



**THOMPSON**  
INVESTMENT MANAGEMENT, INC.

## INVESTMENT ADVISORY AGREEMENT INSTRUCTIONS

► Please find attached (or enclosed) the following documents:

1. Investment Advisory Agreement
2. Schedule A: Investment Management Fee Schedule
3. Schedule B: Consent to Electronic Delivery
4. Schedule C: Account Application
5. Schedule D: Cost Information
6. Schedule E: Letter of Authorization
7. Privacy Policy and Form ADV II

► Once the above have been reviewed, please return the following to Thompson Investment Management:

1. A copy of the U.S. Driver's License for all account holders (listed on the account).
2. Investment Advisory Agreement - completed as follows:
  - ☐ Page 1: Provide client name(s) and the legal name of the account.
  - ☐ Item 12: Indicate "Yes" or "No".
  - ☐ Item 15: Initial where indicated.
  - ☐ Item 19: Indicate "Yes" or "No".
  - ☐ Item 19: Initial where indicated (if applicable).
  - ☐ Item 20: Sign where indicated (all account holders).
3. Schedule B: Consent to Electronic Delivery – Signed (if applicable)
4. Schedule C: Account Application - provide all applicable information including the following required items (for all account holders):
  - ☐ Full name
  - ☐ Legal street address
  - ☐ Social security number
  - ☐ Birth date
  - ☐ Employment information (if applicable)
  - ☐ Sign where indicated (all account holders)
5. Schedule D: Cost Information - completed.
6. Schedule E: Letter of Authorization - signed (if applicable).

► Please keep the following documents for your records:

1. Privacy Policy and Form ADV II.
2. Copy of all documents sent to Thompson Investment Management ("TIM").

► Please call (608) 827-5700 if you have any questions.

- Upon receipt of your new account documents, TIM will counter-sign and date the agreement.
- This will become the effective date of the agreement.
- TIM will send you a copy of the fully executed documents.

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Thompson Investment Management, Inc.  
918 Deming Way, 3<sup>rd</sup> Floor  
Madison, WI 53717

## INVESTMENT ADVISORY AGREEMENT

This Investment Advisory Agreement made and entered into this \_\_\_\_\_ day of \_\_\_\_\_, 200\_ by \_\_\_\_\_ (“Client”).

Client hereby agrees to engage Thompson Investment Management, Inc. (“TIM”), an investment advisor located at 918 Deming Way, Madison, Wisconsin, 53717, to act as investment manager for the investment account known as \_\_\_\_\_ (“Account”),

under the following terms and conditions:

1. Governing Law. The validity of this Agreement and the rights and liabilities of the parties hereunder shall be determined in accordance with the laws of the state of Wisconsin.

Any provision hereof which is prohibited or unenforceable shall be ineffective to the extent of such prohibition or unenforceability without invalidating the remaining provisions hereof.

2. ERISA Accounts. TIM acknowledges that it is registered as an investment advisor under the Investment Advisers Act of 1940, and is therefore qualified to be appointed an Investment Manager under section 402(c)(3) of the Employee Retirement Income Security Act of 1974 (ERISA). TIM further acknowledges that, in regard to those clients for which it serves as an Investment Manager as defined in section 3(38) of ERISA, it is a Fiduciary as defined in section 3(21)(A) of ERISA.

TIM shall not be responsible for any duties with respect to Client (specifically including evaluating the initial or continued appropriateness of Client’s retention of TIM under section 404(a)(1) of ERISA) and TIM shall be indemnified by Client against any co-fiduciary liability imposed on TIM pursuant to Section 409 of ERISA.

Client agrees to use its best efforts to notify TIM in writing if Client considers any investments recommended to violate Client’s Plan investment objective or restrictions.

Unless otherwise directed by Client (pursuant to paragraph 12), TIM will be responsible for the voting of proxies solicited by or with respect to the issuers of securities in which assets on the Account may be invested. Client warrants that the exercise of the investment authority granted to TIM under this Agreement, including the authority to vote proxies involving securities in which the Account is invested, is authorized by the governing plan and trust documents and consistent with ERISA.

3. Implementation of Advice. It is understood and accepted by Client that TIM performs investment advisory services for various clients, and that TIM may give advice and take action in the performance of its duties with respect to any of its other clients, which may differ from advice given or the timing or nature of action taken with respect to the Client’s Account.
4. Services. Client hereby appoints TIM, and TIM hereby accepts Client’s appointment, as investment manager for the Account. TIM agrees: (a) to review at reasonable intervals during the period of this Agreement the investments of the Account as initially accepted by TIM, together with all additions, substitutions and alterations thereto; (b) to manage Client’s investments in accordance with Client’s instructions and consistent with Client’s investment objectives, as indicated in TIM’s records; and (c) to provide Client, at least quarterly, a written report of the investments of the Account. It is understood and agreed that TIM, in the preparation of reports, does not assume responsibility for the accuracy of information furnished by Client or any other person, firm or corporation.

5. Trading Authorization. Client grants TIM discretionary authority to manage the Account. TIM shall supervise and direct, in its sole discretion, the investments of and for the Account without further consultation with Client, subject however, to such limitations and restrictions as Client may impose by notice, in writing, to TIM. Using this authority, TIM may: (a) buy, sell, exchange, convert and otherwise trade in any and all stocks, bonds and other securities as TIM may select; and (b) establish, maintain and deal through accounts with one or more securities brokerage firms as TIM may select, to effect purchases or sales of securities, as agent for the Account.

6. Execution Services and Settlements. All transactions authorized by this Agreement shall be consummated by payment to or delivery by Client, or Client's custodian, of all cash and/or securities due to or from the Account. TIM shall not, under any circumstances, act as custodian for the Account or take or have possession of any assets of the Account.

TIM's instructions to Client or Client's custodian, with respect to Account investments, shall be made in writing or orally and confirmed in writing, as soon as practical thereafter. TIM shall instruct all brokers executing orders on behalf of the Account to forward to Client or Client's custodian, copies of notices of all transactions, promptly after execution. Client shall instruct the custodian to provide TIM with such periodic reports concerning the status of the Account as TIM may reasonably request from time to time. TIM shall not be responsible for any loss incurred by reason of any act or omission of any broker or custodian.

When placing orders for the Account, TIM will attempt to secure the best price and execution possible, commensurate with receiving research and other services (including quotation and information retrieval equipment) helpful to managing assets for clients.

If Client directs TIM to use a particular broker-dealer for the purchase and/or sale of securities in the Account, Client understands that such an instruction will result in TIM not exercising discretion in selecting other broker-dealers on a trade-by-trade basis. Thus, Client agrees that Client may not receive any benefit from research available from other broker-dealers, in return for business directed to them, or any benefit which could result from TIM's batching orders for Client (orders combined with those of other clients for the purpose of obtaining better price or execution), or otherwise obtain best price and execution of transactions.

7. Fees and Terms of Payment. The compensation of TIM for its services shall be calculated in accordance with the attached Fee Schedule A. Fees will be payable quarterly, in advance, based upon a valuation of the Account at the beginning of each three-month period. Upon termination by either party, the effective date of termination shall be used as the concluding date for valuation of the Account. The final charge for investment services shall cover the period from the most recent valuation date to the termination date, and TIM agrees to refund any prepaid fee, prorated to the termination date. Client agrees that TIM may change its fees upon 30 days advance written notice to Client.

8. Fee Authorization. Client hereby authorizes the custodian of the Account to pay TIM its management fee directly from the Account, as invoiced by TIM. The custodian of the Account may rely on the invoices submitted by TIM, and will have no responsibility to calculate or verify fees so invoiced. A copy of all invoices will be mailed to Client for Client's records. **Please initial here, if Client would prefer to pay the management fee directly: \_\_\_\_\_.**

9. Amendments and Assignments. This Agreement may only be amended by mutual written consent; provided, however, that TIM may unilaterally amend the Fee Schedule referred to in paragraph 7., effective upon thirty (30) days' advance written notice to Client of such amendment. No assignment of the Agreement by TIM shall be effective without the consent of the Client.

10. Notices. All notices and other communications contemplated by this Agreement shall be deemed duly given if transmitted to TIM at the address first above written and to Client at the address appearing below, or at such other address or addresses as shall be specified, in each case, in a notice similarly given.

11. Delivery of Documents. Client agrees that TIM may combine the mailing of Client statements and other Client correspondence and information for Accounts that have a common address. Client understands that this form of delivery is referred to as "householding". TIM agrees that it will household documents only for accounts that have a common address or for clients whom TIM believes are in the same family.

**Please initial here, if Client does not wish to have Client's Account househanded with others (if applicable): \_\_\_\_\_.**

Client may revoke Client's consent to the form of delivery at any time by contacting TIM in writing. If Client chooses to revoke Client's consent, TIM will begin sending separate mailings within 30 days after receiving notice of revocation.

12. Issuer Communications, Proxy Voting, and Related Actions. Client hereby provides instructions with respect to issuer communications, proxy voting, and related actions below. In the absence of instructions from Client, by vesting investment discretion and trading authority over the Account to TIM, Client implicitly authorizes TIM to be sent certain issuer and issuer-related communications (proxies, tender offers, proposed mergers, rights offerings, exchange offers and warrants, among other things) that may require a voting decision or other action, regarding investments held in the Account.

If Client appoints TIM below, TIM will, regarding only those voting decisions or other action communications sent to TIM; (a) vote proxy ballots; (b) provide instructions regarding corporate reorganizations and other corporate actions; and (c) be sent certain prospectuses and annual reports and other communications. In these cases, Client hereby authorizes TIM to make all voting decisions and take all actions on Client's behalf.

*Even if Client appoints TIM below, Client may be sent certain other issuer and issuer-related communications regarding investments held in the Account. Client agrees that Client will be responsible for providing TIM any applicable instructions or directions Client receives.*

Please select only one:

☐ Yes. Client appoints TIM to respond to issuer communications, proxy voting, and related actions, and will fulfill Client's responsibilities, as described above. Client will instruct the custodian of the Account to not disclose my name, address and securities positions to any issuer of securities held in the Account.

☐ No. Client does not appoint TIM to respond as described above. Client wishes to be sent all issuer and issuer-related communications, make all voting decisions, and take all actions described above. Client understands that any issuer of securities held in the Account may request that the custodian of the Account disclose to issuers Client's name, address and securities positions in that issuer.

*If Client does not select either "Yes" or "No" above, TIM will deem Client to have indicated "Yes", and will act on all issuer and issuer-related communications received on Client's behalf. If there are any inconsistencies between this Agreement and Client's custodial agreement with regards to the voting of proxies, TIM will follow the instructions Client have given to Client's custodian.*

13. Internet Access Enrollment. TIM hereby offers online access to Client's Account. To enroll, Client hereby provides Client's email address below. Once the Account is established, TIM agrees to provide instructions on how to access the Account.

Email address: \_\_\_\_\_.

*Internet access may also be requested or revoked at any time by contacting TIM in writing.*

14. Electronic Delivery Enrollment. TIM hereby offers electronic delivery of Client's Account statements. Once enrolled, Client understands that Client will receive notification via email that Client's statements are available via TIM's secure website, **thompsonim.com**.

To begin enrollment in electronic delivery, Client hereby provides Client's email address below and signs Schedule B – Consent to Electronic Delivery (attached).

Once Schedule B is signed and the Account is established, TIM agrees to provide instructions on how to complete Client's enrollment.

Email address: \_\_\_\_\_.

*Electronic delivery may also be requested or revoked at any time by contacting TIM in writing.*

15. Privacy Policy and Form ADV II. **Client hereby acknowledges receiving a copy of TIM's Privacy Policy and Form ADV II by initialing the following line(s):** \_\_\_\_\_, \_\_\_\_\_.

16. Authority of Client. The execution and delivery of this Agreement by Client shall constitute the representation by Client that the terms hereof do not violate any obligation by which Client is bound, whether arising by contract, operation of law or otherwise, and if client is a corporation, that (a) this Agreement has been duly authorized by appropriate corporate action and, (b) when so executed and delivered, will be binding upon Client in accordance with its terms. Client agrees to deliver to TIM such evidence of such authority as TIM may reasonably require.

If this Agreement is entered into by trustee or other fiduciary, such trustee or fiduciary represents that TIM's program is within the scope of investments authorized pursuant to any applicable plan, trust and/or applicable law and that he is duly authorized to negotiate the terms of this Agreement, including fees, and to enter into this Agreement, and agrees to provide such supporting documentation as may be required by TIM. Client warrants that securities delivered to Client's custodian are free of any encumbrances. Client undertakes to inform TIM, as applicable, of any event which might affect the authority or the property of this Agreement.

17. Dispute Resolution Procedure. Any controversy or claim arising out of or relating to services to Client under this Agreement, or the construction or breach thereof, shall be settled by arbitration before a panel of independent arbitrators, established in accordance with the arbitration rules of a recognized alternative dispute resolution organization selected by TIM. Judgment on the award rendered by the arbitrators shall be final and may be entered in any court having jurisdiction thereof.

18. Termination. This Agreement may be terminated by and upon either party giving thirty (30) days' written notice to the other party. If Client has not received Part II of TIM's Form ADV at least 48 hours prior to the date of this Agreement, Client shall have the right to terminate the Agreement without penalty, within five (5) business days from the date of signing this Agreement.

19. Proprietary Mutual Funds

Non-ERISA Accounts. If Client is a Non-ERISA Account, Client understands that TIM manages certain mutual funds which it may purchase for Client's Account and that when making such purchases TIM has a conflict of interest since it receives advisory management fees from these funds based upon the value of investments in the funds. As indicated on Schedule A, investments in such funds shall be excluded from investment advisory fee calculations, although internal mutual fund management fees still apply. Please see the Thompson Plumb Funds prospectus for more details. Client understands that Client may withdraw this authorization at any time.

ERISA Accounts. If Client is an ERISA Account, Client understands that TIM manages certain mutual funds which it may recommend that the client make available to participants in Client's ERISA plan as a way of obtaining diversification. Because TIM has a conflict of interest (since it receives management fees from such mutual funds) purchases and sales of such mutual fund must comply with the requirements of ERISA Prohibited Transaction Exemption 77-4 (PTE 77-4). More specifically, in connection with such purchases and sales, no sales commission will be charged in connection with such purchase or sale; no redemption fee will be paid in connection with any sale; and as indicated on Schedule A, no investment advisory fees will be paid pursuant to this agreement on the portion of the account invested in such mutual funds (although internal mutual fund management fees and other fees of the mutual fund still apply). Client understands that: (i) it must, as an independent fiduciary with respect to the ERISA plan, consent to TIM investing in such mutual fund after the Client receives a current prospectus issued by the mutual fund, including written disclosure of the investment advisory and other fees paid with respect to the mutual fund investment and the differential between the fees charged under this Agreement and the fees charged by the mutual funds; (ii) there are no limitations on TIM with respect to the assets of the ERISA plan which may be invested in the mutual funds; and (iii) any change in the rates of fees charged by the mutual funds must be approved in writing by the Client. Client also understands that Client may withdraw this authorization at any time.

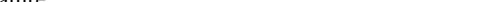


Please indicate your preference (select only one):

- ☐ Yes. Client hereby consents to TIM investing in one or more mutual funds managed by TIM.
- ☐ No. Client does not consent to TIM investing in one or more mutual funds managed by TIM.

***If "yes", client hereby acknowledges receiving a prospectus for the Thompson Plumb Funds, by initialing the following line(s): \_\_\_\_\_, \_\_\_\_\_.***

☐ Please check here if this is a non-managed, client directed account (for record keeping purposes only).

Additional Client Signature (if applicable)
 Print Name
 Date

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**THOMPSON**  
INVESTMENT MANAGEMENT, INC.

## INVESTMENT MANAGEMENT FEE SCHEDULE

Investment management fees are determined according to the fair market value of securities under management.  
All fees are collected quarterly, in advance, and are subject to change.

### STANDARD FEE SCHEDULE\*

#### Individually Managed Accounts

1.10% on the first \$2,000,000

0.80% on the next \$3,000,000

0.70% on the next \$5,000,000

MINIMUM ANNUAL FEE - \$10,000

#### EXAMPLE

<u>Account Asset Value</u>	<u>Annual Fee</u>
\$1,000,000	\$11,000
\$2,000,000	\$22,000
\$5,000,000	\$46,000

### DISCOUNTED FEE SCHEDULE\*

*\*These fees do not apply to shares held in the Thompson Plumb Funds, Inc. series of mutual funds. Internal mutual fund management fees still apply. Please see the Thompson Plumb Funds prospectus for more details.*

### ADDITIONAL INFORMATION

Custody services are billed separately by the company providing safekeeping of the client assets (if applicable).

Special services will be charged based on time, complexity and responsibility involved.

There are no termination fees for Thompson Investment Management advisory accounts.

### For Internal Use Only - Special Billing Instructions (if applicable)

☐ If this is for an existing client who is signing a new agreement or an amendment to an existing agreement, fee billing must review the fee schedule first (for accuracy) and sign here: \_\_\_\_\_.

☐ This is a no-fee, non-managed account.

☐ The following assets should be excluded from billing: \_\_\_\_\_

☐ The fees for this account should be consolidated with account: \_\_\_\_\_

☐ The fees for this account should be paid from the following account: \_\_\_\_\_



**THOMPSON**  
INVESTMENT MANAGEMENT, INC.

## CONSENT TO ELECTRONIC DELIVERY

To provide more efficient delivery of periodic reports and other documents relating to your account, you have indicated to us that you would like to receive account documents electronically. To complete our records, we ask you to read and sign the Consent form set forth below which will allow us to begin delivering documents to you electronically.

### Consent to Electronic Delivery

You consent to our delivery of documents electronically to you for your accounts and all accounts related to you. You understand that by consenting you are agreeing not to receive paper documents by mail. We will provide you with an email notifying you when your account documents are available on our website. If we are unable to notify you electronically, you understand we may, in our sole and absolute discretion, discontinue electronic delivery and send all account documents in paper form. Account documents will be made available in PDF format and may be printed and/or saved.

Upon our receipt of this Consent signed by you, electronic delivery will begin and will remain in effect unless revoked by Thompson Investment Management, Inc. or by you. You understand that this form of electronic delivery will expose the documents to the normal risks associated with viewing information via the internet.

There is no charge from us for electronic delivery, but online access and usage charges by your internet service or access provider may apply. Other than being able to access by computer a website via the internet, you understand there is no additional hardware requirement needed for document delivery. Your account statements will be available online in Adobe Acrobat format and will require a computer that has an internet browser and is able to run Adobe Acrobat Reader. A free version of Adobe Acrobat Reader is available at [www.adobe.com](http://www.adobe.com).

You may revoke your consent to electronic delivery at any time by calling us at 877-886-5777, or in writing. Your revocation is only effective after we receive and process your request. If you revoke your consent to electronic delivery you will receive future documents in paper form sent to the address indicated for your account.

If your contact information, such as your email address changes you agree to provide the new information to Thompson Investment Management, Inc. Related accounts will be householded (sent to the same address or user id) if applicable.

We agree to provide a notice to you in the event of any changes regarding hardware and software requirements necessary to receive account documents. The information will be made available in PDF format and may be printed and/or saved.

Consent will be needed by each owner, co-owner, trustee, or authorized agent by signing below.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Email Address)





**THOMPSON**  
INVESTMENT MANAGEMENT, INC.

## ACCOUNT APPLICATION

### 1. Account Registration

- ☐ Individual
 ☐ Joint Tenants\*
 ☐ Corporation\*
 ☐ Employee Benefit\*
 ☐ Foundation\*
 ☐ Trust\*
 ☐ Other^\*
- ☐ Traditional Contributory IRA
 ☐ Traditional Rollover IRA
 ☐ Roth Contributory IRA
 ☐ Roth Conversion IRA
 ☐ Inherited IRA
- ☐ Spousal Rollover IRA
 ☐ Other IRA^\*

^Please explain: \_\_\_\_\_

\*Additional information/documentation may be required by Thompson Investment Management and/or the custodian of the account.

### 2. Additional Account Information

Tax Status \_\_\_\_\_ Fiscal \_\_\_\_\_ Estimated Size \_\_\_\_\_ Referred By \_\_\_\_\_

Are you or any addl. account holder related to an employee of TIM? If so, please specify.

Restrictions on Purchases (list above) \_\_\_\_\_ Restrictions on sales (list above) \_\_\_\_\_

Periodic or Recurring Deposits (list amount and frequency above) \_\_\_\_\_ Periodic or Recurring Withdrawals (list amount and frequency above) \_\_\_\_\_

### 3. Account Holder Information

**Name of Organization or Trust** (if applicable)

Organization or Trust Name \_\_\_\_\_ Tax ID Number \_\_\_\_\_

Legal Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

**Account Holder / Trustee / Minor / Executor** (please circle)

☐ Mr.
 ☐ Mrs.
 ☐ Ms.
 ☐ Dr.
 ☐ Other: \_\_\_\_\_

First Name \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_ Known by another name? (specify) \_\_\_\_\_

Home Street Address (no P.O. Boxes, please) \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Mailing Address (if different from above; P.O. boxes may be used) \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

State of Legal Residence \_\_\_\_\_ Home Telephone Number \_\_\_\_\_ Home Email Address \_\_\_\_\_ Social Security Number \_\_\_\_\_ Date of Birth \_\_\_\_\_

☐ Employed
 ☐ Self-Employed
 ☐ Non-Employed
 ☐ Retired

Employment Status \_\_\_\_\_ Occupation/Position \_\_\_\_\_ Employer Name (if applicable) \_\_\_\_\_

Business Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Business Telephone Number \_\_\_\_\_ Business Fax Number \_\_\_\_\_ Business Email Address \_\_\_\_\_ Mobil Phone Number \_\_\_\_\_

**Additional Account Holder / Co-Trustee / Custodian / Co-Executor** *(please circle)*
☐ Mr.    ☐ Mrs.    ☐ Ms.    ☐ Dr.    ☐ Other: \_\_\_\_\_

First Name _____		Middle _____	Last _____		Known by another name? (specify) _____	
Home Street Address (no P.O. Boxes, please) _____			City _____	State _____	Zip Code _____	
Mailing Address (if different from above; P.O. boxes may be used) _____			City _____	State _____	Zip Code _____	
State of Legal Residence _____	Home Telephone Number _____	Home Email Address _____		Social Security Number _____	Date of Birth _____	
<input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Non-Employed <input type="checkbox"/> Retired			Occupation/Position _____		Employer Name (if applicable) _____	
Business Street Address _____			City _____	State _____	Zip Code _____	
Business Telephone Number _____	Business Fax Number _____	Business Email Address _____			Mobil Phone Number _____	

**4. Custodian Information****Current Custodian** *(or previous if you are going to transfer your assets to a new custodian)*

Custodian's Full Name _____	Firm Name _____	Your Account Number _____
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**New Custodian** *(if you are going to transfer your assets from the above custodian)*

Custodian's Full Name _____	Firm Name _____	Phone Number (if known) _____
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**5. Interested Party Information**
☐ Mr.    ☐ Mrs.    ☐ Ms.    ☐ Dr.    ☐ Other: \_\_\_\_\_

Full Name _____		Firm Name (if applicable) _____	Relationship to Account &/or Account Holder _____	
Street Address (no P.O. Boxes, please) _____		City _____	State _____	Zip Code _____
Mailing Address (if different from above; P.O. boxes may be used) _____		City _____	State _____	Zip Code _____
Telephone Number _____	Fax Number _____	Email Address _____	Mobil Phone Number _____	
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual (i.e. year end) <input type="checkbox"/> Fiscal End		
Statement Copies? _____		If Yes, Frequency? _____		

**6. Client Acknowledgement** *(By signing below, you confirm that you have reviewed the above information and that it is accurate)*

▶ _____	_____	_____
Client Signature	Print Name	Date
▶ _____	_____	_____
Additional Client Signature (if applicable)	Print Name	Date



**THOMPSON**  
INVESTMENT MANAGEMENT, INC.

## COST INFORMATION

To assist us in the setup of your account on our system, and so that we can provide you with accurate reports and minimize the capital gains tax, it is important that we receive purchase date and cost information for all securities held in the account.

☐ Please check here if you do not currently own any securities (in this account) and the account is starting off as all cash.

☐ Please check here if you have this information available, and please provide it to us by:

- a. Emailing it in Excel or PDF format to: rfowler@thompsonim.com (*preferred method*)
- b. Faxing it to Rebecca Fowler at: (608) 827-7300
- c. Mailing it to: P.O. Box 46520, Madison, WI 53744-6520 (Attn: Rebecca)
- d. Or by attaching it directly to this agreement

☐ Please check here if you DO NOT have this information...

- a. Then please sign the attached "Letter of Authorization"
- \* This will allow us to get the information from your current custodian or brokerage firm.

THIS SPACE INTENTIONALLY LEFT BLANK



**THOMPSON**  
INVESTMENT MANAGEMENT, INC.

## LETTER OF AUTHORIZATION

To:

From: Thompson Investment Management, Inc.  
(On behalf of: \_\_\_\_\_)

Date:

Re: Account(s):

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*"I hereby authorize the above custodian (or brokerage firm), its affiliates, and their respective directors, officers, agents, employees, and representatives to provide Thompson Investment Management, Inc., any and all requested information regarding any present or prior account(s) owned by me (including those referenced above), of whatever nature, including but not limited to cost information, copies of my account statements, applications, or like documentation."*

*"I hereby agree to hold harmless the above custodian (or brokerage firm), its affiliates, and their respective directors, officers, agents, employees, and representatives from and against all claims, actions, costs, liabilities, lawsuits, demands, or damages, including without limitations, any and all court costs and reasonable attorney's fees arising out of, or relating to the release of such information authorized herein."*

► \_\_\_\_\_  
Client Signature                      Print Name                      Date

► \_\_\_\_\_  
Additional Client Signature (if applicable)                      Print Name                      Date