



INSIGHT
PHILANTHROPY
RESULTS

EXPLORE

PD25

New Depths

August 19-22, 2025

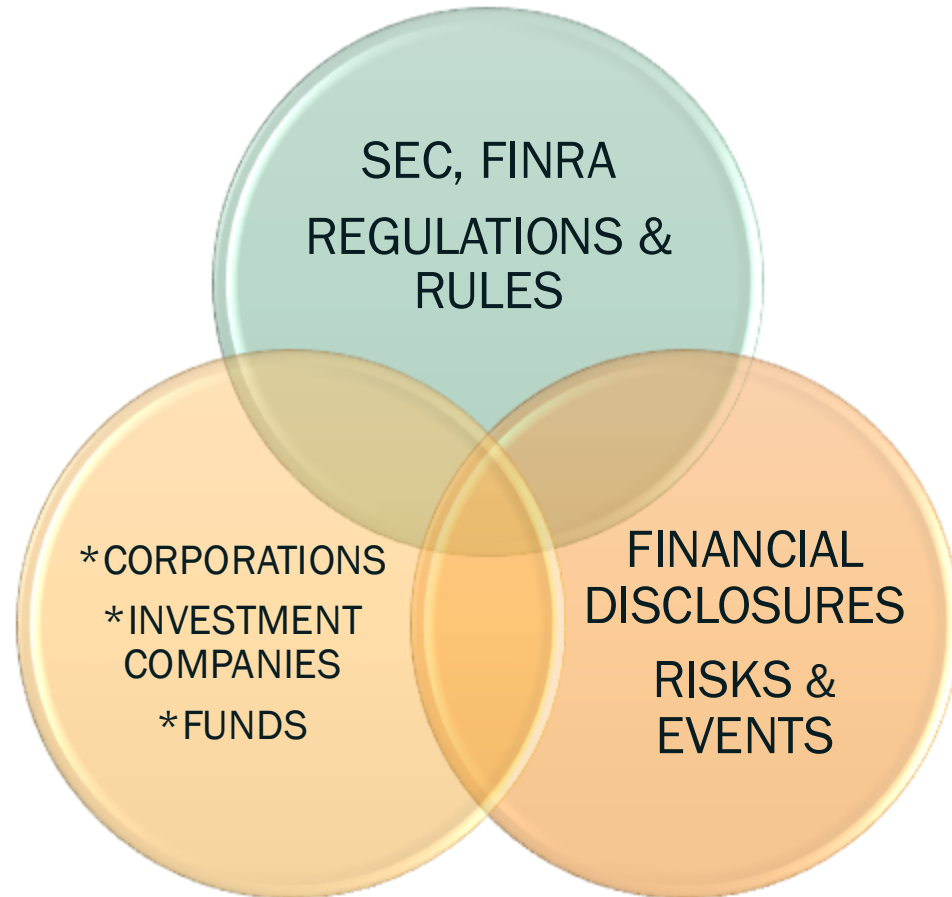
Hilton Baltimore Inner Harbor Hotel, Baltimore, Maryland



DECODING SEC ALPHABET SOUP FOR DOLLAR\$

EXPLORE
PD25
New Depths

THE SEC'S "ALPHABET SOUP"



1929

REGULATORS

"DESIGNED TO PROTECT
INVESTORS"

CONVOLUTED

LEGAL JARGON

SECRET CODE

FINDING . . . WEALTH & CONNECTIONS

- Alumni
- Parents / Spouses / Children
- High Net Worth People
- Grateful Patients
- Corporate Board Members
- Non-Profit Boards
- Connections / Intersections?



SEC “SPEAK”

DOMESTIC



S-1 = IPO

S-4 = MERGER

DEF 14A = ANNUAL PROXY

10-K = ANNUAL \$ RPT

10-Q = QRTL \$ RPT

8-K = (5/32) CURRENT RPT

ARS = ANNUAL RPT TO
SHAREHOLDERS

FORMS 3, 4, 5 = INSIDER FORMS

FOREIGN

F-1 – IPO

F-4 – MERGER

20-F – ANNUAL \$ RPT - INT’L

40-F – ANNUAL \$ RPT - CANADIAN

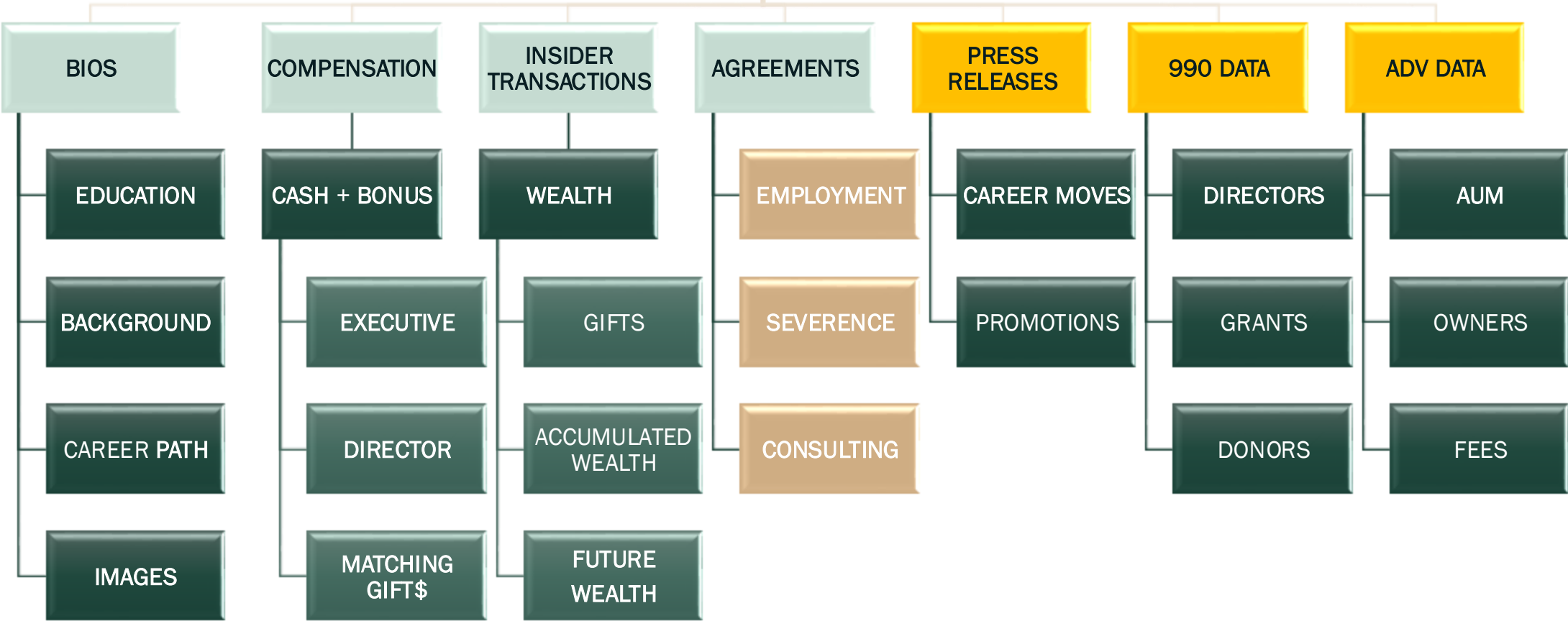
6-K = QTRL, PROXY, CURRENT RPT

NO INSIDER REPORTING

INSIDERS

ID

SEC Insider Data



NEW PROSPECT SOURCES

PRE IPO

Private / Exempt

- **Press Releases/News:**
 - Series A-C Funding
 - Execs
 - Investors (ADV-PE)
- **Form C** - Crowdfunding
- **Form D** – Dipping the Toes
- **Form DRS** – Draft Reg Statement

IPOs

New Public Companies

- **1-A** = Exempt Companies < \$75M
 - Execs, Directors, Comp, Shares
- **S-1, S-1/A, 424b*** = Medium
 - Execs, Directors, Comp,
 - Founder Shares
 - Corporate Structure
 - Fiscal Year End
 - Employment Agreement

PROXY - LETTERS & NUMBERS

PRE = Preliminary

DEF = Definitive

/A = Amendment

R = Revised

M = Merger

C = Communication

A = Additional Materials

N = Non-Management

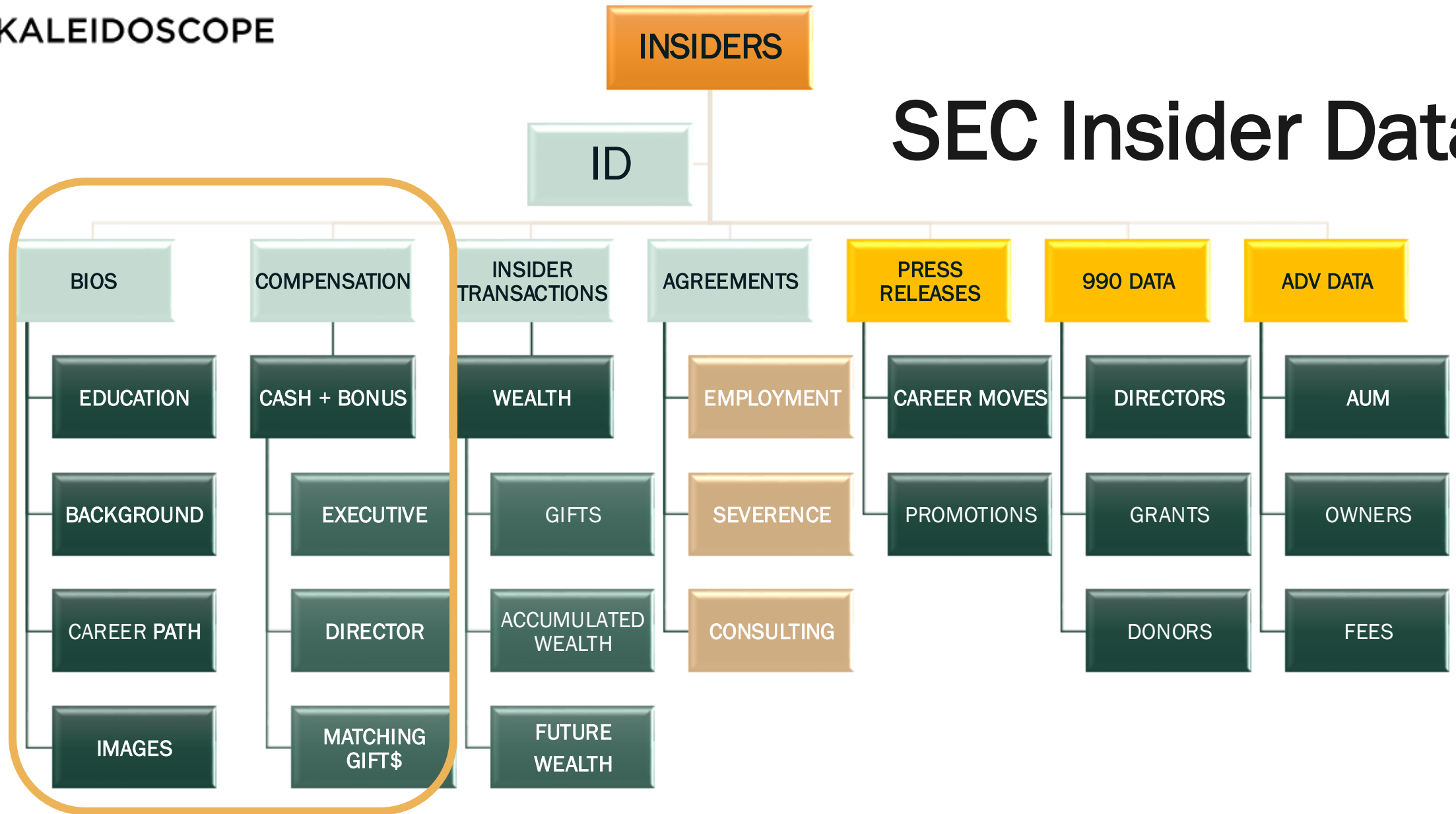
14A = Solicits Approval

14C = Corp Actions Approved

Proxy Stmts

<input checked="" type="checkbox"/> DEF 14A	<input type="checkbox"/> DEF 14C	<input type="checkbox"/> DEFA14A	<input checked="" type="checkbox"/> DEFM14A	<input type="checkbox"/> PRE 14A	<input checked="" type="checkbox"/> PREM14A
<input type="checkbox"/> DEFC14A	<input type="checkbox"/> DEFC14C	<input type="checkbox"/> DEFA14C	<input type="checkbox"/> DEFM14C	<input type="checkbox"/> PRE 14C	
<input type="checkbox"/> DEFR14A	<input type="checkbox"/> DEFR14C			<input type="checkbox"/> PREC14A	
				<input type="checkbox"/> PREC14C	
				<input type="checkbox"/> PRER14A	
				<input type="checkbox"/> PRER14C	
NON-MANAGEMENT					
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<input type="checkbox"/> PX14A6G	<input type="checkbox"/> DFAN14A				

SEC Insider Data





Linda A. Findley
Age 52
Sleep Number®
setting 45

EXPERIENCE

2025 - Present	Appointed President, Chief Executive Officer and Director, Sleep Number Corporation, effective April 7, 2025
2019 - 2024	President, Chief Executive Officer and Director, Blue Apron Holdings, Inc., an ingredient and recipe meal kit company
2016 - 2018	Chief Operating Officer, Etsy, Inc., an e-commerce company
2012 - 2015	Various senior executive roles at Evernote Corp., a software company, including most recently as Chief Operating Officer
2009 - 2012	Various roles at Alibaba.com Ltd., an e-commerce, retail, internet and technology company

PUBLIC AND PRIVATE COMPANY BOARDS

Sleep Number (since 2025)
Ralph Lauren (since 2018)

PRIOR PUBLIC BOARD

Blue Apron Holdings, Inc. (formerly Nasdaq: APRN) (2019 – 2023)

PRIVATE BOARD

HeliosX (since 2025)

QUALIFICATIONS AND EXPERTISE

- Accomplished senior executive leading consumer brands that combine digital and physical products, with specific expertise in operations management, organizational transformation, marketing strategy, and global expansion
- At Blue Apron, spearheaded a turnaround strategy that culminated in the company's sale to a strategic buyer
- At Etsy, oversight for global operations, product, marketing and brand strategy, customer support, and international expansion



BIOGRAPHY

ANNUALS

DEF 14A, 10-K, ARS, I-K, 20-F, 40-F

MERGERS

PREM14A, DEFM14A,
S-4, S-4/A

IPOs & Prospectuses

S-1, S-1/A, 424B*

1-A, 1-A/A, 253G*

F-1, F-1/A,

INVESTMENT MGMT COs & FUNDS

N-CSR, 497, N-*





SUMMARY COMPENSATION TABLE

Name And Principal Position	Year	Salary (\$)	Bonus (\$)	Stock Awards ⁽¹⁾⁽²⁾ (\$)	Option Awards ⁽¹⁾⁽³⁾ (\$)	Non- Equity Incentive Plan Compensation ⁽⁴⁾ (\$)	All Other Compensation ⁽⁵⁾ (\$)	Total (\$)
Shelly R. Ibach Former President and CEO ⁽⁶⁾	2024	\$ 1,200,000	—	\$ 3,357,129	\$ 983,001	\$ 1,004,640	\$ 38,639	\$ 6,583,409
	2023	\$ 1,200,000	—	\$ 3,444,144	\$ 1,165,494	\$ 420,000	\$ 119,553	\$ 6,349,191
	2022	\$ 1,189,615	—	\$ 4,037,198	\$ 1,382,187	—	\$ 93,614	\$ 6,702,614
Francis K. Lee EVP and CFO ⁽⁶⁾	2024	\$ 629,327	—	\$ 656,286	—	\$ 263,436	\$ 22,298	\$ 1,571,347
	2023	\$ 228,365	\$ 200,000	\$ 1,431,245	\$ 1,161,801	—	\$ 10,487	\$ 3,021,899

⁽⁵⁾ The amounts in the "All Other Compensation" column include but are not limited to the costs of (a) reimbursement for personal financial planning and tax advice; (b) Company sponsored physical exam; and (c) Company matching contribution to the 401(k) Plan according to a matching formula and contribution limits that are the same for all participants. For the CEO, the amounts shown for fiscal year 2024, 2023 and 2022 include the payment of certain one-time security enhancement costs and ongoing security monitoring expenses that were recommended as part of a security study conducted by an independent third-party security consultant. The total amount paid by the Company in 2024 for those security monitoring was \$1,764.

DIRECTOR COMPENSATION

Name	Fees Earned or Paid in Cash (\$)	Stock Awards ⁽¹⁾ (\$)	Option Awards ⁽²⁾ (\$)	All Other Compensation (\$)	Total (\$)
Daniel I. Alegre ⁽⁵⁾⁽⁶⁾	\$ 47,500	—	—	—	\$ 47,500
Phillip M. Eyler ⁽³⁾	\$ 96,500	\$ 83,656	—	—	\$ 180,156
Stephen L. Gulis, Jr. ⁽³⁾	\$ 115,000	\$ 83,656	—	—	\$ 198,656
Michael J. Harrison	\$ 147,500	\$ 83,656	—	—	\$ 231,156
Julie M. Howard ⁽³⁾⁽⁴⁾	\$ 97,000	\$ 83,656	—	—	\$ 180,656
Deborah L. Kilpatrick, Ph.D. ⁽³⁾⁽⁴⁾⁽⁵⁾	\$ 96,500	\$ 83,656	—	—	\$ 180,156
Dean-Michele Valente ⁽⁷⁾	—	—	—	—	—

⁽¹⁾ Reflects the aggregate grant date fair value of restricted stock awards granted during fiscal year 2024, computed in accordance with FASB ASC discussion of the relevant assumptions used in calculating these amounts. As of December 28, 2024, the aggregate number of shares outstanding under stock awards, including restricted stock, restricted stock units and phantom stock, held by those who served as non-employee Directors through fiscal year 2024 was as follows: Mr. Eyler, 5,457; Mr. Gulis, 55,203 shares; Mr. Harrison, 5,457 shares; Ms. Howard, 17,690 shares; Ms. Kilpatrick, 6,073 shares; Ms. Lauderback, 5,457 shares; Mr. Macadam, 11,536; Ms. Matas, 32,177 shares; Mr. Mendez, 5,457 shares; and Ms. Schneider, 5,457 shares.

MATCHING CASH GIFTS

COMPENSATION

ANNUALS

DEF 14A, 10-K, ARS
1-K

MERGERS

PREM14A, DEFM14A,
S-4, S-4/A

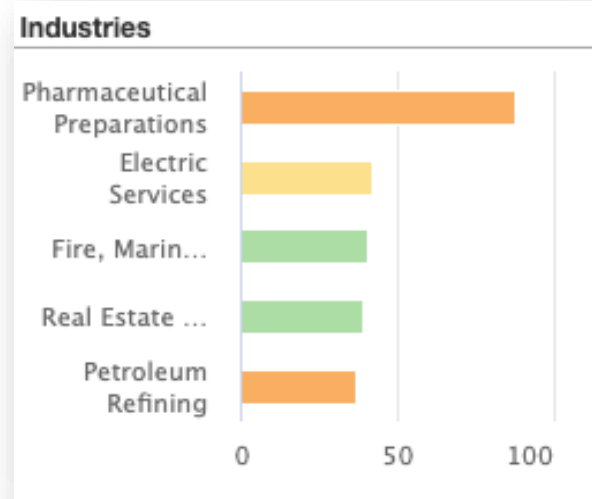
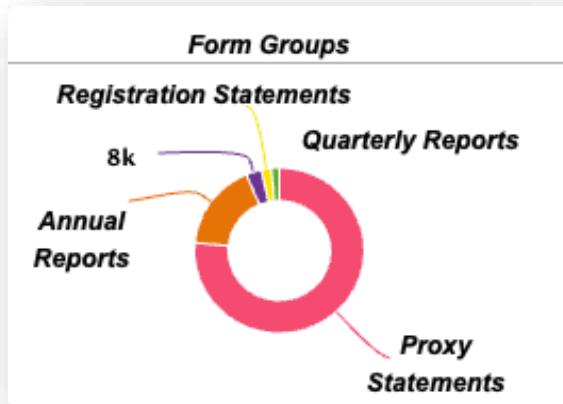
IPOs & Prospectuses

S-1, S-1/A, 424B*
1-A, 1-A/A, 253G*
F-1, F-1/A

INVESTMENT MGMT COs & FUNDS

N-CSR – SUMMARY COMP
497 – PORTFOLIO MGR
N-* – FUND MANAGER



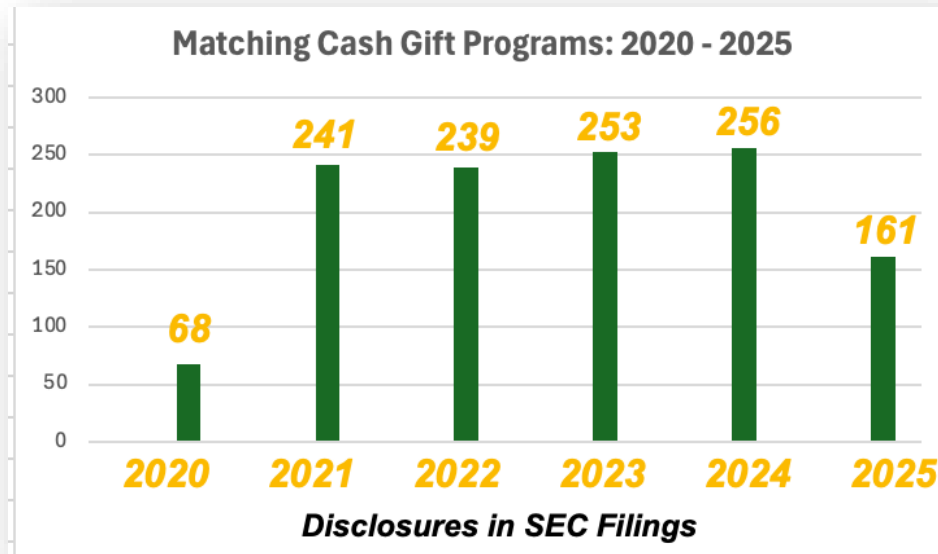


MATCHING GIFT PROGRAMS \$+ \$

5 YR TREND

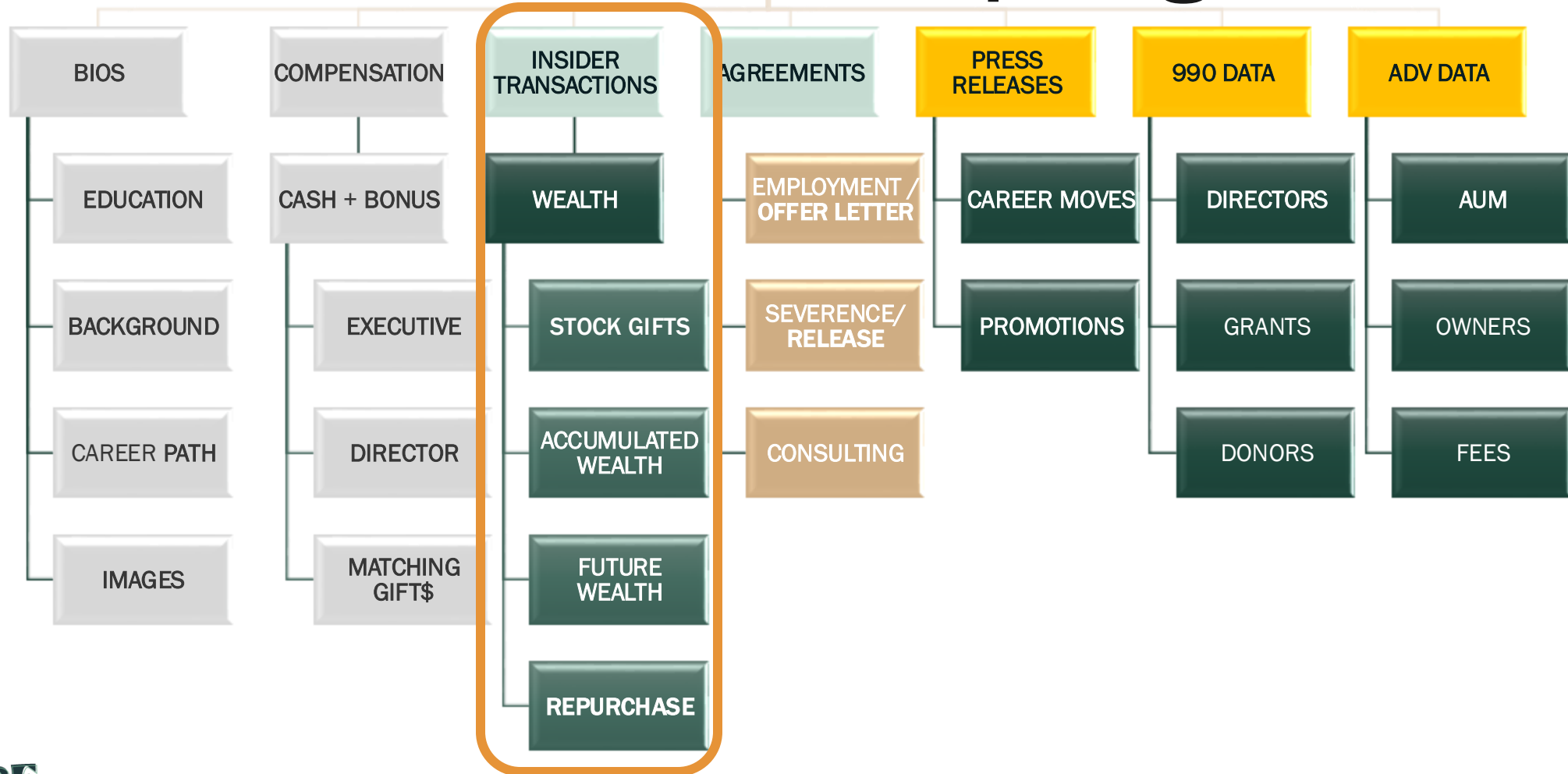
FILINGS?

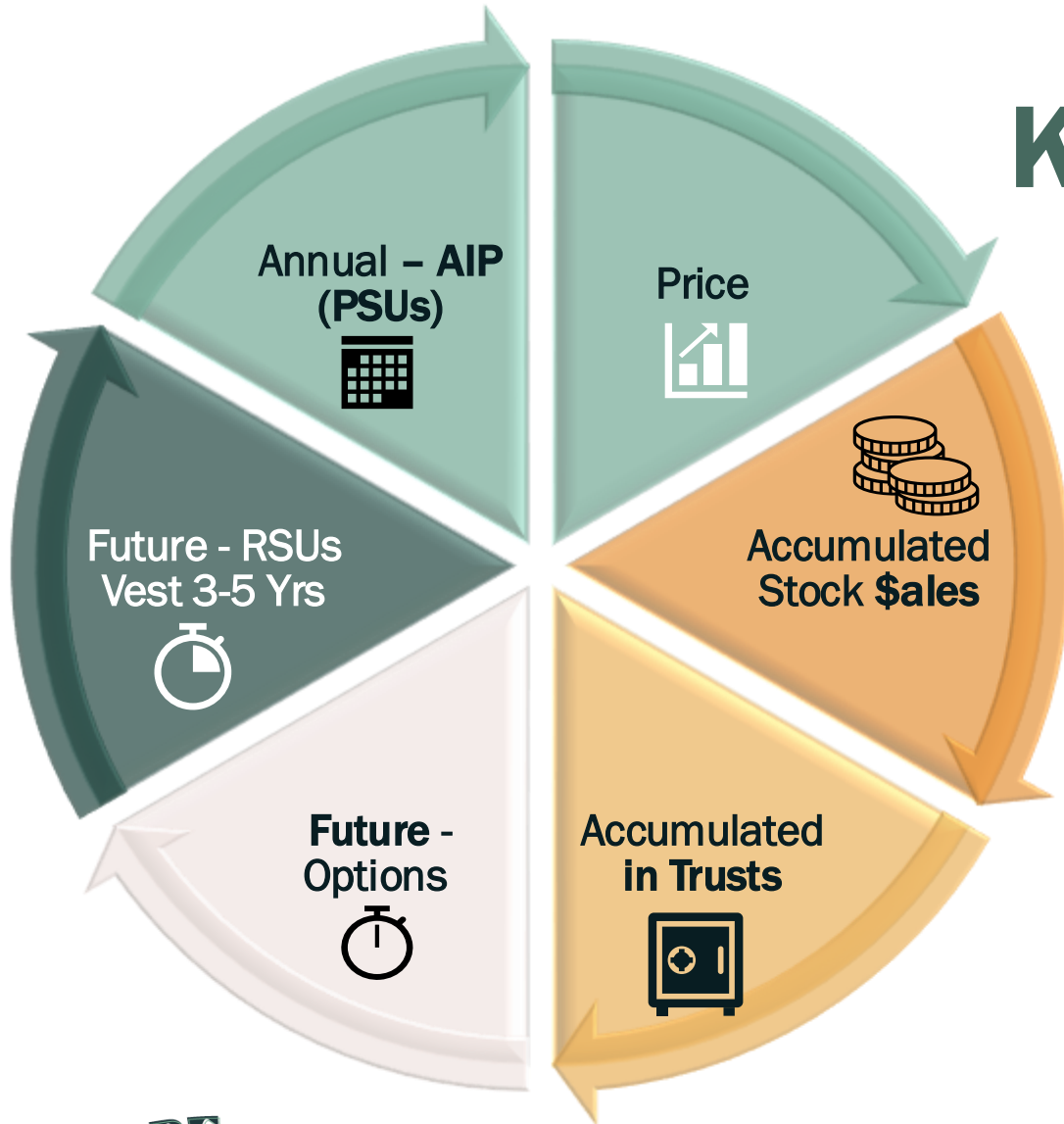
WHO?



INSIDERS
ID

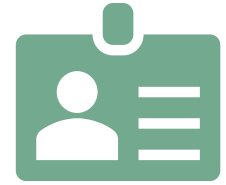
Compiling Stock Data





KEY TO WEALTH = STOCK

CIK = Insider's unique ID



3 = initial award + CIK #

4 = all transactions

5 = annual summary of omissions



INSIDER FORMS – 3, 4, 5, 144

Timing - 2 days

1- Sentiment

2 - % Transaction Types

Form 3 – original CIK and award

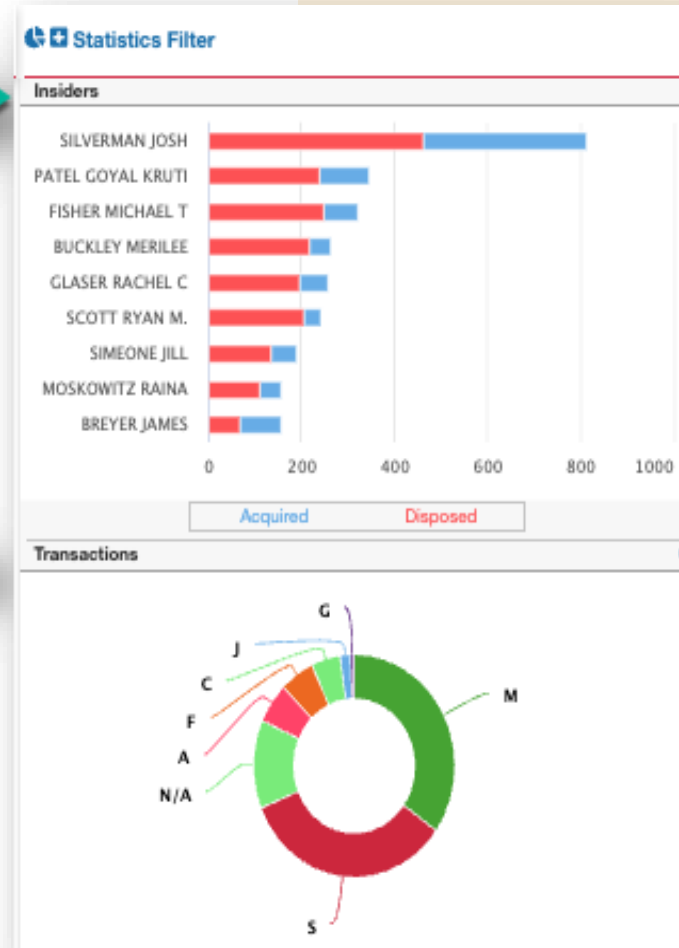
Form 144 – notice of block sales

Form 4 – Transactions (buy, sell, convert, etc.)

Form 4/A - Amendment

Form 5 – EOY – error corrections

1



2

FORM 4 – SALES & HOLDINGS

Table I – Common Stock Sales

- ✓ Class A
- ✓ Class B
- Class C
- Preferred

Table II – Derivative Holdings

- Awards
- Restricted Stock Unit - RSU
- Performance Stock Unit - PSU
- Option - [Rights to Buy]
- Warrants/Series [Private Placement]
- Founders Shares [Phantom, Hypothetical]

TABLE I – COMMON STOCK SALES

(City)	(State)	(Zip)								
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common stock	08/27/2024	2	M		1,557	A	\$272.21	1,557	D	
Common stock	08/27/2024	3	S		1,557	D	\$1,125	0	D	
Common stock								99	I	Indirectly in the Company's 401k plan.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Nonqualified employee stock options (right to buy)	\$272.21	08/27/2024		M			1,557	03/11/2017 ⁽¹⁾	03/11/2026	Common stock	1,557	\$0	0	D	

Explanation of Responses:

1. The options vest in four equal annual installments beginning on this date.

/s/ Chris A. Mancini

** Signature of Reporting Person

08/29/2024

Date



FORM 4 - TRANSACTION CODES



Common Codes

- ▶ **A** Grant, award, or other acquisition of securities from the company (such as an option)
- ▶ **K** Equity swaps and similar hedging transactions
- ▶ **P** Purchase of securities on an exchange or from another person
- ▶ **S** Sale of securities on an exchange or to another person
- ▶ **D** Sale or transfer of securities back to the company
- ▶ **F** Payment of exercise price or tax liability using portion of securities received from the company
- ▶ **M** Exercise or conversion of derivative security received from the company (such as an option)
- ▶ **G** Gift of securities by or to the insider
- ▶ **V** A transaction voluntarily reported on Form 4
- ▶ **J** Other (accompanied by a footnote describing the transaction)

Location:

Table I – Box 3

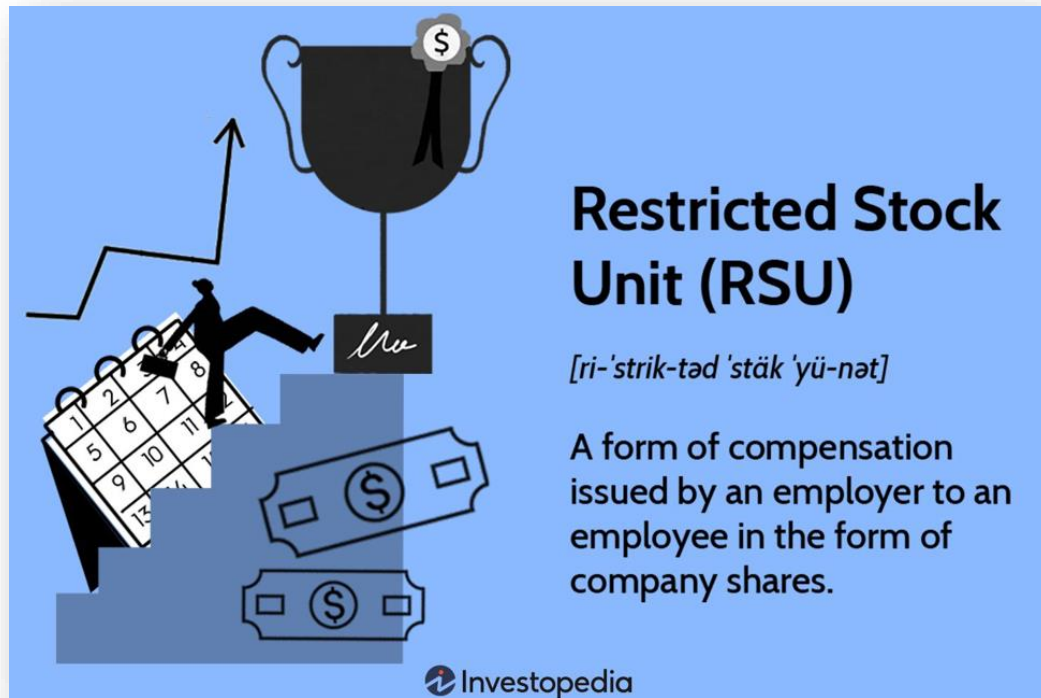
Table I - Non-Derivative Securities			3. Transaction Code				Securities Acquired (A) or Disposed Of (D) (Instr. 5)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Date Exercised (Month/Day/Year)	Code	V			(A) or (D)	Price					
Common Stock	03/21/2025		G				D	\$0	60,630 ⁽²⁾		D		
Common Stock	03/21/2025		G				A	\$0	396,049		I		by Family Trust
Common Stock			G						15,437.296		I		by 401(k)

Table II – Box 4

Table II - Derivative Securities				4. Transaction Code (Instr. 8)				Securities Acquired, Disposed of, or Beneficially Owned (warrants, options, convertible securities)					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Date Exercised (Month/Day/Year)	Code	V			8. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
Employee Stock Option (Right to Buy)	\$33.32	03/01/2022		M				6,905 03/16/2016 ⁽⁴⁾ 03/16/2025	Common Stock	6,905	\$0	0	D
Employee Stock Option (Right to Buy)	\$18.81	03/01/2022		M				11,215 03/22/2017 ⁽⁴⁾ 03/22/2026	Common Stock	11,215	\$0	36,575	D



TABLE II - RESTRICTED STOCK UNITS (RSUS)



AWARDED

DIRECT OWNERSHIP

TIME-BASED VESTING

TRIGGERING EVENT

% OVER TIME

CODES = A & M & S

NO EXERCISE PRICE / NO
EXPIRATION DATE

RSU=FUTURE WEALTH EVENT

TABLE II - PERFORMANCE STOCK UNITS (PSU)

Criteria:

- Company Goals
 - Less on Personal
 - 100% or some %
 - Proxy Statement



Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	04/02/2025		D ⁽¹⁾⁽²⁾		131,512	D	\$132 ⁽¹⁾⁽²⁾	0	D	

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (right to buy)	\$26.58	04/02/2025		D			20,000	(3)(4)	06/15/2025	Common Stock	20,000	(3)(4)	0	D	
Stock Option (right to buy)	\$38.35	04/02/2025		D			20,000	(3)(4)	06/13/2026	Common Stock	20,000	(3)(4)	0	D	
Stock Option (right to buy)	\$12.45	04/02/2025		D			20,000	(3)(4)	06/26/2027	Common Stock	20,000	(3)(4)	0	D	
Stock Option (right to buy)	\$43.45	04/02/2025		D			20,000	(3)(4)	06/20/2031	Common Stock	20,000	(3)(4)	0	D	
Stock Option (right to buy)	\$55.48	04/02/2025		D			16,757	(3)(4)	06/08/2032	Common Stock	16,757	(3)(4)	0	D	
Stock Option (right to buy)	\$63.79	04/02/2025		D			7,009	(3)(4)	06/22/2033	Common Stock	7,009	(3)(4)	0	D	
Stock Option (right to buy)	\$67.77	04/02/2025		D			4,322	(3)(4)	06/13/2034	Common Stock	4,322	(3)(4)	0	D	
Restricted Stock Units	(5)	04/02/2025		D			2,951	(6)	(7)	Common Stock	2,951	(6)	0	D	



PSU EXAMPLE

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price Derivative Security (Instr. 5)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Performance Stock Unit ⁽¹⁾	(2)	03/05/2025		A		9,054 ⁽³⁾		(3)	(3)	Common Stock	9,054	\$0
Performance Stock Unit ⁽¹⁾	(2)	03/05/2025		A		64,786 ⁽⁴⁾		(4)	(4)	Common Stock	64,786	\$0

Explanation of Responses:

- The Reporting Person has irrevocably elected to satisfy all withholding tax due upon the delivery of shares by authorizing Etsy, Inc. to withhold a sufficient amount of shares to satisfy such tax.
- Units correspond 1-for-1 with common stock.
- Represents the number of units earned under a performance-based restricted stock unit ("PSU") award based on the Issuer's satisfaction of certain performance criteria of the award. Each PSU represents the contingent right to receive one share of common stock of the Issuer. In light of the performance-based conditions of the PSU award, such shares were not reportable under Section 16 until the performance conditions were certified by the Issuer's Compensation Committee as achieved (which occurred on March 5, 2025). The earned shares will vest in full on April 1, 2025, subject to the Reporting Person remaining continuously employed through the vesting date.
- Represents the number of shares earned under a PSU award based on the Issuer's satisfaction of certain performance criteria of the award. Each PSU represents the contingent right to receive one share of common stock of the Issuer. In light of the performance-based conditions of the PSU award, such shares were not reportable under Section 16 until the performance conditions were certified by the Issuer's Compensation Committee as achieved (which occurred on March 5, 2025). The earned shares will vest in equal installments on each of April 1, 2025 and April 1, 2026, subject to the Reporting Person remaining continuously employed through each vesting date. The earned shares represent 75% of the total number of shares subject to the PSU award. The remaining 25% of the shares subject to the PSU award will be earned upon the satisfaction of additional performance vesting criteria through the next performance period.

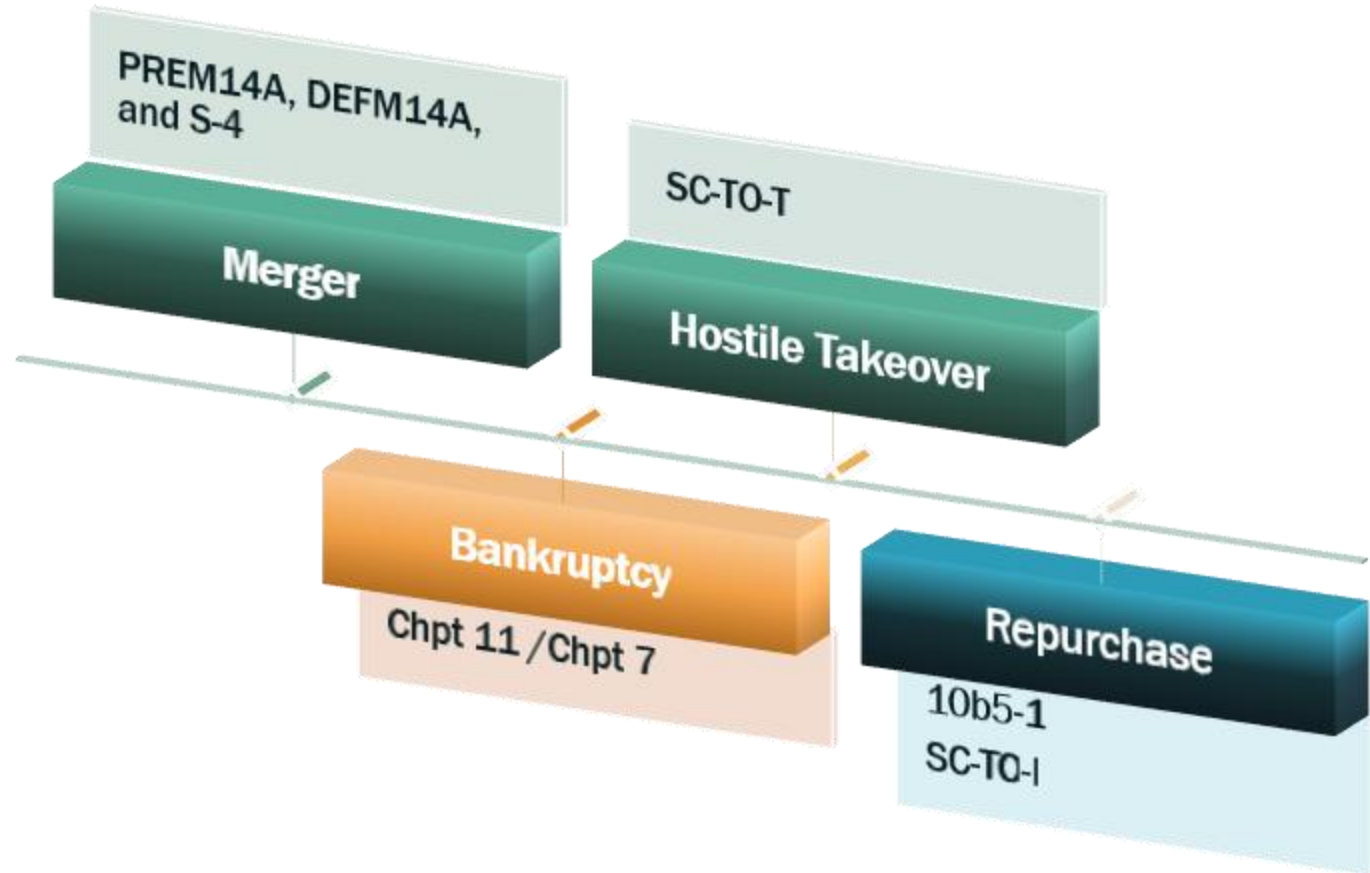


FORM 4 - THE BIG "D"

Windfall \$\$\$\$

Exchange. 1:1

Forfeit?



WARNING SIGNALS - TAKEOVERS & FIGHTS

DFAN14A

- Change Board or Executives
- Change in Control

PX14AG6

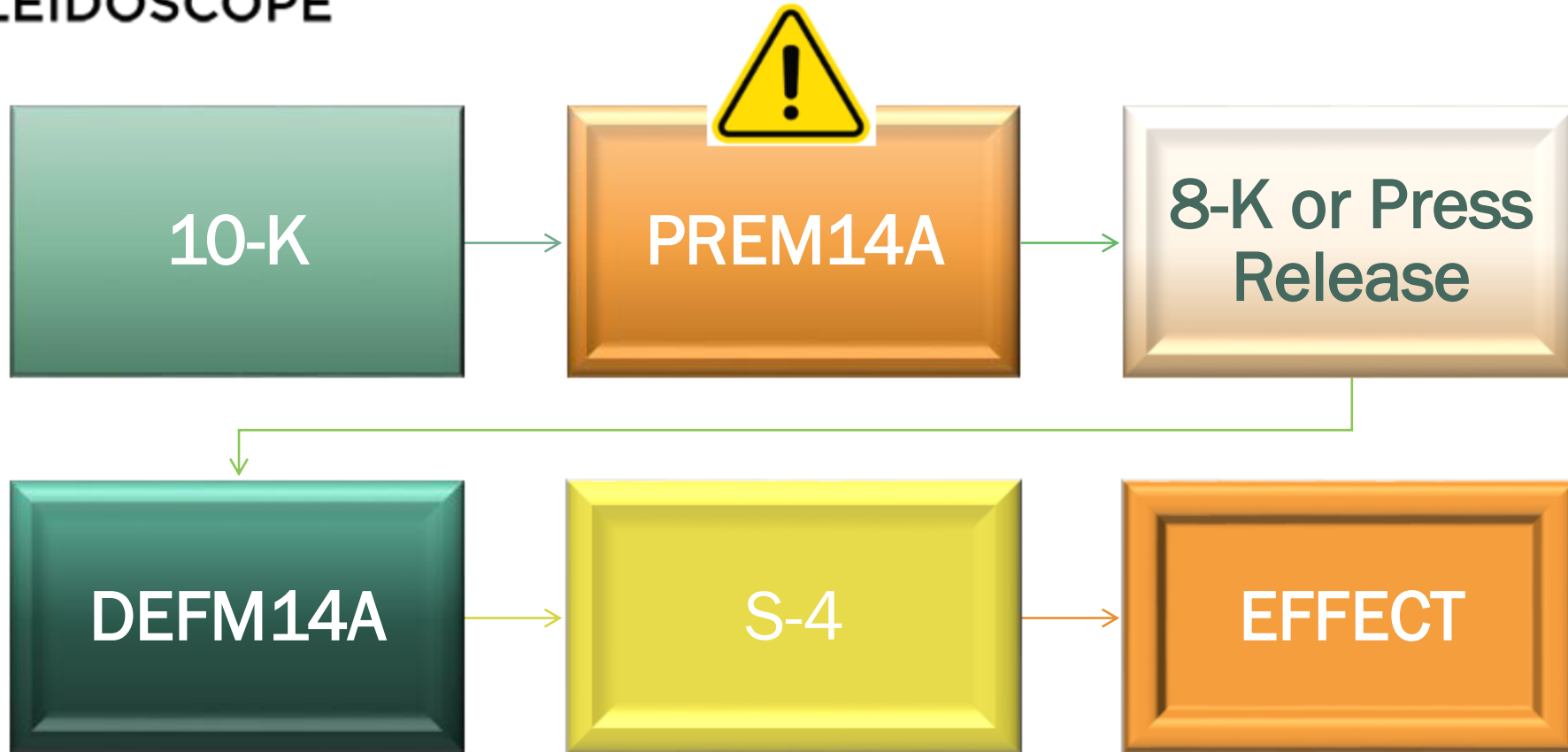
- Policy Change
- Climate Change
 - DEI
- Social Justice

SC-TO-T

- Purchase ALL shares for **CASH**
- Controlling Interest



KALEIDOSCOPE



MERGER SEQUENCE

Average: 6-12 Months



INSIDER RESEARCH PATH?

One at a time?

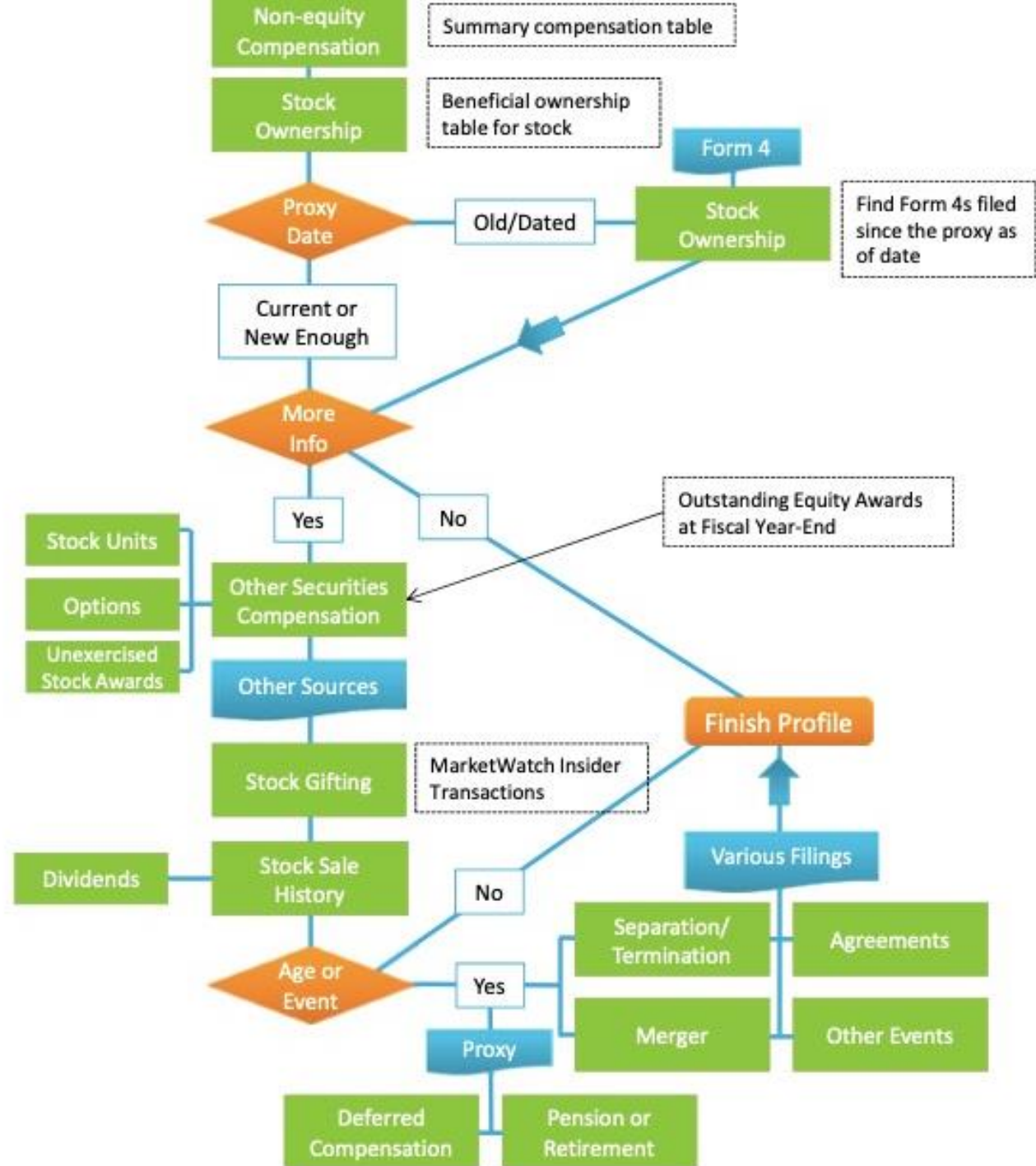
Web surfing ?

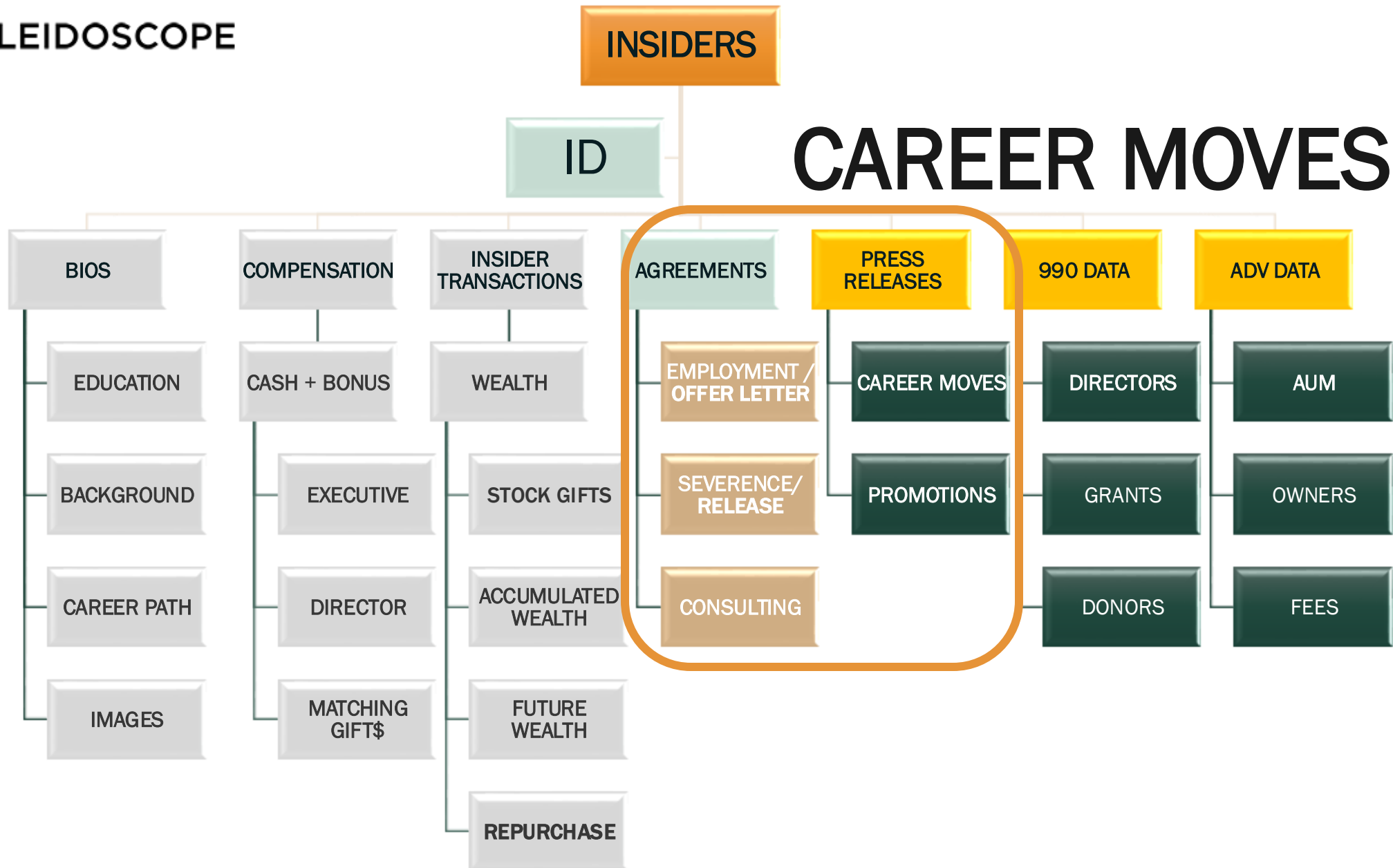
Cut and paste?

Manual calculations?

Missing news?

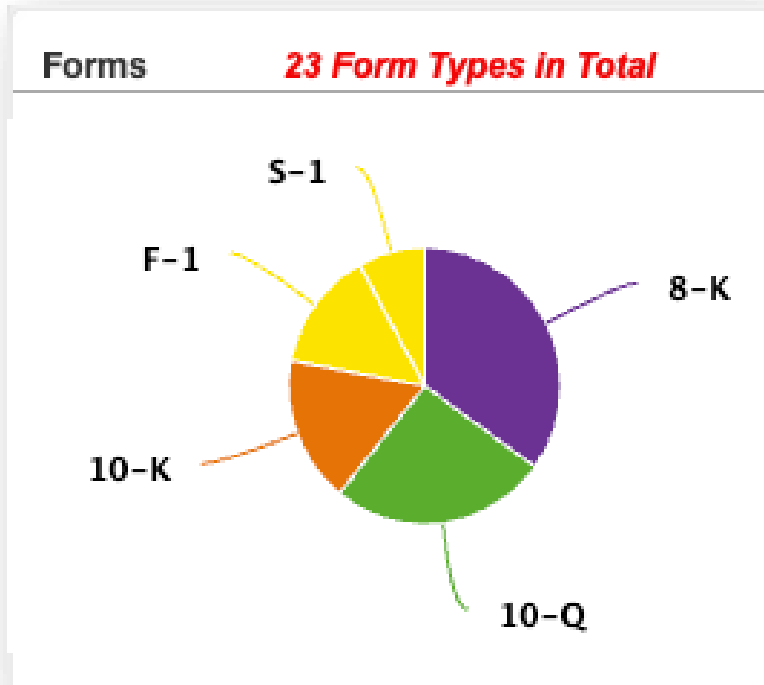
Firehose alerts?





SEC FILINGS WITH INSIDER AGREEMENTS

Key Form Types



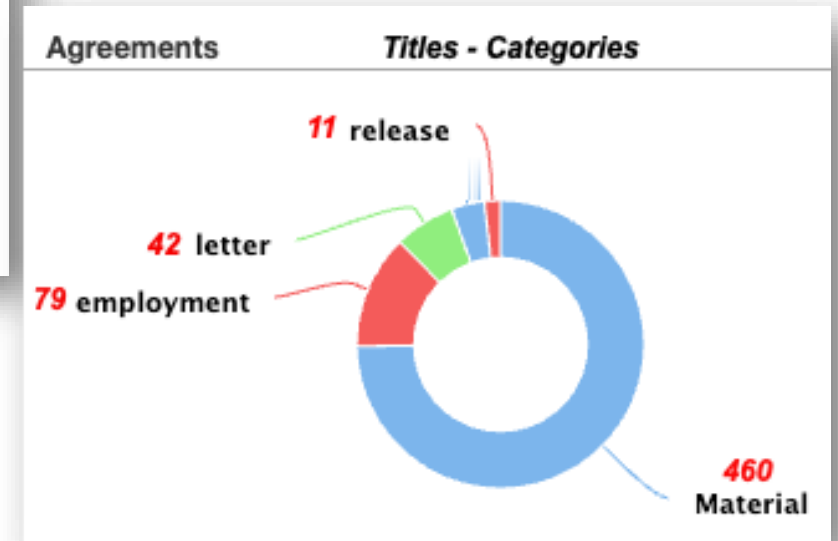
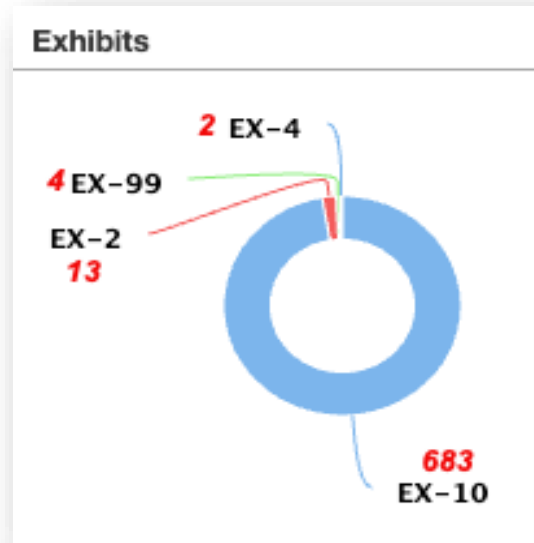
Area	Detail
Position	President and Chief Executive Officer, reporting to the Board of Directors. Includes Board membership nomination.
Start Date	April 24, 2025
Base Salary	\$750,000 annually
Annual Bonus	Target 200% of base salary. \$850,000 minimum payout for fiscal year 2025.
Long-Term Incentive	750,000 RSUs (250,000 vesting in one year, 500,000 vesting over two years). 900,000 PSUs tied to performance goals.
Term Length	Initial Term is from the start date until the third anniversary of the start date. Can be mutually extended for another six months.
Work Location	Remote work authorized from Dallas, Texas, with occasional travel to the Englewood, Colorado headquarters.
Completion Bonus	Opportunity for bonus equal to the yearly base salary if Pace helps find a successor for the CEO position between the second anniversary and the end of the term or six months after.
Severance	2x Base Salary, Pro-rata Annual Bonus, COBRA payments (18 months) if terminated without cause or resigns for good reason. Replaced with Executive Severance Plan if eligible.
Restrictive Covenants	Confidentiality, 24-month Non-Compete (burger-focused restaurants in US, Alberta, British Columbia and certain casual dining chains), 24-month Non-Solicitation, and Non-Disparagement.
Legal Fees Reimbursement	Up to \$10,000
2026 RSUs	If (x) a Change in Control (as defined under the LTIP) occurs and (y) your employment with the Company is terminated without Cause or you resign for Good Reason following such Change in Control, in each case, prior to the grant date of the 2026 RSUs, then in lieu of granting you the 2026 RSUs, the Company shall be required to provide you with a cash payment equal to the value of such 2026 RSUs (with the value determined as of the date of such termination of employment).

EXHIBIT # INSIDER AGREEMENTS

Exhibit # 10.x

Key Exhibits & Titles

- Employment / Offer Letter
- Severance
 - Settlement
 - Separation
 - Release
- Interim - Consulting



PRESS RELEASES

West Announces Leadership Changes

Thu, 24 Apr 2025 06:10:00 -0400 | PRNewswire

- Bernard
Shane
- Shane Campbell has been appointed to serve as Senior Vice President, Chief Proprietary Segment Officer, effective May 5, 2025.

EXTON CFO Transition

innovat
succes

"On behalf of all of us at West, I want to thank Bernard for his strong contributions and leadership over the past seven years. He has been an invaluable partner and advisor to me and the entire leadership team," said Eric M. Green, President, Chief Executive Officer, and Chair of the Board. "Bernard also played a critical role along with the Finance and Accounting departments in the successful completion of the merger with West. His leadership and dedication have been an honor to serve as the CFO of West, making a positive difference on patients' lives," Mr. Birkett said. "West has exceptional people, and I want to thank the entire team for all that we have accomplished together."

Chief Proprietary Segment Officer Appointment

Mr. Campbell joins West from Carlisle Companies Inc., where he served as Chief Commercial Officer of the Construction Materials business. As an accomplished leader, Mr. Campbell brings extensive global management experience across operations, engineering, commercial and strategy. Over a 20-year career at DuPont, Mr. Campbell served in a number of senior global leadership roles focused in the areas of elastomers, polymers, building materials, chemicals, packaging and safety.

"We are thrilled to welcome Shane to our team at West," said Mr. Green. "His extensive industry experience and strategic vision will be invaluable as we continue to drive our Proprietary Products strategy and ensure West achieves its long-term growth and success."

Career Moves

- Marketing Fluff
- "Quotes"
- Tiny Background
- About Company

WHERE'S THE BEEF?

MORE FACTS IN FILINGS

Company	CIK	Form	Agreement	Date
WEST PHARMACEUTICAL SERVICES INC	105770	8-K Items: 5.02 9.01	8-K - WEST PHARMACEUTICAL SERVICES INC::EX-10.1	2025-04-24
Evolv Technologies Holdings, Inc.	1805385			
CervoMed Inc.	1053691			

• Compensation:

- Base salary: \$600,000 annually
- Target bonus: 75% of base salary
- LTI equity award: \$1,000,000 (50% performance stock units, 25% restricted stock units, 25% stock options)
- Sign-on bonus: \$100,000 (subject to 24-month repayment)

Ownership Guidelines, Tier 2 Change-in-Control Agreement.

Change-in-Control Agreement Highlights

- Termination Benefits: Entitled to benefits if terminated within two years after a Change in Control or after

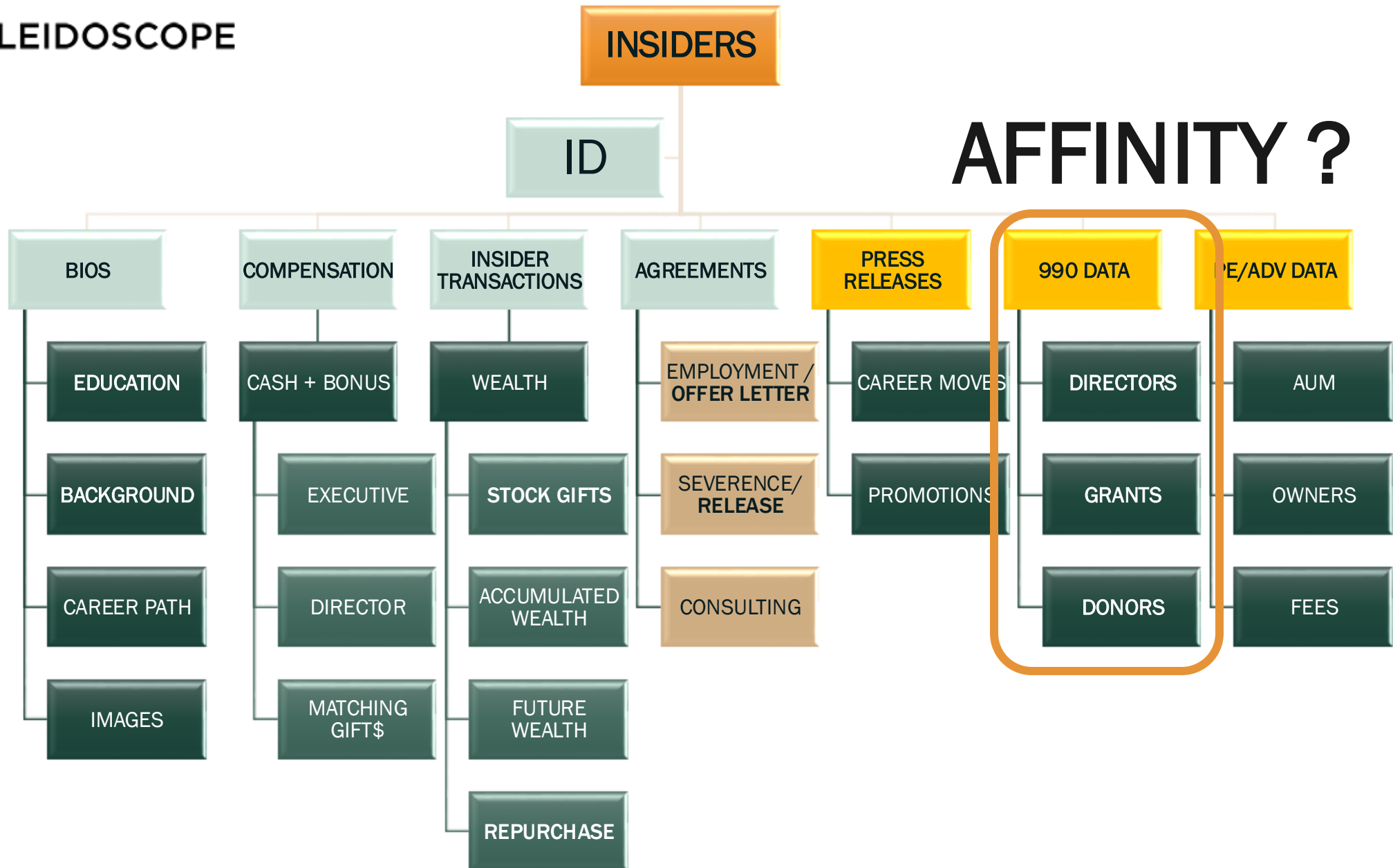
- Severance: Two times the sum of the highest annual base salary and target short-term incentive compensation.

- Equity Awards: Full vesting of unvested equity awards.
- Non-Competition: Two-year non-compete clause.

Stock Ownership Guidelines Highlights

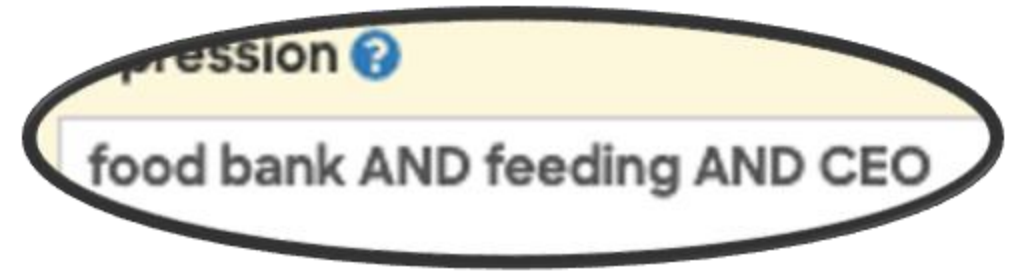
- CEO: 6x base salary
- CFO: 3x base salary
- Direct reports to CEO: 2x base salary
- Other Section 16 Officers: 1x base salary
- Other key leaders: 1x base salary
- Timeframe: Five years to meet minimum ownership.
- Compliance: Hold 50% of net shares from vesting/exercise if minimum not met.

8-Ks Deliver More Facts
No Duplication





AFFINITY & PROPENSITY NEWS



Tony Robbins and Feeding America®

1 Billion Meals Challenge to End Hunger in the U.S.

New Campaign Builds on Mr. Robbins' 1 Billion Meals Challenge Completed Two Years Early With a Bold 10 Year Commitment to Deliver the Next Billion Meals CHICAGO April 21 2025 PRNewswire Building on the

Blurbs (10)

In partnership with Feeding America , Mr. Robbins ' The Next Billion Meals Challenge ' initiative to provide an additional one billion meals to individuals and families experiencing food insecurity .

In 2014 , Mr. Robbins partnered with Feeding America , which was successfully completed in 2016 .

The Next Billion Meals Challenge will continue Mr. Robbins ' partnership with Feeding America while also engaging others he supports , such as FarmLink and Sharing Excess .

Mr. Robbins ' financial contributions support these organizations , which are committed to ending hunger and improving the lives of those in need . Feeding America .

* Tony Robbins continues to be an extraordinary partner in our mission to end hunger and improve the lives of those in need . Claire Babineaux - Fontenot , CEO of Feeding America .

[View ALL Blurbs]

* \$1 helps provide at least 10 meals secured by Feeding America on behalf of partner food banks . Media Contacts : Jennifer Connelly jconnelly@jconnelly .

com (646) 922-7755 For Feeding America : Emily JamesEjames@feedingamerica .

About Feeding America : Feeding America is committed to an America where no one is hungry .

Donates \$1 Million to Los Angeles Regional Food Bank

Recovery Efforts

Dave continues long standing commitment to charitable giving surpassing \$21 million in lifetime contributions. LOS ANGELES April 16 2025 PRNewswire Dave Inc. Dave or the Company

Blurbs (12)

- Dave Inc. (" Dave " or the " Company ") (NASDAQ : DAVE) , one of the nation 's leading neobanks Los Angeles Regional Food Bank to support community r

This donation was made pursuant to Dave 's long - standing partnership with Feeding America ® , through which the Company has contributed more than \$21 million over the past five years to help address food insecurity nationwide .

Giving back has been in the Company 's DNA since inception and we are committed to supporting causes aligned with our mission . Jason Wilk , Founder and CEO of Dave . "

We are deeply grateful for this extraordinary support from Dave , " said Michael Flood , President and CEO , Los Angeles Regional Food Bank .

About the Los Angeles Regional Food BankThe Los Angeles Regional Food Bank (the " Food Bank ") has been mobilizing resources to fight hunger in Los Angeles County for over 50 years .



AFFINITY FACTS IN FILINGS

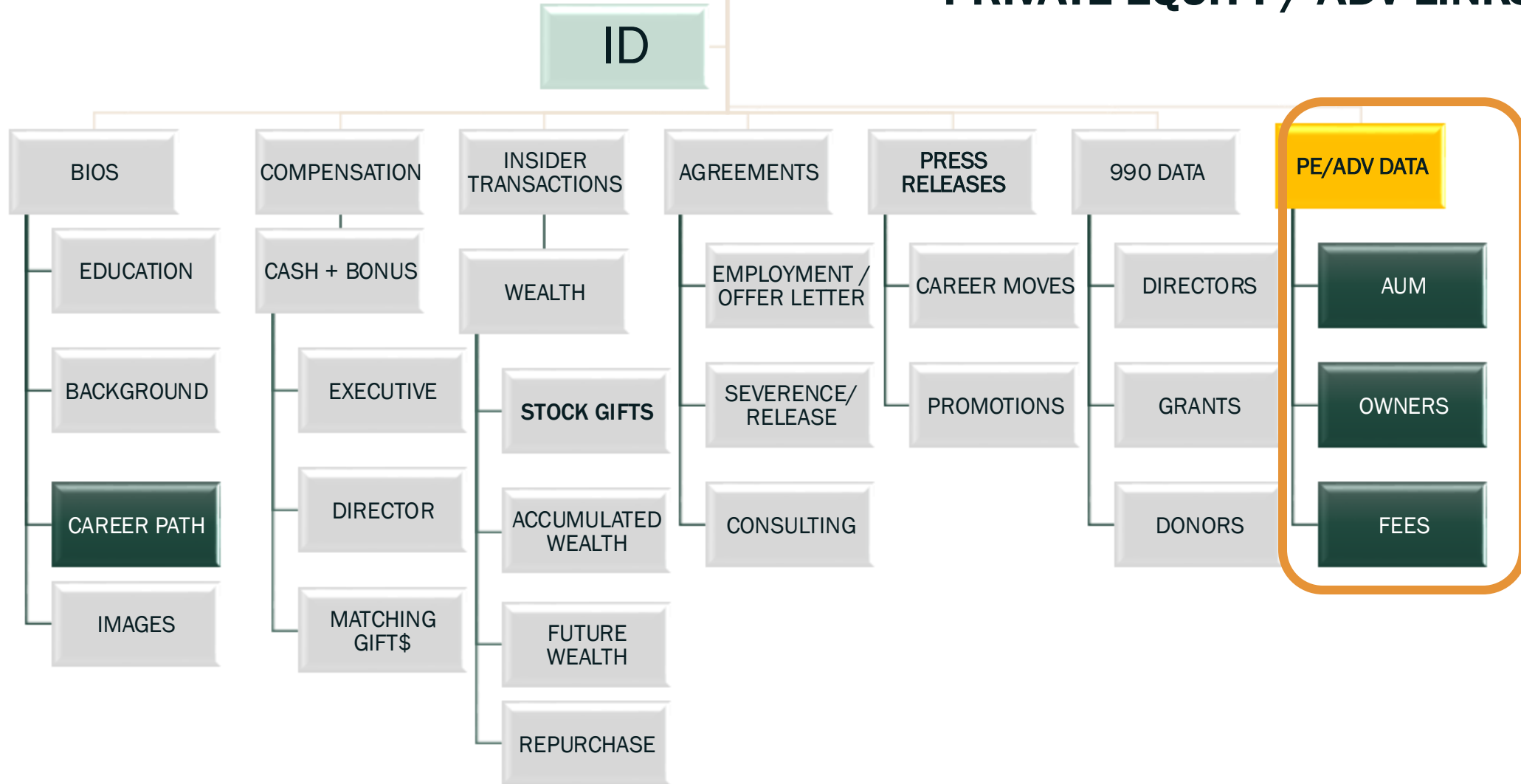
R. Arthur “Art” Seaver, Jr., 60, Class I director, has served as our Chief Executive Officer since 1999. He has over 37 years of banking experience. From 1986 until 1992, Mr. Seaver held various positions with The Citizens & Southern National Bank of South Carolina. From 1992 until February 1999, he was with Greenville National Bank, which was acquired by Regions Bank in 1998. He was the senior vice president in lending and was also responsible for managing Greenville National Bank’s deposit strategies prior to leaving to form the Bank. Mr. Seaver is a 1986 graduate of Clemson University with a bachelor’s degree in financial management and a 1999 graduate of the BAI Graduate School of Community Bank Management. He currently serves on the Board of Directors for the Phillis Wheatly Community Center in Greenville, South Carolina. He previously served as a member of the Community Depository Institutions Advisory Council of the Federal Reserve Bank of Richmond. He is a past member of the board of the St. Francis Foundation, past chairman of the Board for the South Carolina Bankers Association and past chair of the United Way of Greenville County Board of Trustees. In addition, he has worked with organizations including the United Way of Greenville County, Leadership Greenville, the Greenville Chamber of Commerce, the South Carolina Network of Business and Education Partnership, Junior League, Junior Achievement, the Greenville Convention and Visitors Bureau, the United Way, and the First Presbyterian Church in Greenville. Mr.

Seaver R Arthur JR	SFST Southern First Bancshares Inc. CEO Director Chief Executive Officer Officer	Clemson University bachelor's degree financial management	\$31,125 2024-03-21	97,654 D 0 I	 
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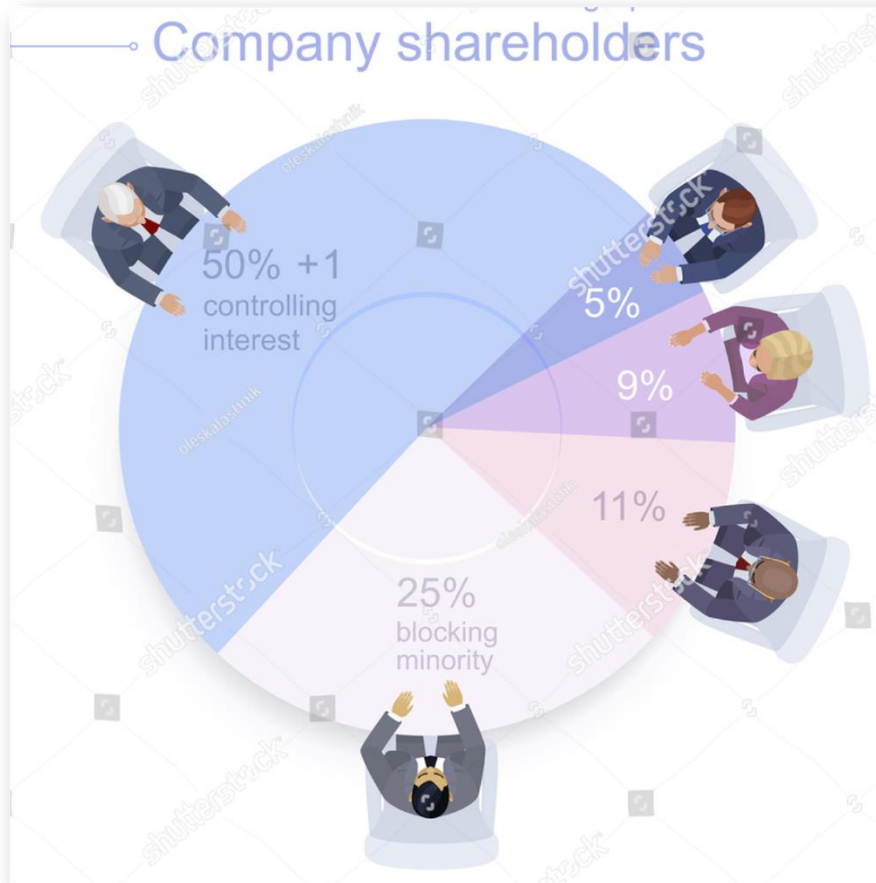
Foundation	EIN	Industry	Year	Grants/Grants Amount
JUNIOR ACHIEVEMENT	720595081	International Economic Development	2022	-
THORNBLADE CLUB INC	570892854	Amateur Sports	2023	-
UNITED WAY OF GREENVILLE COUNTY INC	570362066	Federated Giving Programs	2023	93 / \$3,649,160
GREENVILLE CHAMBER OF COMMERCE	370810465	Chambers of Commerce & Business Leagues	2023	-
ST FRANCIS FOUNDATION	346557566	Private Grantmaking Foundations	2023	1 / \$11,000
FIRST PRESBYTERIAN CHURCH	256875685	Protestant	2020	2 / \$24,924

INSIDERS

PRIVATE EQUITY / ADV LINKS



LINKS TO PRIVATE EQUITY



PRE-IPO

- VC & PE Private Placements
- Series (A-F) Funding
- Press Releases

POST IPO

- 10% -25% Owners
- Investment Advisors - GPs & LPs
- 13D, 13G, Proxy

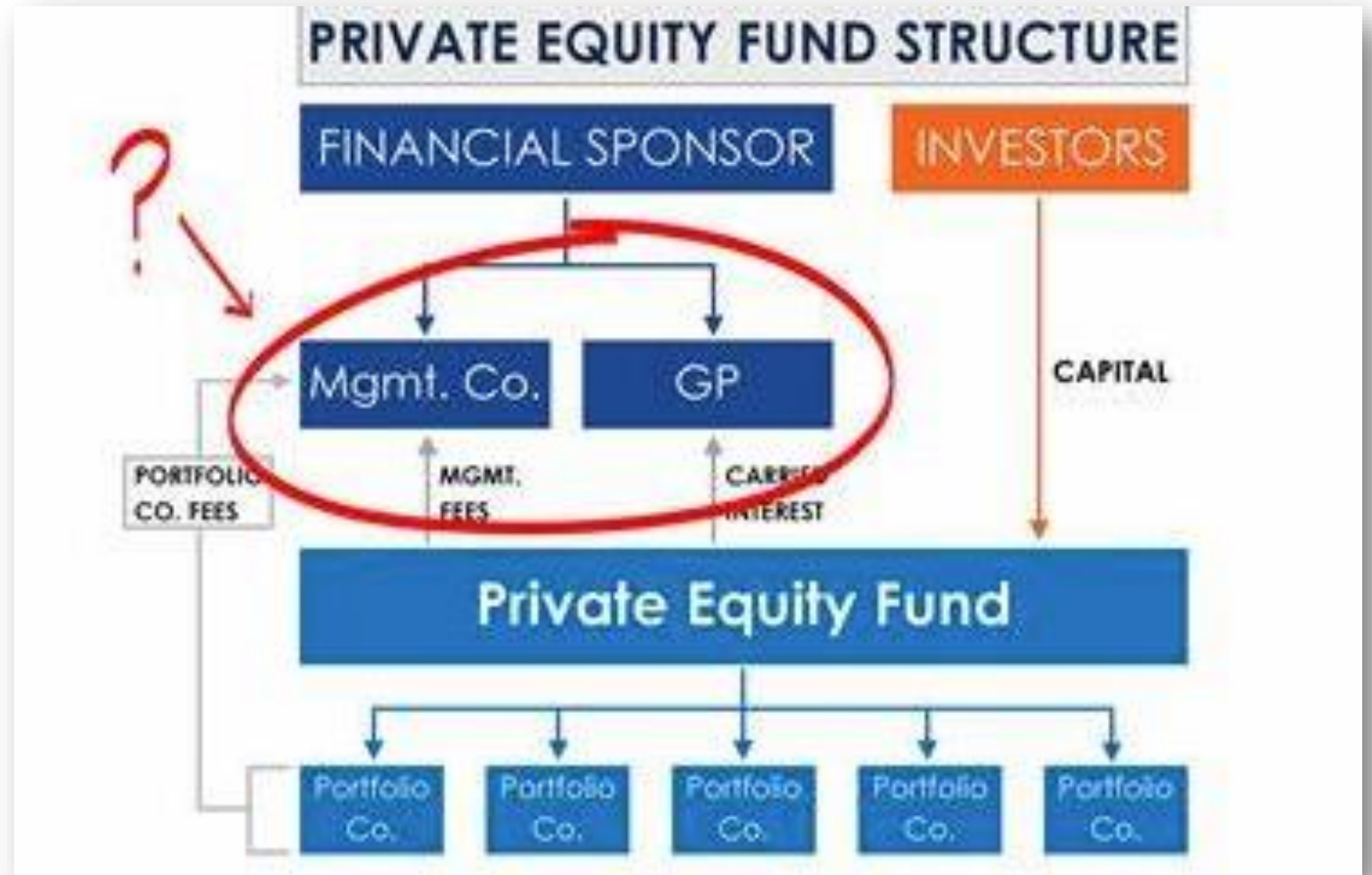
ADVISERS & PE RELATIONSHIP

Advisory Company files the ADV filing

- Cambridge Associates
 - May have other sub-advisory companies
 - Limited Partners
 - General Partners
 - Ownership Roles

Investors – Clients

Fees



PE - ADVS

TYPES OF FEES

- 6 Basic Fee Types –
 - **Part 1A** Item 5E
- Details in **Part 2A – Brochure – Item 5**
 - Dense Text
 - Lots of Caveats
- Exact Calculation
Requires a X-Ref to
 Client Types

5E - Compensation Arrangements

★ A percentage of <u>assets under your management</u>	Y
<u>Hourly charges</u>	Y
<u>Subscription fees</u> (for a newsletter or periodical)	Y
<u>Fixed fees</u> (other than subscription fees)	Y
<u>Commissions</u>	N
★ <u>Performance-based fees</u>	Y
Other	

ADV's FEE AVERAGES

- 5 Common Fee Types –
 - Found in **Part 1A Item 5E**
 - Management Fee**
- Details in **Part 2A – Brochure – Item 5**
 - Outlines other Fees
 - Based on Client Type
 - Dense Text
 - Lots of Caveats
 - Similar in Structure, tailored to each Advisory filer.



AUM Management Fees

- Range: 0.5% to 2% of AUM
- **Avg: About 1% per year**
- Clients: High Net Worth



Hourly Fees

- Range: \$150 to \$400 per hour
- **Avg: \$250 per hour**
- Clients: financial planning, project-based



Flat or Fixed Fees

- Range: \$1000 to \$7500 per plan
- **Avg: ~\$2500 per plan**
- Clients: retirement, tax strategy, investment planning



Performance-Based Fees

- Percent of the Investment Gains
- **Range: 10% to 20%**
- Clients: Hedge Funds or Private Equity Assets



Retainer Fees

- **Range: \$2000 to \$20,000 annually**
- Individual agreements
- Client: Ongoing support not tied to AUM or hourly rates

CALCULATING/ESTIMATING

5F - Regulatory Assets Under Management

Do you provide continuous and regular supervisory or management services to securities portfolios? Y

	U.S. Dollar Amount	Total Number of Accounts
Discretionary:	\$85,911,452,755.00	191.0
Non-Discretionary:	\$196,053,750,124.00	365.0
Total:	\$281,965,202,879.00	556.0

AUM Management Fees

- Range: 0.5% to 2% of AUM
- Avg: About 1% per year
- Clients: High Net Worth



DECODING THE SEC'S ALPHABET SOUP FOR DOLLARS



While you're waiting, complete your
session evaluations in the mobile app!

LUNCH & LEARN - FALL 2025 WEBINARS

SEPT 17, 2025
12 NOON CT
TOPIC: PRIVATE EQUITY

OCT 15, 2025
12 NOON CT
TOPIC: The BIG "D"

NOV 19, 2025
12 NOON CT
TOPIC: PATH EXPLORER.AI



THANK YOU!

Please complete your session
evaluations in the mobile app.

