

Part 2B –  
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Investment Adviser Brochure Supplement  
March 2021

Supervised Persons:

Richard H. Parry  
Douglas A. Haws  
Nicholas J. Pointer  
Cory J. Robinson  
Jeremy H. Wilcox  
Virginia (Jenny) A. Davis  
Steven G. Schenk

This Brochure Supplement provides information about the Firm's Supervised Persons that supplements the Tom Johnson Investment Management, LLC (TJIM) Brochure. You should have received a copy of that Brochure. Please contact us via our web site [www.tjim.com](http://www.tjim.com) or contact Lori Calfy if you did not receive TJIM's Brochure or if you have any questions about the contents of this supplement.

Additional information about the Firm's Supervised Persons is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2: Education Background and Business Experience**

Tom Johnson Investment Management LLC (TJIM) requires its portfolio managers to have a college degree and at least two (2) years of experience before they will be able to perform portfolio management duties. Portfolio Managers seeking to become full voting members of the investment committee will be encouraged to continue their education and to become Chartered Financial Analyst charterholders (CFAs). Please see below for the biographies of TJIM's Investment Team professionals.

**Richard H. Parry, CFA** – Mr. Parry has been the President and Chief Investment Officer of TJIM since 2003. He began his investment career in 1981, working with other TJIM principals in the Trust Investments department of First National Bank and Trust Company which later became First Investment Management Corporation (FIMCO), a subsidiary of First Interstate Bank of Oklahoma City. Other work experience includes being a member of the Executive Committee Planning and Advisory Staff in 1981 and Staff Auditor in 1980 for First National Bank and Trust Company of Oklahoma City. He received his Bachelor of Science Degree in Business from the University of Colorado with an emphasis in international business and his MBA from Oklahoma City University. He is a CFA charterholder, past adjunct Professor for Oklahoma City University and past President of the Oklahoma Society of Financial Analysts. Currently, he serves on the Board of Directors for the Oklahoma Medical Research Foundation, Oklahoma City University, and is a Director for The Economic Club of Oklahoma and for Rotary Club 29 of Oklahoma City. He is also an alumnus of Leadership Oklahoma City.

**Douglas A. Haws, CFA** – Vice President and Portfolio Manager. Mr. Haws joined Tom Johnson Investment Management, LLC in October 1994 as Trader and Investment Officer and became Vice President and Portfolio Manager in 1997. Prior to TJIM, Mr. Haws worked as an Internal Auditor for Union Pacific Corporation in Omaha, Nebraska. As staff auditor, his responsibilities included comprehensive audits of both the financial and operational aspects of all corporate subsidiaries. Mr. Haws received his BBA in Finance from the University of Oklahoma and his MBA in Finance from The Wharton School, University of Pennsylvania. He is a CFA charterholder, past adjunct Professor at the University of Oklahoma and past President of the Oklahoma Society of Financial Analysts. Mr. Haws serves on the Board of Directors for Bridges, a non-profit organization dedicated to empowering homeless students to succeed and is a member of the Oklahoma Christian Student Investment Fund Advisory Board.

**Nicholas J. Pointer, CFA** – Vice President, Portfolio Manager and Trader. Prior to joining Tom Johnson Investment Management, LLC in September 2011, Mr. Pointer worked as an Investment Analyst for Oklahoma Teachers Retirement System in Oklahoma City, OK. His responsibilities included portfolio allocation, and performance analysis and reporting. From 2008 to 2009, Mr. Pointer was a Financial Analyst for American Airlines in Dallas, TX. Mr. Pointer received his BA in Political Science from the University of Oklahoma and his MBA in Corporate Finance/Investment Management from the University of Oklahoma. He is a CFA charterholder and past adjunct Professor at Oklahoma City University.

**Cory J. Robinson, CFA, FRM** - Vice President and Portfolio Manager. Prior to joining Tom Johnson Investment Management, LLC in June 2000, Mr. Robinson graduated from Oklahoma State University with a Bachelor of Science in Business Administration with a major in Finance and minors in Accounting and Management Information Systems. He is a CFA charterholder and has received the FRM (Financial Risk Manager) designation from the Global Association of Risk Professionals. He has served as an industry mentor for the University of Central Oklahoma CFA Institute Research Challenge.

**Jeremy H. Wilcox** – Trader and Portfolio Manager. Prior to joining Tom Johnson Investment Management, LLC in September 2015, Mr. Wilcox graduated from Oklahoma State University with a Bachelor of Science in Business Administration with a major in Business Economics and Quantitative Studies and a minor in Finance. He serves on the Board of Trustees at Mayflower Congregational United Church of Christ and is also a member of Midtown Rotary Club of Oklahoma City. He is a CFA Level III Candidate.

**Virginia (Jenny) A. Davis** – Trader and Portfolio Manager. Ms. Davis joined Tom Johnson Investment Management, LLC (TJIM) in April of 2019, having also worked for TJIM in the capacity of Trader and Compliance Administrator from 1999 to 2004. Between these TJIM employment time frames, Ms. Davis worked at her family owned firm in an internal accounting capacity (Tripp Davis and Associates, a golf architectural firm). From 1996 to 1999, Ms. Davis was an Internal Wholesaler for Mid-America Partners, a third-party annuity marketing company. From 1992 to 1995, she worked in the Trust Department of Bank of Oklahoma. Ms. Davis earned her Bachelor of Science degree in Finance from Oklahoma State University. Ms. Davis is a non-voting member of the TJIM Investment Committee.

**Steven G. Schenk, CFA** - Portfolio Manager. Prior to joining Tom Johnson Investment Management, LLC in June 2000, Mr. Schenk served as Senior Vice-President, Portfolio Manager and Securities Analyst for Associated Investment Management, LLC in Neenah, Wisconsin which is a subsidiary of Associated Banc-Corp. His responsibilities included managing portfolios for taxable and tax-exempt clients, client contact, and equity analysis. In addition to these investment responsibilities, Mr. Schenk managed the Trust Investment Department. From 1984 to 1996 Mr. Schenk was Senior Vice-President, Portfolio Manager, and Securities Analyst for Liberty Bank & Trust Company in Oklahoma City. Mr. Schenk received his BA from Carroll College (now known as Carroll University) and his MBA in Finance and Accounting from the University of Oklahoma. He is a CFA charterholder, past adjunct Professor for the University of Oklahoma and past President of the Oklahoma Society of Financial Analysts. Mr. Schenk is a non-voting member of the TJIM Investment Committee.

### **Employee Transition Planning**

TJIM recognizes that our primary added value to our clients comes from the experience and efforts of our staff. Incentive packages are in place to address the needs of the employee and reward successful individual and team effort and results.

Additionally, our team is very cognizant of the importance of laying a foundation for employee transition. We want to ensure that work flow is motivating and that experience is passed on to new employees.

We also have proactive plans in place to address approaching retirements as they arise. Wherever possible our approach involves a multi-year transition to sufficiently and successfully address client service and retention, and investment performance, which are the critical key result areas for our organization. This multi-year process may result in slowly increasing flexible office hours and a reduction in other responsibilities. We implemented this process for Steven G. Schenk in 2015.

An important part of our planning for investment personnel retirement is also identifying and hiring new members for our team. TJIM is aware of a broad talent pool of potential employees through industry contacts and through our internship program with local graduate business schools. A new hire has either extensive investment analysis and portfolio management experience or has the educational credentials and work background which we believe indicate the potential to become a successful portfolio manager, trader and investment analyst. The latter type of person typically starts with our firm as a trainee trader. Portfolio Managers seeking to become full voting members of the investment committee will be encouraged to continue their education and to become Chartered Financial Analyst charterholders (CFAs).

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### **Description of CFA Charter - Chartered Financial Analyst**

To become a charterholder, you have to:

- Agree to follow the CFA Institute Code of Ethics and Standards of Professional Conduct.
- Pass the CFA Program exams for Levels I, II, and III.
- Have four years of qualified investment work experience.
- Become a regular member of CFA Institute and apply for membership in a local CFA member society.

How Long Does it Take?

- Each of the three exams requires approximately six months of preparation.
- You have to successfully complete the three exams in order (Level I, II, and III).
- There is no limit to the number of times you can take each exam.
- You need to have 48 months of approved work experience (before, at the same time as, or after you prepare for the exams).

Successful candidates take an average of four years to earn the CFA charter.

### **Description of Financial Risk Manager - Certification Requirements**

In order to be certified as a Financial Risk Manager (FRM®) from the Global Association of Risk Professionals and be able to use the FRM acronym after your name, the following is required:

- A passing score on both Part I and Part II of the FRM Examination
- A minimum of two years professional full-time work experience in the area of financial risk management or another related field including, but not limited to, trading, portfolio management, faculty academic, industry research, economics, auditing, risk consulting, and/or risk technology.

Earning the right to use the FRM designation after your name demonstrates professionalism and dedication to the profession. Thus having experience is important to assure the FRM designation maintains its status as the benchmark certification for financial risk professionals worldwide.

#### **Item 3: Disciplinary Information**

TJIM's employees do not have any disciplinary events and there have never been, nor are there any current investigations, against any members of the firm.

#### **Item 4: Other Business Activities**

TJIM's investment professionals are not involved in any other investment-related business or occupation.

#### **Item 5: Additional Compensation**

TJIM's investment professionals only receive compensation from TJIM. Staff is motivated toward providing investment performance and customer service through a combination of base salary, profit sharing/bonus incentives and a competitive benefits package.

#### **Item 6: Supervision**

Richard H. Parry, President and Chief Investment Officer, 405-236-2111, is responsible for the supervision of all advisory activities performed by supervised persons.

#### **Item 7: Requirements for State-Registered Advisers**

Not Applicable