

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 start by having a conversation with each of our clients to understand their experience, preferences, and goals.

Who We Serve



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.

Why Work with a Private Portfolio Manager?



A direct relationship with a portfolio manager can create a better 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 updates so that clients understand the stories and thinking 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



Our process combines strategic foresight, fundamental analysis, and understanding of market sentiment.

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.

Where to find opportunities?

2 Fundamental Analysis

Select high-quality businesses and assets.

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

What are the best choices?

3 Technical Analysis

Manage exposure across market cycles.

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

When to enter or exit a position?

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

You'll have constant access to your assets.

Transparency

You'll always know what you own and how it's performing.

Daily Pricing

You can easily track what your portfolio is worth.

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

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
2012

LEAD ADVISOR
James H. Lee
CFA, CMT, CFP®

TOTAL STAFF
4

ASSETS UNDER
MANAGEMENT
\$125 million

CUSTODY RELATIONSHIP
Charles
Schwab

SEC REGISTRATION
Yes

GIPS COMPLIANCE
Yes

INITIAL FEE STRUCTURE
1% of AUM

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



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



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