planning, real estate planning, trust services that often include estate planning and educational services.

The Adviser's services also include providing personalized confidential financial planning, investment management and financial advisory, as well as family office services to individuals, corporations, trusts, and charitable organizations. Advice is provided through consultation with the client and may include determination of financial objectives, identification of financial concerns, cash flow management, insurance review, investment management, education funding, retirement planning, estate planning, real estate analysis and educational services.

Wrap Fee Programs

A wrap fee program is an investment program where the investor pays one stated fee that includes management fees, transaction costs, fund expenses, and any other administrative fees. The Adviser does not participate in wrap fee programs.

Other Services

Adviser may provide additional services for clients from time to time as agreed between the client and the Adviser.

ITEM 5 - FEES AND COMPENSATION

SNC Wealth Management provides investment management services for an annual fee based upon a percentage of the market value of the assets being managed by the Firm.

These fees are negotiable at the sole discretion of the Firm or representative, but annual fees shall not exceed 2% of the assets under the Firm's management. The Firm uses a flat percentage applied to all assets under management for each client. The fee to be charged to each client will be defined within each client's advisory agreement and applies to all of the assets within the portfolio or household (as defined in the agreement).

Fees are billed quarterly in advance. The applicable annual fee percentage is divided by the number of days in the current year, multiplied by the number of days in the respective quarter, and then multiplied by the asset value on the last day of the prior quarter.

Clients generally authorize the Firm and/or sub-advisors to debit the client's account for their advisory fees and to remit that fee directly to the Firm and/or the sub-advisors. Clients may elect to be billed separately. All qualified custodians recommended by the Firm have agreed to send a statement to the client, at least quarterly, indicating all amounts disbursed from the account including the management fees paid directly to SNC Wealth Management or any sub-advisor.

SNC Wealth Management's investment advisory fees typically are based on a percentage of the client account's market value. Annual management fees typically range between 0.50% and 2.00% of the account's market value. Fees are agreed based on the investment strategy and the type and level of services provided. The actual schedule of fees, as it applies to a particular client, will be clearly outlined in the Client Agreement.

Fees for investment advisory services are normally billed and payable in arrears based on month-end assets, subject to adjustments for inflows or outflows of capital during the prior quarter. Assets included in clients' margin balances may be included when calculating investment advisory fees; clients should note that they may already be paying margin interest on these same assets.

Clients generally authorize their custodians to directly debit Adviser fees from their accounts on a quarterly basis.

A client may pay more or less fees than similar clients depending on the investment complexity and particular circumstances of the client, size, additional or differing levels of servicing or as otherwise agreed with specific clients.

Fees For Management During Partial Month or Quarters of Service

For the initial period of investment management services, the fees are calculated on a pro rata basis.

All advisory agreements may be terminated upon written notification by either party at any time, or in accordance with any written advisory agreement. The Adviser's fees are prorated through and including the date of termination and any remaining balance is charged or refunded to the client, as appropriate.

Cash Management.

SNC Wealth Management considers cash to be an asset class, which the Firm generally manages as part of its portfolio management services. The value of cash in client accounts is therefore generally included in the Firm's fee calculation, although the Firm reserves the right to make exceptions to this practice in its sole discretion. At times of low yield, the Firm's management fee will exceed the yield on the cash.

Margin Balances

The Firm reserves the right to base its advisory fees on the market value of the securities held in clients' accounts, including the value of assets purchased using margin. This practice creates a conflict of interest, because the greater the value of the assets in the client's account, the more the client will pay in fees, which means the Firm has an incentive to encourage these clients to use

margin to increase the assets in his or her account. Clients who use margin will also pay margin interest on the margin balance.

Additional Fee Information

The Adviser's fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred directly by the client. Clients may incur certain charges imposed by custodians, brokers, and other third parties such as fees charged by fund managers, custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic funds fees, and other fees and taxes on brokerage account and securities transactions. Mutual funds and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. It is the Adviser's policy not to accept compensation from any third-party providing services to the Adviser's clients and does not accept compensation for the sale of securities or other investment products.

Termination of the Agreement

The client or the Adviser may terminate an Agreement by written notice to the other party with a (30) thirty – day advance notice or as agreed upon otherwise between the client and the Adviser.

ITEM 6 - PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT

SNC Wealth Management does not engage in performance-fee based arrangements at this time.

ITEM 7 - TYPES OF CLIENTS

SNC Wealth Management provides asset and/or portfolio management services to high-net-worth individuals, individuals, corporations and institutions or other entities. The minimum dollar value for establishing an Account is generally \$500,000. The Adviser may accept smaller portfolios or maintain portfolios whose value has fallen below \$500,000 in the Firm's discretion.

ITEM 8 – METHODS OF ANALYSIS, INVESTMENT STRATEGIES, AND RISK OF LOSS

Investment Strategies

SNC Wealth Management primarily employs a fundamental method of analysis to develop strategies for its clients. Research and analysis are performed by the Adviser using information obtained from various sources, including financial media companies, third-party research materials, Internet sources, and a review of company activities, including annual reports, prospectuses, press releases and research prepared by others.

SNC Wealth Management generally employs a long-term investment strategy for its clients, consistent with their financial goals. The Adviser will typically hold a security for more than a year but may hold for shorter periods for the purpose of rebalancing a portfolio or meeting the cash needs of Clients. At times, Adviser may also buy and sell positions that are more short-term in nature, depending on the goals of the Client and/or the fundamentals of the security, sector or asset class.

Risk of Loss

Investing in securities involves certain investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear the potential risk of loss. SNC Wealth Management will

assist clients in determining an appropriate strategy based on their tolerance for risk and other factors. However, there is no guarantee that a client will meet their investment goals.

Some of risks of loss a client should be aware of include, but are not limited, to the following:

- **Interest-Rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a stock, bond, mutual fund or other security may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Political and Legislative Risks:** Companies face a complex set of laws and circumstances in each country in which they operate. The political and legal environment can change rapidly and without warning, with significant impact, especially for companies operating outside of the United States.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.
- **Alternative Investments (Limited Partnerships)** – The performance of alternative investments (limited partnerships) can be volatile and may have limited liquidity. An investor could lose all or a portion of their investment. Such investments often have concentrated positions and investments that may carry higher risks. Client should only have a portion of their assets in these investments.

ITEM 9 - DISCIPLINARY INFORMATION

There are no legal, regulatory, or disciplinary events to disclose. SNC Wealth Management values the trust you place in us. As we advise all clients, we encourage you to perform the requisite due diligence on any advisor or service provider with whom you partner. Background information is available on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching the firm name or our CRD# 317066.

ITEM 10 - OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS

Neither the Adviser, nor any member of its management is registered as a securities broker-dealer, or a futures commission merchant, commodity pool operator or commodity trading advisor.

The Adviser does not have any affiliation with any related person who is a broker-dealer, investment company, other investment advisor, financial planning firm, commodity pool operator, commodity trading advisor or futures commission merchant, banking or thrift institution, accounting firm, law firm, insurance company or agency, pension consultant, real estate broker or dealer, or an entity that creates or packages limited partnerships.

The Adviser does not receive compensation directly or indirectly from other advisers that creates a material conflict of interest, nor does it have other business relationships with advisers that would create a material conflict of interest.

ITEM 11 - CODE OF ETHICS, PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING

SNC Wealth Management has implemented policies and procedures that are designed to manage any actual or potential conflicts of interest.

Code of Ethics

The Adviser has adopted policies constituting its code of ethics (the “Code”) designed to set forth general ethical and fiduciary principles and the standard of conduct that we require of our personnel and to set forth certain restrictions on activities, such as personal trading and receipt of gifts and entertainment, which give rise to conflicts of interest. All personnel are required to certify annually that they have complied with the terms of the Code. Compliance with the Code is a condition of employment for all personnel and a violation of the Code, or any related policies, may result in disciplinary action, which may include termination of employment. Below is a summary of key provisions of the Code, a copy of which may be obtained by any client or prospective client upon request by calling SNC Wealth Management’s Chief Compliance Officer at (914) 420-2543.

Personal Trading with Material Interest

The Adviser allows Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of clients. The Adviser may engage in Principal transactions to obtain access to certain investment or more favorable pricing through the purchase

or sale of larger blocks of a particular security. The Adviser does not act as the General Partner of a fund or advise an investment company or have a material interest in any securities traded in client accounts.

Personal Trading in Same Securities as Clients

The Adviser allows Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of clients. Owning the same securities that we recommend (purchase or sell) to you presents a potential conflict of interest that, as fiduciaries, we must disclose to you and mitigate through policies and procedures. As noted above, we have adopted, consistent with Section 204A of the Investment Advisers Act of 1940, a Code of Ethics, which addresses insider trading (material non-public information controls) and personal securities reporting procedures. When trading for personal accounts, Supervised Persons of SNC Wealth Management may have a conflict of interest if trading in the same securities. The fiduciary duty to act in the best interest of its clients can potentially be violated if personal trades are made with more advantageous terms than client trades, or by trading based on material non-public information. This risk is mitigated by the Adviser requiring reporting of personal securities trades by its employees for review by the Chief Compliance Officer (“CCO”). We have also adopted written policies and procedures to detect the misuse of material, non-public information.

Personal Trading at/around the Same Time as Client

While the Adviser allows Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients, such trades are typically aggregated with Client orders or traded afterwards. At no time will SNC Wealth Management, or any Supervised Person, transact in any security to the detriment of any Client.

ITEM 12 - BROKERAGE PRACTICES

Recommended Custodian and Executing Broker-Dealer

SNC Wealth Management does not have discretionary authority to select the broker-dealer/custodian for custody and execution services. Rather, clients select and engage a broker-dealer/custodian (herein the "Custodian") directly to safeguard their assets and authorize the Adviser to direct trades to the Custodian as agreed upon in the investment advisory agreement.

SNC Wealth Management does not have the discretionary authority to negotiate commissions on behalf of clients on a trade-by-trade basis.

The Adviser does not have discretion over the selection of the Custodian; however, it may suggest the Custodian to clients. Clients are not obligated to use the Custodian recommended by the Advisor and will not incur any extra fee or cost associated with using a Custodian not recommended by the Adviser. However, the Adviser may be limited in the services it can provide if the recommended Custodian is not engaged. The Adviser may recommend a Custodian based on criteria such as, but not limited to, reasonableness of commissions charged to the client, and services and technology made available to the client.

SNC Wealth Management will generally recommend that clients open a separately managed account (“SMA”) with Charles RBC Clearing and Custody. (“RBC”), or another custodian of their

choice. RBC serves independent investment advisors and includes custody, trading, and support services. SNC Wealth Management is not owned by, affiliated with, or supervised by RBC. RBC is a registered broker-dealer and Member of FINRA/SIPC. RBC is also a “Qualified Custodian” which is defined under the SEC’s Custody Rule, 206(4)-2 pursuant to the Investment Advisers Act.

Clients engage qualified custodians to safeguard their assets and authorize the Adviser to direct trades as agreed upon in the investment advisory agreement. The Adviser does not have the ability to negotiate commissions on behalf of its clients on a trade-by-trade basis. In limited circumstances, the client may authorize its Adviser to direct securities transactions to executing broker-dealers.

SNC Wealth Management has considered many factors before recommending RBC as its custodian/executing broker-dealer. These factors include, but are not limited to financial strength, reputation, execution quality, execution capabilities, cost, research services, and overall quality of services. The Adviser does not currently maintain an institutional relationship with RBC whereby the Adviser receives economic benefits from RBC. RBC offers a broad array of products and services, allowing the Adviser to select from a wide range of mutual funds and exchange-traded funds without transaction fees, and other products and services at nominal costs. However, commissions, sales charges, and other transaction fees may be higher than the transaction fees charged by other broker-dealers and custodians.

Research and Other Soft Dollar Benefits

Adviser does not maintain soft dollar relationships when selecting or recommending a broker-dealer.

Brokerage for Client Referrals

Adviser does not receive Client referrals from broker-dealers in exchange for cash or other compensation, such as brokerage services or research.

Directed Brokerage

Adviser may engage a sub-adviser who routinely requires that you direct them to execute transactions. As such, Adviser may be unable to achieve the most favorable execution of your transactions and you may pay higher brokerage commissions than you might otherwise pay through another broker-dealer that offers the same types of services. Not all advisers require their clients to direct brokerage. Adviser does not receive any compensation from these transactions.

ITEM 13 - REVIEW OF ACCOUNTS

Accounts are typically reviewed by the Chief Compliance Officer on a periodic basis or as needed due to market conditions or transactional activity, amongst other items. The Chief Compliance Officer typically reviews transactions entered for investment advisory clients to determine that correct entries have been made for all client records.

There are no specific triggering factors leading to a review.

Clients of the Adviser receive at least quarterly reports from their qualified Custodian. The Adviser may provide a consolidated/performance report periodically as agreed between the Adviser and the client.

ITEM 14 - CLIENT REFERRALS AND OTHER COMPENSATION

Adviser's compensation is primarily in the form of management fees. In addition, Adviser may make cash payments to third-party promoters for client referrals provided that each such solicitor enters into a written agreement with Adviser pursuant to which the promoter will provide each prospective client with a copy of Adviser's Form ADV Part 2 and a disclosure document setting forth the terms of the solicitation arrangement, including the nature of the relationship between the promoter and Adviser and any fees to be paid to the promoter. Where applicable, cash payments for client solicitations will be structured to comply fully with the requirements of Rule 206(4)-3 under the Advisers Act.

ITEM 15 - CUSTODY

All assets are typically held by qualified custodians, which means the custodians provide account statements directly to clients at their address of record at least quarterly. Therefore, aside from debiting fees from its clients' accounts to pay for services rendered, Adviser does not maintain custody of its clients' funds. Clients receive monthly or quarterly statements from the broker-dealer, bank or other qualified custodian that holds and maintains the client's investment assets.

ITEM 16 - INVESTMENT DISCRETION

Adviser receives discretionary authority from the client at the outset of an advisory relationship to select the identity and number of securities to be bought or sold. In all cases, however, such discretion is to be exercised in a manner consistent with the stated investment objectives for the client account. When selecting securities and determining amounts, Adviser observes the investment policies, limitations, and restrictions of the clients for which it advises. Investment guidelines and restrictions must be provided to Adviser in writing.

ITEM 17 - VOTING CLIENT SECURITIES

Adviser does not vote proxies on securities; thus, clients are expected to vote for their own proxies. Clients may request a copy of proxy voting records via contact to the client's respective custodian.

ITEM 18 - FINANCIAL INFORMATION

The Adviser has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients. The Adviser has not been the subject of bankruptcy proceedings.

Item 1 – Cover Page



**FIRM BROCHURE SUPPLEMENT
(Part 2B of Form ADV)**

March 31, 2024

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List of Supervised Persons

Abdul Shroff, CPA, CFA– Chief Compliance Officer and IAR

**SNC Wealth Management, LLC
25 Sullivan St.
Plainsboro, NJ 08536
(914) 420-2543**

Additional information about the above supervised persons is available on the SEC's website at www.adviserinfo.sec.gov.

Abdul Shroff, CPA, CFA
Investment Advisor Representative

Item 2 - Educational Background and Business Experience

Mr. Shroff joined the Firm in 2022 and is currently the CCO and primary investment advisor representative of the Firm.

Mr. Shroff's career is defined by a diversity of experience in various finance roles. During an 18 plus year career from 2003 to 2021 at Verizon Mr. Shroff held roles as a manager in Audit and Commercial Finance, as a director in Financial Planning and Analysis and Investor Relations, as Vice President in Treasury and Business Unit CFO. Prior Verizon Mr. Shroff was an auditor at AIG and Lehman Brothers between 1997 and 2001. After Verizon, Mr Shroff was employed at Anaplan as Vice President Strategic Growth.

During his career as a Corporate Financial Officer, Mr. Shroff advised C-level leaders, driving the business to improve the efficiency and effectiveness of processes, increase profitability and enhance return on investment. He is an agile leader with the proven ability to drive operational excellence by implementing strategic and tactical measures while also creating value through corporate finance actions on capital structure. With a continuous improvement mindset, he is an on-the-pulse leader who leads digital and technology initiatives to enhance efficiency and effectiveness of operations.

Throughout his progressive career, Mr. Shroff has combined his knowledge of the business with strong analytical skills while working cross-functionally to generate ideas to solve problems. He is a forward thinker whose diverse background provides a balanced perspective on key financial decision making. Mr. Shroff is an advocate of building lasting relationships with internal and external constituencies such as investors and banking partners for the benefit of the organizations.

Mr. Shroff received his MBA in finance and accounting from New York University's Stern School of Business. He is a Certified Financial Analyst and Certified Public Accountant.

Item 3 - Disciplinary Information

There is no disciplinary information to report.

Item 4 - Other Business Activities

Mr. Shroff currently has no outside business activities.

Item 5 - Additional Compensation

Mr. Shroff does not receive any economic benefit in connection with investment related activities from any person, company or organization, other than SNC Wealth Management, LLC.

Item 6 - Supervision

Individual(s) responsible for supervising the activities of Mr. Shroff is Nicole Giannone, the Chief Executive Officer of SNC Wealth Management, LLC.