

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: _____)

☐ Yes ☒ No

Core business is risk-taking (Type: _____)

☐ Yes ☒ No

Stock company or other for-profit:

Publicly traded (Stock exchange listing: _____)

☐ Yes ☒ No

Subsidiary (Parent: _____)

☐ Yes ☒ No

Other (Description: _____)

☐ Yes ☒ No

Non-profit or other (Type: Private Consulting)

☒ Yes ☐ 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.

☐ NA⁽¹⁾ ☒ No ☐ Other

- Is the company currently experiencing bad publicity?

- (b) Financial stability and capitalization:

☐ NA⁽²⁾ ☒ No ☐ 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?

☐ NA⁽²⁾ ☒ No ☐ 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.?

☒ NA⁽³⁾ ☐ No ☐ Other

- (e) Is there a history of suing professionals or evidence of litigiousness, based on the information obtained through client screening or conflict checking?

☒ No ☐ Other

- (f) Are there any concerns regarding the circumstances surrounding the contact with the potential client?

☒ No ☐ Other

- (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?

☒ No ☐ Other

- (h) Does the client have unreasonable expectations concerning deadlines, data quality, and use of work product?

☒ No ☐ Other

- (i) Are there any unusual balance sheet or income statement items that are of concern?

☒ No ☐ Other

- (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")