

**EagleStone Wealth Advisors, Inc.**

**Client Privacy Policy**

**Our Commitment to Protecting Your Privacy**

Protecting the privacy of our clients is a top priority at EagleStone Wealth Advisors, Inc., and we understand the importance of it to you. We are committed to safeguarding your personal information and value the trust you have placed in us. This Privacy Notice provides general information on how we use and protect your personal information.

**Personal Information We Collect**

We collect nonpublic personal information about you that is provided to us by you or obtained by us with your authorization.

**Limited Disclosure of Your Personal Information**

We do not disclose any nonpublic personal information about you to anyone, except as permitted by law. We do disclose nonpublic personal information about you to certain employees and, in limited situations, to unrelated third parties, including independent consultants, who need to know that information to assist us in providing services to you. In all such situations, we stress the confidential nature of information being shared.

**Protecting the Confidentiality of Current and Former Clients' Information**

We retain records relating to professional services that we provide so that we are better able to assist you with your professional needs and, in some cases, to comply with professional guidelines. In order to guard your nonpublic personal information, we maintain physical, electronic, and procedural safeguards that comply with our professional standards.

If after reading this you have any questions, please do not hesitate to contact us at 301-924-2160, or at our address below. Your privacy, our professional ethics and ability to provide you with quality financial services are very important to us.

EagleStone Wealth Advisors, Inc.  
1101 Wootton Pkwy  
Suite 400  
Rockville, MD 20852

**Brochure Supplement (Part 2B of Form ADV)**

**Education, Business Standards & Professional Certification**

EagleStone requires professional staff to hold a Bachelor of Arts, Bachelor of Science, or Bachelor of Business Administration. EagleStone prefers a Bachelor of Science in Business,

Economics, or Finance or Bachelor of Business Administration. MBA, CPA, CFA, CFP, ChFC, PFS, JD are preferred, but not required. Advisor requires appropriate securities licenses including, but not limited to the Series 6,7,63,65,or 66, as required by law.

## **James D Warring, CPA, PFS/CFP- Founder & CEO**

Mr. Warring directs the wealth management practice of the CPA firm, Warring & Company LLC, through its affiliated registered investment advisory firm, EagleStone Wealth Advisors, Inc. With their combined client-base of over 400 clients, Mr. Warring and the wealth management team advise clients on issues relating to saving & deferring income taxes, estate preservation techniques, financial independence projections, risk reduction using various insurance related vehicles, prudent investment asset allocation models, and overall wealth accumulation strategies.

Prior to his launching his own firm in February 2007, Mr. Warring practiced tax and financial counseling with other Washington DC-area CPA firms, including KPMG Peat Marwick and Arthur Andersen. He was a leading partner with the CPA firm Rubino & McGeehin, Chartered for over 12 years, where he created & directed their wealth management practice. He has been employed in the Washington DC area since 1983.

He attended Towson University in Baltimore, Maryland where he graduated magna cum laude and played on their varsity golf team.

### Education, Professional Designations and Licenses

- Towson University, B.S. Accounting and Finance, magna cum laude, varsity golf, June 1983
- Certified Public Accountant, (CPA) 1984
- Certified Financial Planner, (CFP) 1987
- Personal Financial Specialist, (PFS) 2004
- NASD Series 6, 7, 66 (63 & 65 combined) securities licenses
- Life, Disability, Long-Term Care insurance licenses (AR, CA, DC, FL, MD, NJ, PA, SC, VA)

### Affiliations

- AICPA (American Institute of Certified Public Accountants), tax division, since 1985
- AICPA, Executive Committee appointment, Personal Financial Planning, 2003-2006
- AICPA, Personal Financial Planning Technical Conference Committee, 2003-2006
- AICPA, Editorial Panel, PFP Newsletter "The Planner," 2007-2011
- Holy Cross Hospital (Finance Committee member, 2000)
- Estate Planning Council (suburban Maryland chapter) President, 1999-2000
- Maryland Association of CPAs, member since 1985

### Publications & Appearances

- USA TODAY (MONEY column), Double Dipping for Kid Care, February 27, 1989
- USA TODAY (MONEY column), First Time Real Estate Buys, May 15, 1989
- USA TODAY (MONEY column), Taxing Trust Fund Earnings, May 22, 1989
- USA TODAY (MONEY column), Avoid Risky Penny Stocks, May 22, 1989
- USA TODAY (MONEY column), The Nasty Nine Tax Questions, April 10, 1989
- USA TODAY (MONEY column), Deducting Gifts to Workers, May 8, 1989

USA TODAY (MONEY column), The Risks of Bond Funds, June 5, 1989  
Physicians Financial News, Compliance Plans Seen Reducing Fraud Exposure, March 15, 1998  
Kleinrocks Publishing, Spotlight on Financial Planning, October 19, 2001  
AICPA Personal Financial Planning Conference, Business Models that Work in a CPA Firm, January 9-12, 2005  
AICPA Personal Financial Planning Conference, Life Settlements, January 9-12, 2005  
Journal of Accountancy, Turn Unneeded Policies Into Cash, September 2005  
AICPA Personal Financial Planning Conference, The New Retirement - Retirement Planning Models, January 9, 2006  
WUSA, Channel 9, Interview with Andrea Roane, Saving For Retirement, July 21, 2006  
WTOP Radio, Interview with Shirley Rooker, Protecting the Vulnerable Against Fraud, August 30, 2006  
Financial Advisor Magazine, Factors to Consider When Accepting Clients, October 2006  
AICPA, The Planner, Pension Protection Act of 2006, October 2006  
Maple Life Financial, 2007 Life Settlement Industry Outlook, "In the Spotlight"  
AICPA, Planner, Invest for Difficult Times, September/October 2008 AICPA Newsletter  
WUSA, Channel 9, Interview with Andrea Roane, Retirement and the Recession, February 6, 2009  
WJLA, Channel 7, Older Workers, Hit by Recession, Delay Retirement, February 20, 2009

## **Tarun Mehta, JD/MBA- President & Chief Compliance Officer**

Tarun Mehta is the President & Chief Compliance Officer and Chief Operating Officer for EagleStone Wealth Advisors. As CCO, Tarun manages the firm's compliance program and requirements as they pertain to the SEC & FINRA and monitors ongoing regulatory developments in the industry. As President, Tarun oversees the firm's operations and business practices. Tarun also acts as the informal in-house counsel to EagleStone Wealth Advisors, assisting with document/agreement preparation, document review and other legal matters.

Before joining EagleStone, Tarun was CEO of Outsource Compliance Resources, LLC ("OCR"), a SEC/FINRA Compliance consulting and technology/operations consulting firm. Previous posts held by Tarun include Financial Analyst and Chief Compliance Officer with R&M Wealth Management Services, LLC and Due Diligence Analyst at H. Beck, Inc, in Rockville, MD.

Prior to founding OCR, Mr. Mehta was a Financial Analyst and Chief Compliance Officer with R&M Wealth Management Services, LLC from October 2005 through February 2007. In that role, Mr. Mehta managed portfolio allocations, daily operations of the firm, prepared and managed financial statements and data for the firm, conducted due diligence on a variety of investment vehicles (i.e. variable annuities, fixed index annuities, REITs, Oil & Gas Limited Partnership Programs, mutual fund platforms, 1031 tax deferred exchange programs, etc.) amongst a variety of other tasks.

From April 2004 to October 2005, Mr. Mehta was a Due Diligence Analyst at H. Beck, Inc., an independent broker dealer in Rockville, MD. H. Beck, Inc. is perennially included in the Top 50 Independent Broker Dealers as published by Investment News magazine. As a Due Diligence Analyst, Mr. Mehta reviewed several hundred public and private offerings similar to the programs he continued reviewing while at R&M Wealth Management Services, LLC. Mr. Mehta

was the primary contact to a registered representative base of 500+ individuals and played an integral part in information distribution and assisting the registered representative base with financial planning and investment management issues for their clients.

Tarun was raised and educated in New York. He attended Bronx High School of Science, graduated cum laude with a BS degree in Psychology from City University of New York (CUNY) – Brooklyn College, and earned a dual JD/MBA from Fordham University.

Education, Professional Designations and Licenses

- Fordham University, JD/MBA, 2001 and 2002
- City University of New York (CUNY) - Brooklyn College, B.S. in Psychology, cum laude, 1997
- Bronx High School of Science, 1994

### **Joseph W Kantakevich, CFP – Director of Investments & Portfolio Management**

Joe is a CERTIFIED FINANCIAL PLANNER™ Professional, Financial Advisor, and heads The Investment Committee for EagleStone Wealth Advisors. A Washington, DC area native, Joe attended Georgetown Prep in North Bethesda, MD and then went on to graduate from the College of William & Mary. In the fall of 2008, Joe began working at Wells Fargo Advisors as a financial consultant. Joe joined EagleStone Wealth Advisors in June 2012.

He holds the Series 7, 66 licenses as well as the Life, Health & Disability Insurance licenses and a Certificate in Financial Planning from Boston University.

### **Joseph Lager – Director of Tax & Accounting (Shareholder)**

Joe is Director of Tax & Accounting for Warring & Co, LLC CPAs. Joe earned a BS in accounting from SUNY (State University of New York) New Paltz, graduating cum laude. While attending SUNY New Paltz, in recognition of high scholastic achievement, Joe was awarded membership into Sigma Beta Delta (International Honor Society in Business, Management and administration).

### **Matthew Zielinski – Client Relationship Associate**

Matthew Zielinski joined the EagleStone Tax & Wealth Advisors team in January of 2020 as a Client Relationship Associate. As an integral part of the wealth management team, Matt is involved in making sure our clients' needs are met. He provides support with the creation of performance reports, financial analysis and advising while conducting research and assisting the tax team with return preparation, and performs other ad hoc services as needed.

Matthew holds a Bachelor's degree in Economics from Clemson University and received his Masters in Applied Economics from George Washington University in 2019. While in school, he was an active member of the intramural football and basketball teams.

## **Kimberly Vielhaber – Wealth Advisor & Client Relationship Manager**

Kimberly Vielhaber joined the EagleStone team in June of 2018 as a Financial Analyst & Tax Associate. As a financial analyst, Kim assists in conducting market research and gathering data for new potential investment options. As a CFP candidate, she also helps in developing and analyzing customized financial plans for clients. As a part of the tax team, Kim prepares business and individual tax returns and conducts tax research, along with assisting with client accounting and bookkeeping services.

Kim graduated from Clemson University in 2018 with a Bachelor of Science in Financial Management, with an emphasis in Financial Planning, and a minor in Accounting. During her time at Clemson, she was a member of the Alpha Phi sorority.

## **Laura Cinnamon – Administrative Assistant & Bookkeeper**

Laura Cinnamon joined EagleStone in April of 2019 as an Administrative Assistant & Bookkeeper. Laura assists in office administration, event planning, accounting & bookkeeping. Laura attended University of Maryland and graduated with a Bachelor of Arts in Communications with a focus in Rhetoric & Political Communications. She later obtained her Masters degree in Health Communications at Tufts University & Emerson College in Boston.

During her time in school, Laura was a participant in various artistic programs, such as theater, music and dance.