

## Oak Ridge Investments, LLC Tax Gain/Loss Sale Request

I wish to realize tax gains or losses, as indicated below, in account number \_\_\_\_\_, which is managed by **Oak Ridge Investments, LLC ("Oak Ridge")**, a registered investment adviser.

I understand that this action may deviate from the investment philosophy of **Oak Ridge**, which is to manage the account for total return. I realize that this action may affect the overall performance of my portfolio. Also, this action may result in a temporary overweighting of cash or positions in my portfolio.

I understand that securities that are repurchased may be purchased at a price higher than that for which they were sold. Also, I understand that securities sold for the purpose of tax loss may or may not be repurchased by **Oak Ridge** following the 30-day wash sale period.

I acknowledge that investment management activity in my account subsequent to the "tax sale" may result in additional gains or losses that partially or completely offset the gains or losses realized from the tax sale request. Furthermore, I acknowledge if I withdraw cash generated from the tax sale transaction, **Oak Ridge** will place a 30 day 'no buy/no sell restriction' on the account. The account will not participate in strategy trades until the end of the restriction period.

### Sale Transaction (select one):

- A. \_\_\_\_ Please sell all positions with unrealized **gains/losses** (circle one) greater than \$\_\_\_\_\_.
- B. \_\_\_\_ Please sell positions to realize **gains/losses** (circle one) totaling \$\_\_\_\_\_.
- C. \_\_\_\_ Please sell the securities listed below:

Symbol	Security Name	# of Shares
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

### Handling of Sale Proceeds (select one, defaults to Cash if not checked):

- A. \_\_\_\_ Leave sale proceeds in cash.
- B. \_\_\_\_ Invest sale proceeds in ETF's (specify which)
- \_\_\_\_ IWF Russell 1000 Growth iShare
- \_\_\_\_ IWO Russell 2000 Growth iShare
- \_\_\_\_ IUSG Russell 3000 Growth iShare
- \_\_\_\_ IWP Russell Mid Cap Growth iShare

\_\_\_\_\_  
Client Name

\_\_\_\_\_  
Client / Advisor Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Financial Advisor's Name

\_\_\_\_\_  
Firm

Email the completed form to [Ops@Oakridgeinvest.com](mailto:Ops@Oakridgeinvest.com) or Fax to 312-857-1055. Thank You.

All requests received after December 15<sup>th</sup> will be processed on a best efforts basis.