Why StratFI?

A boutique investment management firm

STRATFI

Firm Profile

Founded	2012
Lead Advisor	James H. Lee, CFA, CMT, CFP®
Total Staff	4
Assets Under Management	$120 million
Custody Relationship	Charles Schwab
SEC Registration	Yes
GIPS Compliance	Yes
Initial Fee Structure	1% of assets under management

Our Vision

StratFI helps investors prepare for what happens next.

By combining thoughtful investment management with forward-looking insight, we provide steady guidance so our clients can move into the future with confidence.

Why Work with a Private Portfolio Manager?

Control.

Managing portfolios of individual stocks and ETFs provides more flexibility to tailor portfolios and improve tax efficiency.

Transparency.

We send regular email updates on our trades so that our clients know the stories behind their investments.

Cost efficiency.

By working directly with a portfolio manager, clients often avoid a second layer of fees associated with traditional fund-based portfolios.

We believe that investment success begins with clarity, not complexity. Our values are built around long-term thinking, transparency, and putting people first.

Investment Philosophy

- Strategic foresight to identify long-term themes shaping markets.
- Fundamental analysis to select high-quality businesses and assets.
- Technical and risk analysis to manage exposure across market cycles.

Transparency

We only invest in assets that are:

- Liquid
- Transparent
- Priced daily

In short, we don't get into anything we can't easily get out of. You'll know the exact value of your portfolio at any given time basis. More importantly, you always maintain access to your funds.

We are Fiduciary Advisors

In plain English: a fiduciary must put *you* first—always.

That means a fiduciary is obligated to:

- Act with loyalty. Your interests come before theirs.
- Avoid conflicts of interest or clearly disclose and manage them.
- Provide prudent, competent advice based on your goals and situation.
- Charge fair and transparent fees.
- Recommend what’s best, not what pays them more.

Who We Serve

- We provide active investment management for active individuals—especially those accumulating assets for retirement or already navigating that stage of life.
- We work with a limited number of clients to maintain deep, personal relationships. That means direct access to your portfolio manager, tailored investment strategies, and thoughtful conversations about what matters most to you.
- To focus on providing excellent service, we guide clients with portfolios of $500,000 or more.

About the Founder, James H. Lee

James H. Lee is the founder of StratFI and the architect of its forward-looking investment philosophy—one built on independence and long-term clarity. As Delaware's only professional futurist and the award-winning author of *Foresight Investing*, Jim is known for helping investors see around corners.

Credentials

- B.A. Economics, The College of William & Mary
- M.S. Studies of the Future, University of Houston-Clear Lake
- Chartered Financial Analyst (CFA)
- Chartered Market Technician (CMT)
- Certified Financial Planner (CFP®)

The StratFI Team

Jaan Larkin

Data Analyst, Trading, Reporting

David Platt

Client Services

Stephanie Platt

Client Services

Our Tech Stack

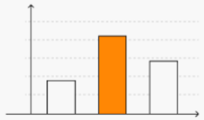
• PreciseFP	Digital onboarding
• Schwab	Custody, trading
• Black Diamond	Performance reporting, client dashboard
• Morningstar Direct	Advanced portfolio analytics
• Zacks/AlphaSense	Stock Research
• Constant Contact	Client Communications

Meeting Flow

01

Discovery Session

A thoughtful, no-pressure conversation designed to help everyone understand if we're the right fit for one another.



02

Portfolio Review Session

Receive a comprehensive, objective look at your current investments—helping you understand where are stand today and what adjustments could create a stronger financial future.

03

Design

We'll translate your goals, preferences, and investing style into a personalized strategy.

04

Doing the Paperwork

Our staff simplifies the onboarding process by preparing your Schwab account forms for your review. Once your accounts are funded, we implement your approved portfolio updates.

05

Monitor

Stay Informed with monthly statements and updates from StratFI. We provide active ongoing management and supervision for all our clients.

Appendix: For CPAs and Attorneys

StratFI works collaboratively with trusted professional advisors.

Clear lines of responsibility preserve client trust.

We manage investments while following your direction regarding tax strategy and legal advice.

Appendix: StratFI's Three Pillars to Success

Be Excellent

Make Money

Have Fun

Disclosures

Strategic Foresight Investments LLC ("StratFI") is a registered investment adviser with United States Securities and Exchange Commission in accordance with the Investment Advisers Act of 1940. Registration with the Securities and Exchange Commission does not imply a certain level of skill or training.

StratFI claims compliance with the Global Investment Performance Standards (GIPS). StratFI has been independently verified for the period from December 1, 2015 through December 31, 2025. The verification report is available upon request.

StratFI has no past legal or disciplinary proceedings. You can visit investor.gov/CRS for free and simple tools to research our firm. Reference firm CRD # 164744