

Robert S. Waas

RSW Investments Holdings, LLC

47 Maple Street, Suite 304, Summit, NJ 07901

908-608-9600

March 5, 2024

This Brochure Supplement provides information about Robert Waas that supplements the RSW Investments Holdings, LLC (“RSW”) Brochure. You should have received a copy of that Brochure. Please contact Christina Sears, RSW’s Chief Compliance Officer, if you did not receive RSW’s Brochure or if you have any questions about the contents of this supplement.

Additional information about Robert Waas is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2- Educational Background and Business Experience

Robert S. Waas, born 1960

Post-Secondary Education:

- Graduated from St. John's University in 1982 with a B.S. in Accounting.

Recent Business Background:

- CEO and CIO of RSW Investments Holdings, LLC 07/2019 to Present; CEO/CIO/CCO of RSW Investments Holdings, LLC from 04/2019 to 06/2019. CEO/CIO/CCO of RSW Investments, LLC, predecessor of RSW Investments Holdings, LLC, from 2005 to 2019.

Item 3- Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

Item 4- Other Business Activities

None.

Item 5- Additional Compensation

As an owner of RSW, Mr. Waas receives an economic benefit on the success of RSW, including new clients and additional assets. He receives no other additional compensation.

Item 6 - Supervision

RSW is a small horizontal organization. As such, we do not conduct our business by appointment at predetermined dates and times. Instead, we converse daily as an investment team about matters that affect our client portfolios. The portfolio management team is comprised of Robert Waas, CIO, Matthew Werner, Senior Portfolio Manager, CFA and Randy Fox, Portfolio Manager. All transactions executed by the team members must conform to the agreed upon strategy. Robert Waas solicits opinions from the team members but is ultimately responsible for setting investment policies. The investment team discusses the vast majority of the bonds before they are purchased or sold, with Robert Waas, CEO/CIO, reviewing all trades to ensure the transactions were in line with the agreed upon investment policies.

If you need to contact a representative regarding Robert Waas, Christina Sears can be reached at csears@rswinvestments.com or phone number 817-391-6110.

Item 1- Cover Page

Matthew T. Werner, CFA

RSW Investments Holdings, LLC

47 Maple Street, Suite 304, Summit, NJ 07901

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This Brochure Supplement provides information about Matthew Werner that supplements the RSW Investments Holdings, LLC (“RSW”) Brochure. You should have received a copy of that Brochure. Please contact Christina Sears, RSW’s Chief Compliance Officer, if you did not receive RSW’s Brochure or if you have any questions about the contents of this supplement.

Additional information about Matthew Werner is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2- Educational Background and Business Experience

Matthew T. Werner, Born 1979

Post-Secondary Education:

- Graduated from University of Delaware in 2001 with a B.S. in Finance, with minors in Management Information Systems and Economics
- CFA® charterholder since 2017

Recent Business Background:

- Senior Portfolio Manager of RSW Investments Holdings, LLC from 2019 to present. Senior Portfolio Manager of RSW Investments, LLC, predecessor of RSW Investments Holdings, LLC, from 2015 to 2019.
- Portfolio Manager of RSW Investments, LLC from 2010 to 2015.

CFA - Chartered Financial Analyst

Issued by: CFA Institute

Prerequisites/Experience Required:

Candidate must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- 4 years qualified work experience (full time, but not necessarily investment related)

Educational Requirements: Self-study program (250 hours of study for each of the 3 levels)

Examination Type: 3 course exams

Continuing Education/Experience Requirements: None

Item 3- Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

Item 4- Other Business Activities

None.

Item 5- Additional Compensation

As an owner of RSW, Mr. Werner receives an economic benefit on the success of RSW, including new clients and additional assets. With the exception of compensation received as a result of activities described under Item 4 above, Matthew Werner receives no other additional compensation.

Item 6 - Supervision

RSW is a small horizontal organization. As such, we do not conduct our business by appointment at predetermined dates and times. Instead, we converse daily as an investment team about matters that affect our client portfolios. The portfolio management team is comprised of Robert Waas, CIO, Matthew Werner, Senior Portfolio Manager, CFA and Randy Fox, Portfolio Manager. All transactions executed by the team members must conform to the agreed upon strategy. Robert S. Waas solicits opinions from the team members but is ultimately responsible for setting investment policies. Matthew Werner has the latitude to execute buy and sale transactions that are aligned with RSW's investment philosophy, and account mandate guidelines. In practice, however, the investment team discusses the vast majority of the bonds before they are purchased or sold, with Robert Waas, CEO/CIO, reviewing all trades to ensure the transactions were in line with the agreed upon investment policies.

If you need to contact a representative regarding Matthew Werner, Robert Waas can be reached at 47 Maple St., Suite 304 Summit, NJ 07901. Phone number 908-608-9600.