SCHMITZ CAPITAL PARTNERS

SCP Snapshot

FIRM OVERVIEW

At Schmitz Capital Partners our focus is on the client. We strive to simplify and enhance the quality of our clients' lives through active portfolio management and highly customized financial advice tailored to each individual's unique needs. We are deeply committed to providing exceptional service and to forging genuine relationships established through mutual respect, compassion, trust and understanding. As a premier provider of comprehensive financial advice for over 22 years, our firm's objective is to build lasting, long-term relationships based on expert counsel, trust and quality service that exceeds expectations and helps our clients achieve their life goals.

PHILOSOPHY

Our investment philosophy is simple: to provide conflict-free, unbiased, trusted investment advice in order to help our clients achieve their financial milestones. Our investment philosophy is rooted in a long-term approach to growing client assets through active management, broad asset allocation, diversification, and risk management while helping to build both confidence and financial independence. At SCP, we look to provide reasonable long-term investment results by building globally diversified portfolios and proactively managing asset allocation decisions.

SCP's investment philosophy is based on the following:

- Trust
- Consistent Participation
- Global Thinking
- Broad Asset Allocation and Diversification
- Active Management
- Performance
- Risk Management and Education
- Professional Management

WHY SCP?

We are truly different. Our investment philosophy, proactive portfolio management techniques and client service approach sets us apart. We are convinced that building globally diversified portfolios and proactively managing asset allocation decisions are prerequisites for achieving long-term financial objectives. We believe our firm's distinctive characteristics - our independence, experienced multi-generational team, client-centric focus, collaborative culture, highly flexible and customized advice, stability, commitment to full transparency and ethical values - provide us with a competitive edge in guiding investors through bull and bear markets.

The "SCP difference" is characterized by the following:

- Independence
- Experience
- Client Service
- Senior-Level Attention
- Flexibility
- Customization
- Transparency & Stability
- Guiding Firm Principles
- Ethical Values

SCP SERVICES

SCP strives to provide our clients with unbiased advice within a broad spectrum of financial advisory services including:

- Investment Advisory Services (Portfolio Management)
- Retirement Planning
  - Retirement Income Planning
  - Pension & Profit Sharing Design
  - Non-Qualified Deferred Compensation
- Estate Planning
  - Trust Services
- Education Planning
- Financial Planning
- Income Tax Planning
- Insurance Services

SCP FAST FACTS

Custodian	Pershing LLC
Broker-Dealer	Royal Alliance Associates, Inc.
Approximate AUM	$107MM
Years In Business	22 Years (Founded in November 1988)
Portfolio Management Style	Active/Tactical
Advisory Clients	161
Brokerage /Non-Brokerage Clients	314
Advisory Fee Structure	Based on Assets Under Management. Please see SCP's website or Form ADV Part 2A for a more detailed breakdown.
Account Minimum	None (case by case basis)

INVESTMENT MANAGEMENT TEAM

STEVEN J. SCHMITZ
Portfolio Manager

- Founder, President & Chief Investment Officer
  37 years of experience
- Education:
  B.S., Cum Laude, Mechanical Engineering, Santa Clara University
  M.B.A., with Honors, Anderson School of Business, UCLA
  Post-Graduate Studies, Accounting & Taxation, Golden Gate University
- Securities Registrations: Series 7, 24, 63,
- Insurance Licenses: California Life, Health, Disability and Annuities Agent

MICHAEL J. SCHMITZ
Portfolio Manager

- Vice President - Investments & Chief Operating Officer
  14 years of experience
- Education: B.S., Finance, Leavey School of Business, Santa Clara University
- Securities Registrations: Series 7, 63, 65
- Insurance Licenses: California Life, Health, Disability and Annuities Agent
- Professional Designations: CMFC® (Chartered Mutual Fund Counselor℠)

DISCOVER | DEFINE | DEVELOP | DESIGN | CONSTRUCT | MONITOR | EVALUATE

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