# Why StratFI?

We are a boutique investment management firm preparing investors for what happens next.

**Investment Management** | **Retirement Planning** | **Portfolio Consulting**

# What We Do

StratFI provides professional portfolio management with personal access.

We believe that investment success begins with clarity, not complexity.

### People First

Advice works best when it starts with the client, not the product.

### Transparency

We communicate clearly and explain how decisions are made.

### Long-Term Thinking

We stay focused on durable outcomes, not noise.

# Why Work with a Private Portfolio Manager?

STRATFI

Direct portfolio management can create a better client experience than a one-size-fits-all fund model.

### 1 Control

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

### 2 Transparency

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

### 3 Cost Efficiency

Working directly with a portfolio manager can help clients avoid a second layer of fees often associated with traditional fund-based portfolios.

# Investment Philosophy

STRATFI

Our process combines strategic foresight, fundamental analysis, and risk-aware execution.

### 1 Strategic Foresight

Identify long-term themes shaping markets.

We look for powerful trends early, then build portfolios around what may matter most over time.

### 2 Fundamental Analysis

Select high-quality businesses and assets.

We emphasize strong economics, durable advantages, and attractive risk-reward profiles.

### 3 Technical Analysis

Manage exposure across market cycles.

We monitor trends, positioning, and downside risk to guide timing and portfolio discipline.

# What We Invest In

StratFI has experience investing across a broad range of securities, including stocks, ETFs, mutual funds, bonds, and options.

Client portfolios are designed with an emphasis on:

### Liquidity

Easy to buy and sell

### Transparency

Straightforward holdings and pricing

### Daily Pricing

You know what your portfolio is worth

In short, we do not get into anything we cannot easily get out of. Clients can know the exact value of their portfolio at any given time, and more importantly, they always maintain access to their funds.

# We Are Fiduciary Advisors

**In Plain English:**

A fiduciary must put you first. Always.

It means advice should be loyal, prudent, transparent, and aligned with the client's best interests.

## 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 is best, not what pays them more.

# StratFI at a Glance

| | | | |
|---|---|---|---|
| FOUNDED<br>**2012** | LEAD ADVISOR<br>**James H. Lee CFA, CMT, CFP®** | TOTAL STAFF<br>**4** | ASSETS UNDER MANAGEMENT<br>**$120 million** |
| CUSTODY RELATIONSHIP<br>**Charles Schwab** | SEC REGISTRATION<br>**Yes** | GIPS COMPLIANCE<br>**Yes** | INITIAL FEE STRUCTURE<br>**1% of AUM** |

# Who We Serve

STRATFI

We provide active investment management for active individuals, whether you are accumulating assets for retirement or already navigating that stage of life.

### Active Individuals

Clients who value engaged decision-making, thoughtful communication, and a manager who is paying attention.

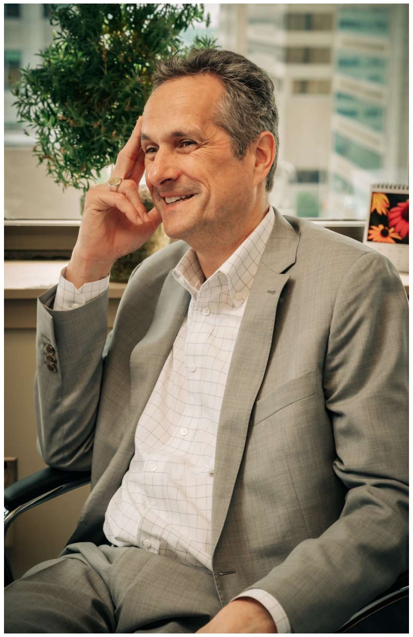
### Real Relationships

We serve a limited number of clients, allowing for direct access to the portfolio manager and more personal conversations.

### $500,000+ Portfolios

To focus on providing excellent service, we guide clients with portfolios of $500,000 or more.

# About the Founder



## James H. Lee

**Founder of StratFI and architect of its forward-looking investment philosophy**

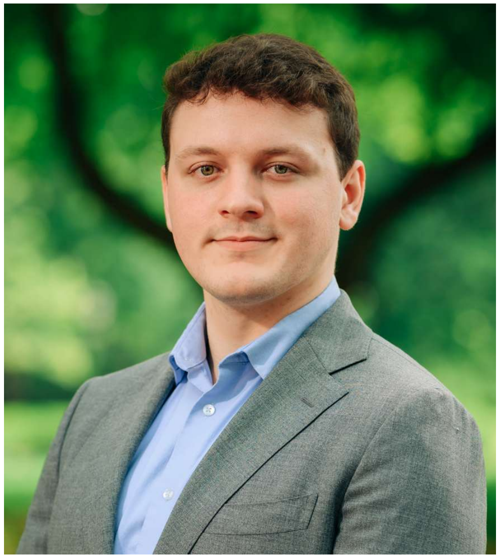
As Delaware's only professional futurist and the award-winning author of Foresight Investing, Jim is known for helping investors see around corners. His work combines independent thinking, market experience, and long-term clarity.

### Credentials

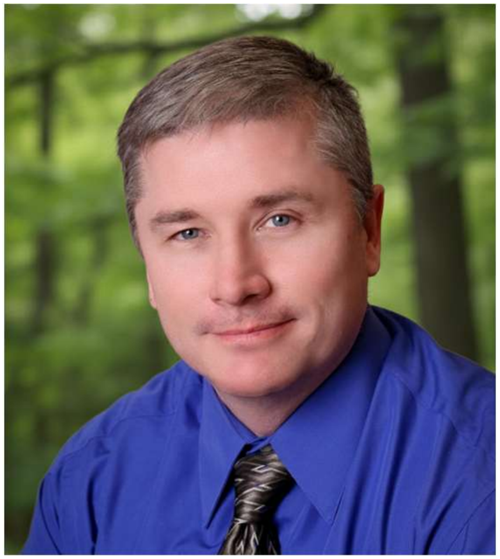
- B.A. Economics, The College of William & Mary
- M.S. Studies of the Future, University of Houston-Clear Lake
- Chartered Financial Analyst (CFA)
- Chartered Market Technician (CMT)
- Certified Financial Planner (CFP®)

# The StratFI Team

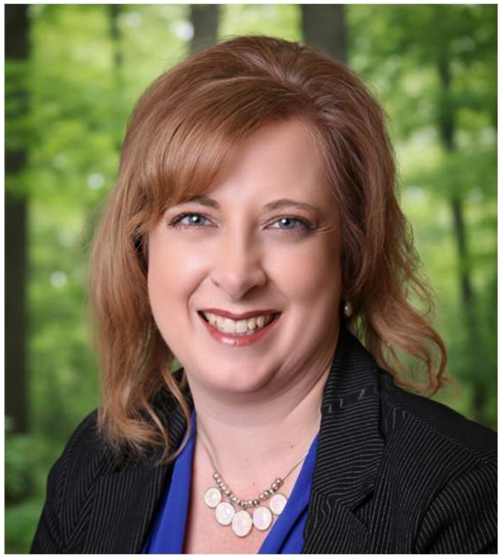
A small team focused on serving you.



**Jaan Larkin**
Analyst, Trading and Reporting



**David Platt**
Client Services



**Stephanie Platt**
Client Services

# Meeting Flow

STRATFI

A simple process designed to move from discovery to implementation with clarity.

**Discovery**

A thoughtful conversation to understand the fit.

**Portfolio Review**

Review existing investments, objectives, and results.

**Design**

Build suitable ideas, preferences, and strategy.

**Digital Onboarding**

Coordinate forms and account setup with Schwab.

**Monitor**

Stay informed with regular reviews and reporting.

# Appendix: For CPAs and Attorneys

StratFI works collaboratively with trusted professionals.

### 1 Collaborative

We work alongside trusted professionals to support the client with a coordinated approach.

### 2 Defined Responsibility

Clear lines of responsibility help preserve client trust and keep advice clean, efficient, and understandable.

### 3 Aligned Execution

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

# Disclosures

## Important regulatory and firm 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