THOMA CAPITAL MANAGEMENT LLC

CONFIDENTIAL INVESTMENT MANAGEMENT PROFILE

ACCOUNT INFORMATION *(to be completed by Portfolio Manager)*

Name____

Account number(s)_TBD____

RISK ASSESSMENT PROFILE *(Client (or Clients if joint account) initial(s) appropriate line)*

________ I have completed the Confidential Risk Assessment Profile.
________ Score on the Confidential Risk Assessment Profile.
________ What type of investor are you?
________ Time Horizon?

INVESTMENT OBJECTIVE PROFILE *(Client (or Clients if joint account) initial(s) appropriate line)*

________ **CONSERVATIVE PLAN**
The objectives of these types of portfolios are primarily the preservation of principal and the realization of current income, and secondarily, the growth of capital. The long-term target allocation of this objective is 80% fixed income securities (either individual or mutual funds) and 20% equity securities (either individual or mutual funds).

________ **MODERATE CONSERVATIVE PLAN**
The objectives of these types of portfolios are primarily the realization of current income, and secondarily, the growth of capital. The long-term target allocation of this objective is 60% fixed income securities (either individual or mutual funds) and 40% equity securities (either individual or mutual funds).

________ **MODERATE PLAN**
The objectives of these types of portfolios are the growth of capital and secondarily, the realization of current income. The long-term target allocation of this objective is 30% fixed income securities (either individual or mutual funds) and 70% equity securities (either individual or mutual funds).

________ **GROWTH PLAN**
The objective of these types of portfolios is the growth of capital. The realization of current income will not be a primary consideration. The long-term target allocation of this objective is 15% fixed income securities (either individual or mutual funds) and 85% equity securities (either individual or mutual funds).

________ **AGGRESSIVE PLAN**
The objective of these types of portfolios is the aggressive growth of capital. The realization of current income will not be a consideration. The long-term target allocation of this objective is 5% fixed income securities (either individual or mutual funds) and 95% equity securities (either individual or mutual funds).

________ **OTHER** ____
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MANAGEMENT FEE *(Client (or Clients if joint account) initial(s) appropriate line)*

________	On the first $500,000	1.50% per annum
	On the next $500,000	1.25% per annum
	Thereafter	0.75% per annum

This schedule reflects Thoma Capital Management's standard fees which will be charged unless otherwise negotiated.

INVESTMENT RESTRICTIONS *(Client (or Clients if joint account) initial(s) appropriate line)*

________ I instruct my Portfolio Manager to refrain from selling or purchasing securities in the following industries or of the following specified issuers.
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________ I do not place any restrictions upon my Portfolio Manager's management of the Account.

I ☐ (am) ☐ (am not) an affiliated person as defined in Rule 144 under the Securities Act of 1933 (for example, an officer or director) of any publicly held company.

List of companies (if applicable):____
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