

HEALTH DISCIPLINE
CLIENT RISK ASSESSMENT FORM – Page 1

Client Name: Predictive Resources LLC
Lead Consultant: Shea Parkes **Principal:** Shea Parkes

Type of Client Entity

- | | | |
|--|---|--|
| Governmental/public (Type: _____) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Core business is risk-taking (Type: _____) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Stock company or other for-profit: | | |
| Publicly traded (Stock exchange listing: _____) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Subsidiary (Parent: _____) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Other (Description: _____) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Non-profit or other (Type: Private Consulting _____) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |

Screening and Risk Assessment Questions

- | | | | |
|--|---|--|--------------------------------|
| (a) Is there evidence of a questionable background or history associated with either the owners (for stock companies, other than publicly traded corporations) or the management/trustees? This includes criminal or other questionable backgrounds, association with prior bankruptcies, history of being sued in connection with business / financial practices, or lack of experience or competence in the field. | <input type="checkbox"/> NA ⁽¹⁾ | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Other |
| • Is the company currently experiencing bad publicity? | | | |
| (b) Financial stability and capitalization: | <input type="checkbox"/> NA ⁽²⁾ | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Other |
| • Existing entity: Has the company been financially unstable, does it currently operate with inadequate capital/surplus, or can it otherwise be reasonably expected to face a precarious financial position? | | | |
| – Is the company growing quickly? | | | |
| – Is the company in merger talks? | | | |
| – Is the company expanding into a new market or offering a new product line? | | | |
| • Start-up: Is the company inadequately capitalized or can it otherwise be reasonably expected to face a precarious financial position? | | | |
| (c) Is the entity currently, or has it been within the past five years, under court or regulatory oversight? | <input type="checkbox"/> NA ⁽²⁾ | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Other |
| (d) If the work involves an actuarial statement of opinion for a regulatory filing, did the previous actuary depart involuntarily or indicate any concerns regarding reserve levels, process, etc.? | <input checked="" type="checkbox"/> NA ⁽³⁾ | <input type="checkbox"/> No | <input type="checkbox"/> Other |
| (e) Is there a history of suing professionals or evidence of litigiousness, based on the information obtained through client screening or conflict checking? | <input checked="" type="checkbox"/> No | | |
| (f) Are there any concerns regarding the circumstances surrounding the contact with the potential client? | <input checked="" type="checkbox"/> No | | |
| (g) Are Milliman's contacts at a lower level in the organizational structure and require significant oversight from other individuals higher up in the company structure? | <input checked="" type="checkbox"/> No | | |
| (h) Does the client have unreasonable expectations concerning deadlines, data quality, and use of work product? | <input checked="" type="checkbox"/> No | | |
| (i) Are there any unusual balance sheet or income statement items that are of concern? | <input checked="" type="checkbox"/> No | | |

(1) Mark "NA" only if the client being screened is a governmental / public entity.

(2) Mark "NA" only if the core business of the client being screened is *not* risk-taking.

(3) Mark "NA" only if work does not involve an actuarial statement of opinion for a regulatory filing.

FORWARD COPY OF SIGNED FORM TO CORPORATE LEGAL STAFF
(include copy of terms and conditions, if a "Conditioned Acceptance")