# STRATUM MED

### Our Mission is Collaboration



### At a Glance

#### Message from the CEO



W. Trent Kramer President, Chief Executive Officer

What more can be said about 2020 that hasn't already been said? Although this report is meant to highlight some of the key happenings at Stratum over the past year, I would like to open by recognizing the hard work, the excruciating decisions and the sacrifices that were made by our Shareholders and corresponding leadership teams over the past ten months. I'm absolutely amazed at the challenges that were presented and the lightning speed by which our medical group owners mobilized resources, modified business models and adjusted in a way that preserved the viability of their respective organizations. While we often refer to Stratum as a "medical group collaborative" the word "collaborate" took on a whole new meaning in 2020. It was rewarding and validating to see our Shareholder groups look to one another for support and creative solutions to common challenges created by the pandemic. Whether it be in the form of our Supply Chain Work Group coming together to source and procure PPE, our Ops Work Group sharing best practices and processes or our Chief Financial Officers convening to digest Provider Relief Fund rules and regulations - our physician groups truly came together as one.

Finally, I'd be remiss if I failed to recognize two long time directors who will be retiring over the next few months...Dr. Richard Schlepphorst, Quincy Medical Group and John Tallent, Medical Associates Clinic-Dubuque. Dr. Schlepphorst is a founding member, served on the Board for 24 years while also holding the Chairman position several times during his tenure. Mr. Tallent served on the Board for 19 years and has been a staunch Stratum supporter from the first day Medical Associates came aboard as an owner. All of us at Stratum wish to send along our appreciation and best wishes in retirement.

Sincerely,

Win

Clinical Officer		
<ul> <li>Megan Craciun assumes the role of Controller following the retirement of Marlene Walker</li> </ul>	ne	
<ul> <li>Stratum organizes COVID-19 response including, PPE stra educational webinars related to federal emergency relief operations and finance peer groups and protective meas corporate finances</li> </ul>	bills,	
Kim Johnson joined the Stratum team as a Locum Service Specialist		
• Stratum welcomes Esse Health (St. Louis, MO) as a Sharel	nolder	
<ul> <li>Stratum welcomes Wilmington Health (Wilmington, NC) Shareholder</li> </ul>	as a	
Table of Contents		
Stratum Med Governance & Leadership	3	
New Shareholders	4	
Stratum Footprint	5	
2020 Financials & Savings	6	
COVID-19 Response	7	
ACO	8	
Core Service Line Highlights	9	
Work Groups & Shared Learning	14	
2020 Marketing Efforts	17	
2021 - Looking Forward	18	

• Les Mathers, MD joins the Stratum leadership team as the Chief



2 | 2020 Year in Review

### Stratum Med Governance & Leadership

#### Leadership Team



W. Trent Kramer President, Chief Executive Officer



Ben Koger Chief Operations and Strategy Officer



Dr. Les Mathers Chief Clinical Officer

### **Board Officers, Directors and Shareholder Representatives**

Andrew Perry, Chairman Ray Williams, Vice Chairman Dennis Hesch, Secretary Timothy McGovern, Treasurer Carol Brockmiller, Member at Large Quincy Medical Group Ben Vallier, Member at Large

McFarland Clinic Springfield Clinic Carle Physician Group **Beacon Medical Group** The Iowa Clinic

Charles Dennis, M.D. Kenny Bilger Mike Castellano **Mike Heck** Melissa Astin Randy Farrow Zach Keeling Michael Sundall Lorrie Jacobetti James Schrader Jeff James

Carle Physician Group Christie Clinic Esse Health Hutchinson Clinic Jefferson City Medical Group Mankato Clinic Medical Associates of Dubuque Physicians' Clinic of Iowa Prevea Medical Group Union Medical Group Wilmington Health

#### **Farewell to Long-Standing Directors**



Lucas Thurman Executive Director, Partnerships



Jennifer Vallowe Executive Director of Purchasing and Member Services



**Ryan Wills** Executive Director, Stratum Insurance Services / Vice President,

Stratum Brokerage Company LLC



Denise Poindexter Director of Executive Search Services

For biographies, please visit: https://www.stratummed.com/company-bios/



Richard Schlepphorst, M.D. Medical Director Quincy Medical Group (Quincy, IL)

Dr. Richard Schlepphorst has been a practicing pediatrician and administrative leader at Quincy Medical Group for many years. His leadership contributed to Stratum Med's successful launch in 1996 where he has served in an instrumental role on the founding Board of Directors and in the development of the organization from its infancy. Having served in a variety of Officer roles including several terms as Chairman, Dr. Schlepphorst's commitment and wisdom to Stratum will be foregone. Stratum leadership would like to personally thank Dr. Schlepphorst as well for the dedication he has provided to the organization over the vears.



John Tallent Chief Executive Officer Medical Associates (Dubuque, IA)

After 22 years as the Chief Executive Officer for Medical Associates Clinic, John Tallent is scheduled to retire January, 2021. For over 20 years, Mr. Tallent has served on Stratum Med's Board of Directors providing representation for Medical Associates Clinic as well as governance and leadership to Stratum leadership. Having served in several Officer positions over the years including Chairman of the Board, Mr. Tallent's dedication to the organization, attention to detail and most importantly his candid and comedic delivery will be missed. Stratum leadership would like to personally thank him for his years of service to our organization and wish him the best in his retirement.



### New Shareholders

Stratum is pleased to welcome two new Shareholders in 2020: **Esse Health** and **Wilmington Health**!



One of the largest independent primary care groups in the Midwest, Esse Health is spread throughout the St. Louis Metropolitan Area. Esse's physicians cover a range of specialities, including Asthma, Allergy, & Immunology, Family Medicine, Gastroenterology, Internal Medicine, Nutrition, Orthopedics, Pediatrics, Radiology, and Urology.



St. Louis, MO

#### For more information, please visit www.essehealth.com



Wilmington Health is a physician-owned primary care and multi-specialty medical practice founded in 1971. They serve not only their community in Wilmington, but also all of Southeastern North Carolina. They provide comprehensive up-to-date care in multiple medical specialties including cardiology, electrophysiology, pulmonology, gastroenterology, infectious diseases, neurology, and dermatology.

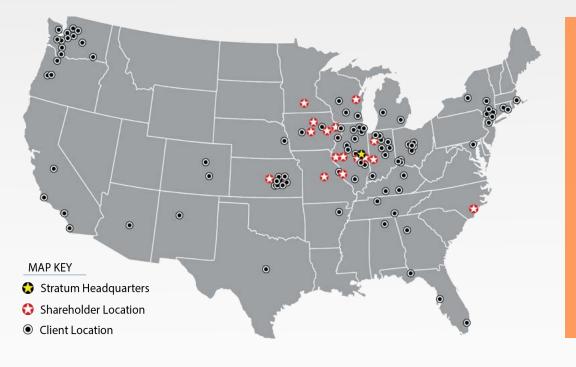


Wilmington, NC

For more information, please visit www.wilmingtonhealth.com



### Stratum Footprint



- By the Numbers -

**16** Shareholders

**100+** Client Relationships

Representing Over **12,000** Physicians

**Our Shareholders** 



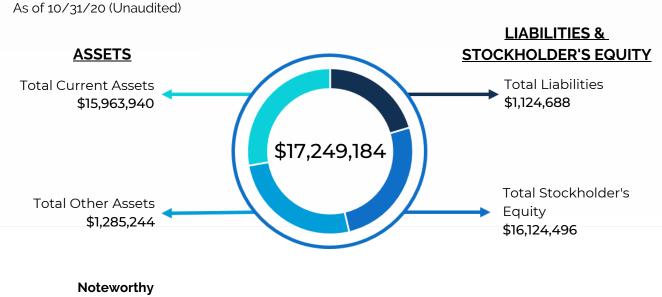


Stratum has two areas of focus when it comes to financial performance. The first is to maximize value and savings for our shareholder groups and the second is to operate with efficiency and excellence to ensure a healthy financial performance.

#### 2020 Shareholder Savings Report: Projected Savings in \$1,000s



Stratum Med, Inc. & Stratum Brokerage Co., LLC Consolidated



- Projected 2020 Revenue: \$4,925,640
- Projected Net Income before taxes: \$598,964



### COVID-19 Response



As the COVID-19 pandemic rippled through the nation, Stratum quickly shifted priorities to provide support and education to its shareholders and members. The COVID pandemic introduced significant negative implications across the healthcare industry from revenue loss, to supply shortages, patient and workforce anxiety and many other repercussions. Comprised primarily of physician-owned independent medical groups, Stratum's shareholders felt the wrath of the pandemic especially hard due to the ambulatory nature of their business. Stratum prides itself on being nimble and reactive to our members' needs and through leadership's efforts and the Board of Director's guidance, Stratum endeavored to re-shift our focus to provide value and support through the pandemic. Some of those actions are highlighted as follows:

#### Dues Abatement

Recognizing that the medical organizations that comprise Stratum and participate in our programs were struggling financially, the decision was made to abate shareholder dues in 2020. Starting in April, a dues moratorium was implemented and remained in effect for the remainder of the year which kept over \$500K in the hands of Stratum groups.

#### Paycheck Protection Program (PPP)

In partnership with our accounting firm, it was determined that Stratum was eligible for a loan through the Paycheck Protection Program, by way of the CARES Act. Acting as stewards of Stratum's internal resources, the Board supported Stratum leadership's recommendation to apply and receive a PPP loan for approximately \$375,000. Those funds were used to cover eligible expenses in 2020 and it is anticipated that the full amount of the loan will be forgiven.

#### Health Policy Source (HPS)

Due to all of the updates, information and legislation emanating from Congress, the White House and HHS, Stratum retained the services of HPS, a Washington D.C. based lobbying group, to act as a source of truth, identify resources and field inquiries for our members. Regular, real-time updates were relayed to group leaders and shared during work group activities throughout the year. Stratum extended the relationship with HPS through 2021.

#### Shared Learning

In light of the numerous challenges practice and administrative leaders were facing, Stratum coordinated and facilitated a number of forums for leaders to connect with their peers and counterparts nationally across Stratum organizations. These touchpoints included operational and finance leaders and material managers, among others, which provided a platform for leaders to raise questions, share best practices and learn together on a number of different issues and topics. Through this collective knowledge base of broad experiences and geographical differences, groups were able guide their own respective organizations through crisis by borrowing established policies, procedures and ideas of others.



### MSSP ACO

STRATUM MED caravanhealth

The Stratum Med ACO entered its second performance year in 2020 after coming off a successful launch of the ACO in 2019. Lead measures around performance and quality are once again tracking positively and the savings and financial results appear to be following suit in 2020. Overall, the ACO achieved gross savings of 2.6% and shared in \$4.23M in savings in the first six performance months of 2019. The ACO remained in Track A, upside only risk, through 2020 and while data is currently only available through the third quarter, preliminary projections indicate that shared savings will exceed the 2.6% savings attained in 2019.

In addition to the strong performance and outcomes of the ACO, some groups and leaders have garnered individual praise and recognition for efforts and best practices. In late 2019, McFarland Clinic was presented with the 'Excellence in Consistency of Care Delivery' award for their attention and accuracy in identifying and coding patient conditions. And, in 2020, Kristen Ford at Carle Health, was named the winner of 'Most Valuable Partnership Manager' for her ongoing leadership and dedication to the ACO.

This year, Carle Health Physician Partners (CHPP) out of Bloomington, IL will come on as a new addition to the ACO under the Carle umbrella. CHPP joins Carle, Christie Clinic, Confluence Health, Hutchinson Clinic, Jefferson City Medical Group, McFarland Clinic and The Iowa Clinic to comprise the ACO. Preliminary attribution for 2021 is in excess of 92K lives.

2021 will be an important year as the ACO prepares to move to downside risk next year. Efforts and focus will be directed to ensuring that groups and the ACO are well positioned with key strategic partners and armed with support and population health tools to ensure ongoing success moving forward.



### Supply Chain

The **Stratum Purchasing Program** is a collaboration strategy whereby large physician groups have come together as one to leverage volume to impact supply costs.

### COVID-19 Response

Our groups did an excellent job of weathering the storm this year in the supply chain space. Stratum worked to source and educate our Supply Chain Directors regarding PPE supply acquisition and we developed relationships through new PPE non-profits as a way to network for future PPE needs. We restarted our Imaging and Lab Work Group calls after a pause during the height of COVID. The Stratum team worked with our lab distributors to communicate the latest surrounding COVID testing and available products for physician groups. Year end concentration focused on evaluating the IOS Data Management Software options for participants who currently do not have such a system.

**32** Total participating organizations

**3,500+** Physicians represented

**97%** Member retention rate (past 5 years)

12% Average savings across med/surg spend

**\$95 Million** Total aggregated GPO contract volume

#### Program Highlights

Stratum was proud to be recognized as one of the very few national GPO channel partners that experienced growth in a treacherous year welcoming four (4) new participants in 2020: Graves Gilbert Clinic, Foxhall OB/GYN Associates, Eastern Carolina Women's Center and Esse Health, while also completing several analyses for additional prospective participants.

One of the largest national direct contracts with Bayer for IUD purchases boasting:

\$3.9 Million

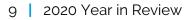
### 31,325

Annual IUD purchase volume

Total IUD savings in 2020

Participating groups

75+







### Insurance

**43,900** Total employee lives

**3,300+** Physicians covered in a tailored Life & LTD program

## \$23,980,000

Total aggregated premium

\$3.5 Million

Saved in 2020 by Stratum Brokerage Company for participating members

### Program Highlights

- New Business to Stratum
  - Carle Health Employer paid Short Term Disability and Leave Management Services
  - Premier Medical Group Business Liability
  - CareMount Medical Individual Disability Insurance
- Renewed Insurance Coverage for two key groups:
  - The Iowa Clinic Long Term and Short Term Disability
  - Confluence Health Group Life Insurance and Long Term Disability
- Successfully integrated BroMenn and Eureka Hospital employees (1,600 employees) into the current Life and LTD benefit through Carle Health

### Stratum's Simple Business Strategy



Achieve premium savings through aggregation and consolidation



Effectively track and manage brokerage commissions



Introduce enhanced coverage options typically not afforded to stand alone entities



Achieve rate stability during adverse insurance market cycles



Optimize service and accountability from our broker partners



### **Executive Search**



#### COVID-19 Response

In light of the Coronavirus (COVID-19), Executive Search Services recognized the challenges faced by the healthcare industry by the global outbreak. As a leader in executive recruitment, we acknowledged many healthcare organizations paused recruitment efforts while some were still actively searching in critical administrative areas. 2020 started promising and quickly shifted in late Q1 to clients creatively adjusting internally to meet needs.

#### Shareholder Update

Although COVID-19 significantly impacted the Executive Search service line, Stratum strengthened its partnership with Carle through a unique sourcing arrangement, had a successful placement at The Iowa Clinic, engaged in a retained search with Christie Clinic and continued to work collaboratively with Springfield Clinic on several searches.

#### JazzHR - New Applicant Tracking System

10-15%

Below market average placement fees



Timely and attentive service with attention to detail



Flexibility to craft a strategic approach that fits unique needs



Pride in communication and transparency with both our clients and our candidates



Unique vantage point as a provider driven organization that is immersed in all facets of physician practice and healthcare delivery

A cloud-based tool that gives the team the opportunity to access the information from anywhere, which has been extremely valuable considering the necessary modifications to remote work due to COVID-19.

#### Candidate Connection Newsletter

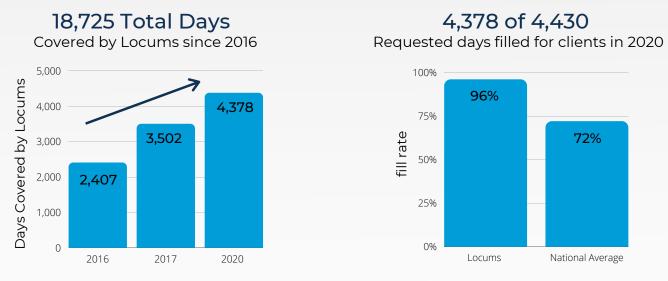
Quarterly newsletter launched in April 2020 used to provide the latest information and trends in the healthcare industry for job seekers and was distributed through Stratum's new email promotional platform BENCHMARK.



### Locums Coordination



Stratum's physician locum coordination offers a unique and highly valuable concierge service. Over the years, Stratum has worked to perfect the process of assisting our groups in their locum needs by serving as a one-stop coordination service. We serve as a liaison between our groups and trusted locum firms who understand the needs of our Shareholders and clients in order to provide a streamlined process with favorable rates, customized engagement, and unmatched customer service.



63 Locums Providers per month on average in 2020

25 Specialties filled per quarter on average in 2020

#### Shareholder Update

Although several cancellations and reduced client volume were experienced in early 2020 due to COVID, locum activity quickly rebounded to normal by the start of Q3. Stratum continued engagements with many shareholder organizations including: Carle, Christie Clinic, McFarland Clinic, Medical Associates Clinic, The Iowa Clinic and Hutchinson Clinic. In addition, Stratum welcomed new business from Jefferson City Medical Group and initiated early discussions with Mankato Clinic for their future needs.



### Revenue Cycle Support



The philosophy of Stratum's Revenue Cycle Support is to share best practices and select preferred vendors to enhance the performance of each Shareholder's Revenue Cycle. The Revenue Cycle Work Group also serves as a forum for presenting questions on current topics and organizational policies, while also providing the latest on industry updates with educational opportunities.

#### Revenue Cycle Work Group

Stratum hosted two quarterly calls and an extended call in August to replace the cancelled Spring Business Office meeting. Carle, Mankato Clinic, McFarland Clinic, Medical Associates of Dubuque, Physicians' Clinic of Iowa, Prevea, Quincy Medical Group and The Iowa Clinic participated on the call. Concentrated subjects included E&M Coding Changes for 2021, Updated Work from Home Scenarios moving forward and a presentation by Commerce Bank that officially kicked off their Stratum relationship. Commerce's presentation focused on their Remit Connect, HealthPay 24 and payment systems applicable to both the physician group and hospital space.

#### Partnership with Commerce Health

In August, Stratum finalized a formal relationship with Commerce Bank. As part of the partnership, Commerce Trust Company began providing investment management and advisory services overseeing Stratum's investment portfolio. The arrangement allows access to greater depth of investment advisory resources via a more cost effective model. Additionally, Stratum, on behalf of its Shareholders and clients has preferred pricing and access to CommerceHealthcare's suite of revenue cycle and treasury/finance solutions.

#### H&R/Avadyne & Experian Agreements

Stratum renegotiated our H&R/Avadyne Collections Services rates for participating physician groups, contributing to additional savings for our members. Stratum is also finalizing a new Experian agreement with updated pricing and product offerings that have been added since the original Stratum agreement negotiation.

### Work Groups & Shared Learning

Stratum organizations pool resources and intellectual capital as well as share implementation expenses in a way that allows us to explore business opportunities we might not be able to access otherwise. Although shareholders experience significant financial benefits through the Stratum relationship, equally beneficial is the collaboration and the chance to network with other large multi-specialty groups facing similar challenges and opportunities.

The COVID pandemic presented challenges to many of the standing meetings causing disruption and/or cancellations, while at the same time, created urgency for others to flourish. Ultimately, adjustments were made allowing for successful formalized interactions amongst peers. Below are highlights from Work Group meetings that took place in 2020:

#### Work Group Meetings

#### Laboratory Work Group

4 Conference Calls <u>Key Initiatives:</u>

- Reference lab usage review
- Siemens/Stratum relationship

#### Operations Work Group

May 21-22 (Champaign, IL) canceled November 12-13 (Virtual Meeting) <u>Key Initiatives:</u>

- COVID best practices/strategies
- Collaborative telehealth strategy
- Enhanced virtual scribe program

#### Purchasing Work Group

10 conference calls Key Initiatives:

- Standardization opportunities
- Aggregated contract review

#### Marketing Work Group

April 8-9 (Davenport, IA) Canceled December 8 (Virtual Meeting) <u>Key Initiatives:</u>

- COVID communication
- Patient engagement & surveys
- Online reputational management

#### Imaging Work Group

4 Conference Calls <u>Key Initiatives:</u>

- Contrast media alternatives
- 2020 capital purchase plans

#### **Business Office Work Group**

February 25 (Davenport, IA) May 6 (Davenport, IA) canceled <u>Key Initiatives:</u>

- Denials management
- New authorization processes

Physician Leader Work Group

February 27 (AMGA Conference) canceled Key Initiatives:

- Network channel for clinical leaders
- Best practice development/comparison
- Clinical perspective towards innovative solutions, strategies. new technologies, etc.



### Work Groups & Shared Learning



### Work Group Spotlights

#### Marketing Work Group

2020 was a year of continued rebirth for the Marketing Work Group. Once an active outlet, but more quiet in recent years, marketing professionals have come back together to engage in fruitful dialogue and re-energize the networking forum. Prior to the COVID-19 outbreak, the Marketing Work Group was scheduled to have an in-person two day meeting in early April that was unfortunately derailed. However, following shutdowns, Stratum remained a resource for members of the group and facilitated information sharing to help keep members connected. In December, Stratum facilitated a successful virtual meeting with elevated engagement to discuss the tumultuous year and ways various shareholders had handled certain difficulties. The meeting served as a comfort for many as shareholders had been experiencing identical challenges, and allowed new relationships to form while building upon preexisting ones.

#### Physician Leader Work Group

The Physician Leader Work group had planned to hold key face-to-face meetings at the start of Spring 2020, which was made impossible due to the spread of COVID-19. Members soon found themselves overwhelmed and with no time to connect due to the crisis, but hope to amend this in the new year. Throughout 2020, Stratum continued evaluating organizations and products that proved helpful in improving care delivery virtually and remotely, such as Telehealth, scribes, home care assessments, etc. Stratum's own Dr. Les Mathers served as a continued resource for members of the group throughout the year, committed to shared learning and widespread organizational improvement, as well as encouraging members to hone their leadership skills within their respective organizations.



### Work Groups & Shared Learning



### Work Group Spotlights - Continued

#### CFO Work Group

With recommendations and support from Shareholders, Stratum endeavored in 2020 to reinvigorate and bolster the Chief Financial Officer Work Group. Little did we know that a pandemic would be a catalyst in the re-launch. Nonetheless, Stratum recognized early on that common finance questions, challenges and opportunities were emerging across our similar, like-minded medical groups. We further identified that we were in a unique position to offer the finance cohort an avenue for shared learning and collective problem solving during an uncertain, ever-evolving period. As such, Stratum initiated virtual open forum meetings for finance leaders across the country starting in early April. Calls were initially held on a bi-weekly basis and transitioned to monthly touchpoints later in the year. At its peak, a group of 20 to 30 CFOs and finance leaders were collaborating on calls to share, learn and network together. Among the various covered topics, some common themes included:

- · Government relief fund options, requirements and implications
- Organizational stewardship efforts
- PPE sources and procurement
- Budgets, projections and taxes
- Insurance market trends
- General regulatory updates

Additionally, the forums provided opportunities to invite subject matter experts to present and answer questions on targeted issues, which Stratum helped to organize.

The engagement throughout the year helped re-establish a valuable network and outlet for Stratum members and set the stage for more collaborative and strategic focused efforts in 2021 and beyond. A great deal of recognition is owed to the leaders that participated and contributed to these calls. The willingness of the participants to dedicate valuable time and freely share information and experiences to the benefit of other organizations is a testament to the groups that make up the Stratum network.



### Marketing Efforts

Stratum managed to put out a wide range of marketing materials throughout 2020. Early in the year, Stratum began utilizing Benchmark, an email marketing service that allows the creation of customizable email campaigns.



information and trends in the healthcare industry for job seekers. Certainly, it has been a daunting task to actively seek a new employment opportunity as the world continues to grapple with a global pandemic. Job seekers may be overwhelmed and feel uneasiness with job searching right now, but do not give up on your search. Instead, expand your criteria H e a few muick tin

Stratum Med, Inc 1,365 follow 5mo • 🕲

"Moving forward in prosperity during this time requires an understanding of the many ways that COVID-19 has already changed the marketing landscape. Championing empathy and a newfound human connection is key while considering next steps, as well as other trends and considerations outlined in this article."

#marketing #covid19 #healthcaremarketing #stayconnected



#### Tips for Healthcare Job Seekers During Covid-19 d on April 14, 2020

Denise Poindexter

Services at Stratum Med

1 article ( V Following )

Marketing Amid As our country continues to navigate and respond to the novel Coronavirus (COVID-19), the Andrea Cunninghan healthcare landscape swiftly shifted in what seems like overnight. The developing situation continues to create complexity and uncertainty, and each moment there are developments that need to be considered. Many have provided the flexibility for employees to work from home: and unfortunately, some healthcare organizations have had to layoff personnel. discuss furloughs for others, and rescind job offers to new hires.

During the height of the COVID-19 pandemic, Stratum published two articles to LinkedIn in order to share insights into how the crisis was impacting various industries, as well as to provide helpful tips to job seekers on the site during the surge of unemployment.

Stratum's Director of Executive Search Services, Denise Poindexter, penned the article "Tips for Job Seekers During COVID-19," while Stratum's Marketing and Graphic Design Specialist, Andrea Cunningham, contributed "Marketing Amid COVID-19."



### 2021 - Looking Forward



Stratum management, with the support and guidance of our Board of Directors will carry momentum generated in 2020 into the new year to achieve further progress on many ongoing initiatives. Additionally, we will continue to pursue business opportunities, which will provide value to our Shareholders and financial return to Stratum.

Although 2020 has taught us that priorities may change and new opportunities may surface, Stratum remains focused on developing plans that advance strategic initiatives outlined by our shareholders in 2021 and beyond.

The following strategic initiatives continue and/or will emerge in 2021:

- Continued effort towards opportunities for a unified Medicare Advantage strategy
- Collaborative approach to Population Health tools, programs and services
- Virtual scribe program enhancement
- Selection of a common virtual visit solution
- Continued education, vetting and determination of ACO two-sided risk
- Perform due diligence on forming a Physician Owned / Led Venture Capital Fund to engage new, disruptive healthcare technologies and companies



### 2020 Expectation vs. Reality





Individuals listed from left to right: Trent Kramer, Ben Koger, Jennifer Vallowe, Ryan Wills, Lucas Thurman, Les Mathers, M.D., Megan Craciun, Denise Poindexter, Kim Johnson, Kim Coburn, Ruth Meyer, Greg Tresslar, Cathy Boyd, Melody Heneger, Karen Uden, Cindy Mann, Andrea Cunningham.





Stratum Med, incorporated in 1996, is a collaborative alliance comprised of physician-owned/physician-led organizations across the country. Stratum is owned and governed by large, independent or hospital-owned multi-specialty group practices primarily in the Midwest. However, over the years Stratum has expanded fostering relationships with 100+ healthcare organizations nationally. Collectively, Stratum represents approximately 12,000 physicians today.

Stratum's primary goal is to leverage volume across common expense items in order to save money and to incubate business opportunities made possible by bringing together like-minded, high performing medical groups. At our core, Stratum serves as a conduit to facilitate networking and shared learning for our shareholders and clients.

#### Contact Us

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Our Mission is Collaboration