

BROCHURE SUPPLEMENT FOR LESA SROUFE

PART 2B OF FORM ADV

Lesa Sroufe & Company 1200 Fifth Ave, Suite 1200 Seattle WA 98101
206-838-8383 www.sroufeco.com

This brochure supplement provides information about Lesa Sroufe that supplements the Lesa Sroufe & Co. brochure. You should have received a copy of that brochure. Please contact Shaun Corry at 206-838-8385 if you did not receive firm's brochure or if you have any questions about the contents of this supplement.

Part 2B for Form ADV: Brochure Supplement for: Lesa Sroufe

March 31, 2021

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EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Lesa Sroufe, President

YOB 1957

Formal Education:

Bachelor of Arts, Business, University of Washington, 1980

Business Background:

2004 to Present, Lesa Sroufe & Company, President

2000-2003, Wells Fargo & Co., Private Asset Management, Director of Research

1998-2000, Ragen MacKenzie, Chairman & CEO

1988-1998, Ragen MacKenzie, Research Director

1980-1988, Foster & Marshall Inc., Securities Analyst

Professional Designations Held:

Chartered Financial Analyst¹, 1985-Present

Other Business Activities:

CFA Society of Seattle/ Association of Investment Management & Research, Member (1985-Present)

- Responsibilities: None
- Time devoted: Approximately 2 hours per month
- Compensation: \$0.00
- Potential Conflicts of Interest with Lesa Sroufe & Company: None

Achievement Rewards for College Scientists (ARCS), Member (2003-Present)

- Responsibilities: Board Member & Co-VP Finance (2015-Present)
- Time devoted: Approximately 8 hours per month
- Compensation: \$0.00
- Potential Conflicts of Interest with Lesa Sroufe & Company: None

Additional Compensation:

Ms. Sroufe is only compensated by her Lesa Sroufe & Company salary, year-end payout and profit-sharing. Ms. Sroufe is not compensated by anyone who is not a client of Lesa Sroufe & Company.

Supervision:

The firm's Chief Compliance Officer (Shaun Corry) is responsible for supervising Ms. Sroufe's advisory activities on behalf of Lesa Sroufe & Company. Ms. Corry reviews each client's investment advisory agreement, reviews meeting notes, and oversees the deployment of any client assets for investment purposes. If you have any questions about the supervision of Ms. Sroufe, please contact Shaun Corry at (206) 838-8385 or sc@sroufeco.com.

¹ The Chartered Financial Analyst (CFA) charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations which takes most candidates between two and five years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

BROCHURE SUPPLEMENT SHAUN CORRY

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Part 2B for Form ADV: Brochure Supplement for: Shaun E. Corry

March 31, 2021

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EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Shaun E. Corry, Chief Compliance Officer

YOB 1959

Formal Education:

Bachelor's in Business Administration, Accountancy Major, University of Notre Dame, 1981

Master's in Business Administration, Finance Concentration, Seattle University, 1989

Business Background:

2006 to Present, Lesa Sroufe & Company, Chief Compliance Officer and Portfolio Analyst

1987-2006, NASD (National Association of Securities Dealers), Senior Compliance Specialist

1986-1987, Safeco Insurance Company, Securities Portfolio Accountant

1981-1986, Scott Paper Company, Cost Accountant

Other Business Activities:

Seattle Chamber Music Society Board Member, Member (2006-Present)

- Responsibilities: Special Events
- Time devoted: 10 hours/mo
- Compensation: \$0.00
- Potential Conflicts of Interest with Lesa Sroufe & Company: None

Habitat for Humanity (Resource Development Board Member, winner of 2019 Volunteer Excellence)

- Responsibilities: Fundraising ideas/events
- Time Devoted: 6 hours /mo
- Compensation: \$0.00
- Potential Conflicts with Lesa Sroufe & Company: None

Seattle Tennis Club, Finance Committee

- Responsibilities: Monthly Meetings and voting
- Time Devoted: 5 hours/mo.
- Compensation: \$0.00
- Potential conflicts with Lesa Sroufe & Co.: None

Seattle Arboretum Foundation

- Responsibilities: Monthly Meetings, Fundraisers, Voting
- Time Devoted: 6 hours/mo.
- Compensation: \$0.00
- Potential Conflicts with Lesa Sroufe & Co. : None

Additional Compensation:

Ms. Corry is only compensated by her Lesa Sroufe & Company salary, year-end payout and profit-sharing. Ms. Corry is not compensated by anyone who is not a client of Lesa Sroufe & Company.

Supervision:

The firm's President/CIO, Lesa Sroufe, is responsible for supervising Ms. Corry's advisory activities on behalf of Lesa Sroufe & Company. Ms. Sroufe reviews each client's investment advisory agreement, reviews meeting notes, and oversees the deployment of any client assets for investment purposes. If you have any questions about the supervision of Ms. Corry, please contact Lesa Sroufe at (206) 838-8384.