

**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**
Washington, D.C. 20549

FORM 8-K

**CURRENT REPORT
Pursuant to Section 13 or 15(d)
of the Securities Exchange Act of 1934**

Date of report (Date of earliest event reported): July 1, 2026

ALTi Global, Inc.

(Exact name of registrant as specified in its charter)

Delaware	001-40103	92-1552220
(State or other jurisdiction of incorporation)	(Commission File Number)	(I.R.S. Employer Identification No.)

**22 Vanderbilt Avenue, 27th Floor New
York, New York**

(Address of principal executive offices)

10017

(Zip Code)

(212) 396-5900

(Registrant's telephone number, including area code)

Not Applicable

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- ☐ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
 - ☐ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
 - ☐ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
 - ☐ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
-

Securities registered pursuant to Section 12(b) of the Act:

Title of each class	Trading Symbol(s)	Name of each exchange on which registered
Class A common stock, par value \$0.0001 per share	ALTI	Nasdaq Capital Market

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company ☒

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act. ☐

Item 5.02 **Departure of Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.**

Chief Operating Officer Employment Contract Amendment

On July 1, 2026, AITi Global, Inc. (the “Company”) entered into Amendment No. 1 to the Executive Employment and Restrictive Covenant Agreement with Kevin Moran, the Company’s President and Chief Operating Officer (the “Amended Moran Agreement”). The Amended Moran Agreement updates Mr. Moran’s title, increases his annual base salary to \$600,000, sets his 2026 target bonus at \$1,600,000, and revises the treatment of certain outstanding equity awards. The Amended Moran Agreement also reduces the notice period under Exhibit A from 180 days to 30 days. The foregoing description of the Amended Moran Agreement is qualified in its entirety by reference to the copy of the Amended Moran Agreement filed as Exhibit 10.1 hereto.

Interim Chief Executive Officer Employment Contract

On July 1, 2026, the Company entered into an Executive Employment and Restrictive Covenant Agreement (the “Curtin Employment Agreement”) with Nancy Curtin in connection with her service as Interim Chief Executive Officer. The Company previously reported Ms. Curtin’s appointment as Interim Chief Executive Officer, and described the material terms of her compensatory arrangements, in its Current Report on Form 8-K filed March 31, 2026. The foregoing description of the Curtin Employment Agreement is qualified in its entirety by reference to the copy of the Curtin Employment Agreement filed as Exhibit 10.2 hereto.

Item 9.01 **Financial Statements and Exhibits.**

(d) Exhibits.

10.1	<u>Amendment No. 1 to Executive Employment and Restrictive Covenant Agreement, by and between the Company and Kevin Moran, dated July 1, 2026</u>
10.2	<u>Executive Employment and Restrictive Covenant Agreement, by and between the Company and Nancy Curtin, dated July 1, 2026</u>
104	Cover Page Interactive Data File (embedded within the Inline XBRL document)

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Date: July 2, 2026

ALTI GLOBAL, INC.
(Registrant)

/s/ Colleen Graham

Name: Colleen Graham

Title: Chief Legal, Compliance & Risk Officer

AMENDMENT NO. 1 TO EXECUTIVE EMPLOYMENT AND RESTRICTIVE COVENANT AGREEMENT

THIS AMENDMENT NO. 1 TO EXECUTIVE EMPLOYMENT AND RESTRICTIVE COVENANT AGREEMENT (this “Amendment”) is made and entered into as of July 1, 2026, by and among AlTi Global, Inc. (f/k/a Alvarium Tiedemann Holdings, Inc.) (“Holdings”), Tiedemann Advisors, LLC (“TA” and together with Holdings, the “Company”), and Kevin Moran (“Executive”).

WITNESSETH:

WHEREAS, the parties entered into that certain Executive Employment and Restrictive Covenant agreement, dated as of January 3, 2023 (the “Agreement”);

WHEREAS, the Company has appointed Executive to serve as President and Chief Operating Officer, and the parties desire to update the Agreement to reflect Executive’s new title and revised compensation; and

WHEREAS, the parties desire to amend the Agreement on the terms and conditions set forth herein.

NOW, THEREFORE, in consideration of the foregoing and the mutual promises, covenants and agreements contained herein, together with other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto do hereby agree as follows:

1. **Amendment to Section 1 (Services and Duties)**. The first sentence of Section 1 of the Agreement is hereby amended and restated to read as follows:

“From and after the effective date of this Amendment, Executive shall serve Holdings in the capacity of President and Chief Operating Officer.”

2. **Amendment to Section 3(a) (Base Compensation)**. Section 3(a) of the Agreement is hereby amended by replacing the reference to “\$375,000 per annum” with “\$600,000 per annum.” All other terms of Section 3(a) remain unchanged.
3. **Amendment to Section 15 (Definitions)**. Section 15 of the Agreement is hereby amended to add the following definitions:
 - a. “Strategic Transaction” means a merger, consolidation, tender offer, exchange offer or other transaction that results in a change in control of the Company or the acquisition by a purchaser of a material portion of the equity, assets, properties and/or businesses of the Company or other transaction that results in the stock of the Company no longer being listed on a stock exchange or registered under the Securities Exchange Act of 1934, as amended.
 - b. “Strategic Transaction Closing” means the closing date of the Strategic Transaction.
4. **Amendment to Section 3(b) (Bonus)**. Section 3(b) of the Agreement is hereby amended to add the following at the end:

“Notwithstanding the foregoing, Executive’s target Bonus for the 2026 fiscal year is \$1,600,000 (the “2026 Target Bonus”). If Executive remains employed through December 31, 2026, Executive will receive the full 2026 Target Bonus. If Executive’s employment terminates on or after November 30, 2026, and before December 31, 2026, other than a termination by the Company for Cause, Executive will receive a pro-rata portion of the 2026 Target Bonus based on days employed during 2026. The 2026 Target Bonus will be paid when bonuses are generally paid and in no event later than March 15, 2027.”

5. **Addition of New Section 3(e) (Treatment of Outstanding Equity Awards)**. Section 3 of the Agreement is hereby amended to add the following new Section 3(e):

“(e) **Outstanding Equity Awards**. For the purposes of this Section 3(e), the “**Service Condition**” means Executive remains continuously employed through December 1, 2026; provided that the Service Condition will be deemed satisfied if, before that date, Executive’s employment is terminated by the Company without Cause or terminates due to Executive’s death or Disability. Notwithstanding Section 6(d) or the terms of any applicable award agreement, Executive’s outstanding equity awards will be treated as follows upon a termination of Executive’s employment:

- (i) **2027 LTIP Tranche**. The 89,214.05 restricted stock units scheduled to vest in the first quarter of 2027 will be forfeited for no consideration unless the Service Condition is satisfied. If the Service Condition is satisfied, the restricted stock units will continue to vest on their existing schedule to the same extent as if Executive remained employed with the Company through the respective vesting schedule dates and will not be forfeited.
- (ii) **RSUs**. The remaining 115,369.34 unvested restricted stock units will be forfeited for no consideration as of the Termination Date; and
- (iii) **PSUs**. The 284,662 unvested performance stock units will be forfeited for no consideration as of the Termination Date.
- (iv) **Retention Grant**. Executive’s outstanding award of 692,612 restricted stock units (the “**Retention Grant**”) will be forfeited in its entirety for no consideration, and no portion will vest, unless both of the following conditions are satisfied: (A) the Service Condition; and (B) a definitive agreement providing for a Strategic Transaction is executed on or before December 31, 2026. If both of the conditions in the preceding sentence are satisfied, the Retention Grant will vest in accordance with the terms of the applicable award agreement, including its acceleration in full upon a Change in Control (as defined therein). The Retention Grant will not be forfeited solely by reason of a termination of Executive’s employment occurring before the Strategic Transaction Closing; provided that nothing in this sentence waives the conditions in clauses (A) and (B). This Section 3(e)(iv) supersedes and replaces only the provisions of the award agreement governing the conditions to earning the Retention Grant and its forfeiture upon a termination of Executive’s employment, and in the event of any conflict between this Section 3(e)(iv) and the award agreement on those matters, this Section 3(e)(iv) controls. For the avoidance of doubt, all other terms of the award agreement remain in full force and effect.
- (v) **Governing Terms**. This Section 3(e) governs the treatment of the awards described above. Except as provided in Section 3(e)(iv) with respect to the Retention Grant, in the event of a conflict between this Section 3(e) and any applicable award agreement, this Agreement controls.

6. **Amendment to Exhibit A (Notice Period)**. Section 3 (Notice Period) of Exhibit A to the Agreement is hereby amended by replacing the reference to “one hundred eight (180) days” with “thirty (30) days.” All other provisions of Section 3 of Exhibit A remain unchanged.
7. **Agreement in Full Force and Effect**. Except as expressly amended hereby, all terms and conditions of the Agreement remain in full force and effect. In the event of any conflict between this Amendment and the Agreement, this Amendment controls.
8. **Counterparts**. This Amendment may be signed in any number of counterparts, each of which shall be deemed to be an original, but all such counterparts shall together constitute one and the same instrument. The delivery of an electronic copy of an executed counterpart of this Amendment shall be deemed to be valid execution and delivery thereof.

[Signature page follows]

IN WITNESS WHEREOF AND INTENDING TO BE LEGALLY BOUND THEREBY, the parties hereto have executed and delivered this Amendment as of the year and date first above written.

ALTI GLOBAL, INC.

By: /s/ Nancy Curtin
Name: Nancy Curtin
Title: Interim CEO

**TIEDEMANN ADVISORS,
LLC**

By: /s/ Colin Peters
Name: Colin Peters
Title: Chief Human
Resources Officer

/s/ Kevin Moran
KEVIN MORAN

EXECUTIVE EMPLOYMENT AND RESTRICTIVE COVENANT AGREEMENT

THIS EXECUTIVE EMPLOYMENT AND RESTRICTIVE COVENANT AGREEMENT (this “Agreement”) is made and entered into as of July 1, 2026 with an effective date of April 1, 2026 (the “Effective Date”) by and between ALTi Global, Inc. (the “Company”) and Nancy Curtin (“Executive”).

WITNESSETH:

WHEREAS, the Company desires to secure the continued services of Executive for the benefit of the Company;

WHEREAS, Executive desires to continue to provide such services, subject to the terms and conditions set forth in this Agreement; and

NOW, THEREFORE, in consideration of the foregoing and the mutual promises, covenants and agreements contained herein, together with other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto do hereby agree as follows:

1. Services and Duties. From and after the Effective Date, Executive shall serve the Company in the capacity of Interim Chief Executive Officer (the “Interim CEO”). Executive’s appointment as Interim CEO is temporary in nature and shall remain in effect until the earliest of (i) March 31, 2027, (ii) the commencement of employment of a permanent Chief Executive Officer of the Company as approved by the Board of Directors of the Company (the “Board”) or (iii) the Board determines, in its sole discretion, that Executive’s services as Interim CEO are no longer required (collectively, the “Interim CEO Term”). At the conclusion of the Interim CEO Term, Executive shall automatically revert to her prior role as Chief Investment Officer of the Company (the “CIO”) without any further action required by either party. It is the intention of parties that if the Board offers Executive the appointment of permanent Chief Executive Officer of the Company, then they shall negotiate and enter into a new employment agreement. The Company may, in its sole discretion, shorten the Interim CEO Term, as defined below by providing written notice to Executive prior to the expiration of the then-current Interim CEO Term. Executive acknowledges and agrees that the interim nature of this appointment and any subsequent reversion to the CIO role alone does not constitute Good Reason for resignation. Upon such reversion, the Interim CEO Compensation obligations set forth in Section 3(c) shall survive such reversion to the extent earned or guaranteed hereunder. Executive shall be a full-time employee and officer of the Company and perform such duties as are reasonably required by the Company from time to time and normally associated with Executive’s position, together with such additional duties, commensurate with Executive’s senior position with the Company, as may be assigned to Executive from time to time by the Board or the permanent Chief Executive Officer to whom the Executive reports. Executive shall devote Executive’s full business time, attention and efforts to the performance of Executive’s duties under this Agreement, render such services to the best of Executive’s ability, and use Executive’s reasonable best efforts to promote the interests of the Company Entities. Executive shall not engage in any other business or occupation during the Interim CEO Term, including, without limitation, any activity that (i) conflicts with the interests of the Company Entities, (ii) interferes with the proper and efficient performance of Executive’s duties for the Company Entities, or (iii) interferes with the exercise of Executive’s judgment in the Company Entities’ best interests. In addition, Executive acknowledges and agrees that Executive has reviewed, understands and shall adhere to and abide by any and all written policies and procedures (including without limitation

any Employee Handbook, Compliance Manual or Code of Business Conduct and Ethics) of the Company and the Company Entities made available to Executive, and all relevant federal, state, local and self-regulatory laws, rules and regulations, as may be in effect from time to time. Notwithstanding the foregoing, nothing herein shall limit or otherwise restrict Executive's participation in Permitted Activities (as set forth in Section 7 of Exhibit A) or any other activities as may be agreed in writing between the Board and Executive from time to time.

2. Term of Agreement. This agreement shall be effective as of the Effective Date and shall have force and effect only until the end of the Interim CEO Term.

3. Compensation.

(a) **Base Compensation.** In consideration of Executive's duties under this Agreement, during the Interim CEO Term, Executive will be paid a base salary at the rate of \$600,000 per annum (the "Base Compensation"), payable in accordance with the Company's regular payroll procedures, but not less frequently than semi-monthly.

(b) **Bonus.** For the 2026 fiscal year, Executive shall be entitled to receive a bonus in the amount of \$740,000 which may be provided in cash, in equity or in a combination of both (the "2026 Bonus") under the Company's annual incentive compensation plan, program and/or arrangements applicable to senior-level executives as established and modified from time to time by the Board or the Compensation Committee of the Board in its sole discretion. For the 2026 fiscal year, the equity component of the Bonus shall be no more than 50% of the total bonus and may be subject to vesting. The 2026 Bonus is guaranteed at the full amount of \$740,000, regardless of Company or individual performance and shall be paid immediately following fiscal year of the Company at such time when bonuses in respect of the 2026 fiscal year of the Company are generally paid or otherwise issued to eligible employees of the Company Entities.

(c) **Interim CEO Compensation.** During the Interim CEO Term, in consideration of Executive's service as Interim CEO, Executive shall be entitled to receive incremental cash compensation of up to \$1,300,000 (the "Interim CEO Compensation"), payable as follows:

- (i) **One Time Upfront Payment.** \$700,000 (the "Upfront Payment"), payable within thirty (30) days of the Effective Date. The Upfront Payment shall be fully earned and non-refundable upon payment, and compensates Executive for up to the first six (6) months of service as Interim CEO, regardless of the duration of the Executive's service in that capacity;
- (ii) **Monthly Payments.** \$100,000 per calendar month for each month Executive serves as Interim CEO beyond the initial six months of the Interim CEO Term (i.e., months 7 through 12 of the Interim CEO Term) (the "Monthly Payments"), up to a maximum of \$600,000 in the aggregate. Monthly Payments shall accrue beginning on the first day of month seven and be payable on the Company's regular payroll dates; and
- (iii) **Transitional Services Payments.** If a permanent Chief Executive Officer commences employment within the first six (6) months of the Interim CEO Term and thereafter Executive continues to provide services exceeding those of the CIO role in connection with the transition of the Chief Executive Officer role to such

permanent Chief Executive Officer, Executive shall receive \$100,000 per calendar month for each month of the Interim CEO Term until Executive receives monthly payments of \$600,000 in the aggregate (the “Transitional Payment”). The Transitional Payment shall be guaranteed and payable in full for the six (6) months following the permanent Chief Executive Officer’s commencement of employment, at a rate of \$100,000 per month and shall accrue beginning on the first day of the applicable month and be payable on the Company’s regular payroll dates. For the avoidance of doubt, once Executive is providing transitional services to a permanent Chief Executive Officer at any point after month six of the Interim CEO Term, the full Transition Payment shall be guaranteed and non-forfeitable regardless of whether Executive continues to provide such services for months 7 through 12 of the Interim CEO Term. If the Interim CEO Term terminates, a permanent Chief Executive Officer commences employment within the first six (6) months of the Interim CEO Term and Executive does not provide services exceeding the CIO role thereafter, no Transition Payment (or any portion thereof) shall be payable to Executive. Notwithstanding anything herein to the contrary, Section 3 (c)(ii) and (iii) shall be read together and in no event shall the Monthly Payment and Transitional Payment together exceed \$600,000 in the aggregate (i.e., if new CEO is appointed, the Monthly Payment ceases and the Transitional Payment commences, to the extent applicable.

(d) Management Incentive Plan. During the Interim CEO Term, Executive shall be eligible to participate in any equity or equity-based management incentive compensation plan adopted and maintained by the Company from time to time (if any) for the benefit of select employees of the Company Entities (the “Management Incentive Plan”) at a level commensurate with Executive’s role. Awards to be granted to Executive under the Management Incentive Plan, and the terms and conditions thereof, shall be determined by the Board or the Compensation Committee of the Board in its sole discretion.

4. Employee Benefits

(a) Benefit Plans. During the Interim CEO Term, Executive will be eligible to participate in any employee benefit plans offered to employees generally, as well as any employee benefit plans offered to employees at the executive level, subject to and in accordance with the terms and conditions of the applicable plan documents (including any eligibility requirements and limitations contained in such plans) as may be in effect from time to time and all applicable laws. Nothing in this Section 4, however, shall require the Company to maintain any employee benefit plan or provide any type or level of benefits to its employees, including Executive, and the Company may modify or terminate any employee benefit plan at any time.

(b) Housing Allowance. During the Interim CEO Term, the Company shall reimburse Executive for rental expenses actually incurred by Executive in an amount not to exceed \$16,500 per month (the “Housing Allowance”) for a temporary residence in the New York City metropolitan area, in proximity to the Company’s headquarters, to enable Executive to be present at the Company’s offices at 22 Vanderbilt Ave., New York, NY 10017. The Housing Allowance shall be paid as an expense reimbursement. Reimbursement shall be made promptly upon Executive’s submission of satisfactory documentation in accordance with the Company’s expense reimbursement policies. Nothing herein shall be interpreted as a gross up for NYC income taxes.

(c) Paid Time Off. During the Interim CEO Term, Executive will be entitled to unlimited paid time off (“PTO”) each year, to be used in accordance with the applicable Company policies as in effect from time to time.

(d) Reimbursement of Expenses. During the Interim CEO Term, the Company shall reimburse Executive for any expenses reasonably incurred by Executive in furtherance of Executive’s duties hereunder, in accordance with the applicable Company policies as in effect from time to time. During the Interim CEO Term, reimbursement will include roundtrip airfare and airport car service between New York City, New York and Miami, Florida three times per month.

(e) Legal Fees. The Company shall reimburse Executive for reasonable legal fees incurred by Executive in connection with the negotiation and documentation of this Agreement, up to a maximum of \$25,000, upon presentation of invoices reasonably satisfactory to the Company.

5. Termination. Subject to the terms of this Section 5, the Interim CEO Term shall terminate upon the earliest to occur of the following (the applicable date, the “Termination Date”): (a) March 31, 2027; (b) the date on which a permanent Chief Executive Officer of the Company commences employment as approved by the Board; (c) the date of Executive’s death; (d) a termination of Executive’s employment by the Company due to Executive’s Disability, effective on the date on which a written notice to such effect is delivered to Executive; (e) Executive’s resignation without Good Reason subject to the Notice Period in Section 2 of Exhibit A (30 days); (f) a termination of Executive’s employment by the Company for Cause, effective on the date on which a written notice to such effect is delivered to Executive or at the conclusion of any applicable cure period; (g) a termination of Executive’s employment by the Company without Cause, effective on the thirtieth (30) day after written notice to such effect is delivered to Executive; provided, however, that the Company may reduce such notice period by paying Executive a prorated portion of her Base Compensation for the period of the reduction; or (h) the resignation of Executive for Good Reason by written notice, effective following the thirty (30) day cure period. For the avoidance of doubt, a termination of employment due to death or Disability shall not be considered to be a termination by the Company without Cause.

6. Consequences of Termination

(a) Payments and Benefits Due Upon Termination. In the event that Executive’s employment during the Interim CEO Term ends for any reason, Executive shall be entitled to the following (with the amounts due under Section 6(a)(i) through Section 6(a)(iv) hereof to be paid within sixty (60) days following the Termination Date, or such earlier date as may be required by applicable law): (i) any earned but unpaid Base Compensation through the Termination Date; (ii) reimbursement for any unreimbursed business expenses, including Housing Allowance, incurred through the Termination Date; and (iii) any other accrued and vested payments, benefits or fringe benefits to which Executive is entitled under the terms of any applicable compensation arrangement, benefit or fringe benefit plan or program, including the earned 2026 Bonus (collectively, the “Accrued Amounts”).

(b) Continued Compensation Upon Termination Without Cause or For Good Reason. In the event of the termination of Executive’s employment by the Company without Cause or by Executive for Good Reason during the Interim CEO Term (each a “Qualifying Termination”) and subject to Section 7, in addition to the Accrued Amounts, Executive shall be entitled to the following continued compensation (the “Continued Compensation”): (i) continuation of Executive’s then Base Compensation (calculated at the amount prior to any

reduction that serves as a basis for a resignation for Good Reason) for a period of twelve (12) months from the Termination Date (the "Severance Period"), payable as and when those amounts would have been payable had the Interim CEO Term not ended, except as provided below in this Section 6(b); (ii) payment of any then-unpaid annual bonus for the prior fiscal year, including the 2026 Bonus amount in the amount of \$740,000; (iii) the balance of any earned but unpaid Interim CEO Compensation, including any then unpaid Upfront Payment; any then unpaid portion of the Monthly Payments and any then unpaid portion of the Transition Payment, as applicable; (iv) notwithstanding any provision of any award of equity interests in the Company to Executive to the contrary (an "Equity Award") pursuant to which unvested equity rights would be forfeited upon termination of employment, such Equity Award shall be subject to continued vesting to the same extent as if Executive's termination of employment qualified as a "Retirement" for purposes of the ALTi Global, Inc. Retirement, Disability, and Death Policy for Equity Awards as adopted by the Compensation Committee on June 27, 2024; and (v) subject to Executive's timely election to continue the group health plan benefits provided to Executive and her covered dependents pursuant to the Consolidated Omnibus Budget Reconciliation Act of 1986 and any applicable state or local equivalents (together, "COBRA"), the Company shall pay the same portion of premiums that it pays for active employees for the same level of group health plan benefits under those Company group health plans that are subject to continuation under COBRA as in effect on the Termination Date, for the Severance Period, unless Executive commences employment with any person or entity and thereby becomes eligible for health insurance benefits, in which case the Company's obligations to pay toward COBRA continuation premiums shall cease. Executive shall be responsible for paying the remaining portion of the premiums for such coverage as if Executive remained employed, which payment shall be deducted from the payments pursuant to clause (i) above. Executive shall promptly notify the Company if Executive accepts employment pursuant to which Executive is eligible for health insurance benefits during the Severance Period. Executive shall respond fully and promptly to any reasonable inquiry by the Company related to the subject of eligibility for health insurance benefits through employment during any portion of the Severance Period. Notwithstanding the foregoing, if the Company determines at any time that its payments pursuant to the foregoing clause (v) may be taxable income to Executive, it may convert such payments to payroll payments directly to Executive on the Company's regular payroll dates, which shall be subject to tax-related deductions and withholdings. Subject to Section 7, the Continued Compensation pursuant to clauses (ii) and (iii) shall be paid and the Continued Compensation pursuant to clause (i) shall commence to be paid within no later than sixty (60) days following the Termination Date, provided, however, that if such the sixty (60)-day period begins in one calendar year and ends in a second calendar year, such payments, to the extent they qualify as "non-qualified deferred compensation" within the meaning of Section 409A of the Internal Revenue Code of 1986, as amended (the "Code"), and the regulations and guidance promulgated thereunder (collectively, "Code Section 409A"), shall begin to be paid in the second calendar year by the last day of such sixty (60)-day period; provided, further, that the initial payment shall include a catch-up payment to cover amounts retroactive to the day immediately following the Termination Date.

(c) Continued Compensation for Death or Disability. If during the Interim CEO Term, Executive's employment terminates as a result of Executive's death or Disability, in addition to the Accrued Amounts, Executive shall be entitled to (i) a lump sum payment equal to twelve (12) months of Base Compensation plus any earned but unpaid Interim CEO Compensation through the Termination Date and the Bonus amount (prorated for the portion of the year worked); plus (ii) continuation of the health benefits provided to Executive and her covered dependents, pursuant to COBRA and any applicable state or local equivalents, under the Company health plan as in effect from time to time after the Termination Date, at the Company's sole premium cost, for a period of twelve (12) months. Notwithstanding the foregoing, the Company will not terminate Executive's employment for Disability prior to the date on which Executive will have completed the eligibility period for any long term disability benefits for

which Executive may be eligible, but during such period the Company may reduce Executive's duties, responsibilities or authorities and accordingly reduce Executive's Base Compensation in its reasonable discretion and such action shall not constitute Good Reason.

(d) **Full and Complete Satisfaction.** The amounts payable to Executive and, if applicable, continued vesting pursuant to Section 6(a)-(c) hereof following Executive's termination of employment and the Interim CEO Term shall be in full and complete satisfaction of Executive's rights under this Agreement and any other claims that Executive may have in respect of Executive's employment with the Company Entities, and Executive acknowledges that such amounts are fair and reasonable and are Executive's sole and exclusive remedy, in lieu of all other remedies at law or in equity, with respect to the termination of Executive's employment hereunder or any breach of this Agreement. For the avoidance of doubt, termination of Executive's employment under this Agreement shall not have any consequences upon the equity or other interests in the Company Entities held by Executive or Executive's Affiliates or family members, and such consequences, if any, shall only be as expressly set forth in any other agreements with Executive specifically governing such equity or other interests.

7. **Release; Continued Compliance.** The Continued Compensation will only be provided if Executive complies with all terms and conditions of this Agreement (including Exhibit A hereto) and (a) Executive executes and delivers to the Company a general release of claims in a mutually agreed form provided by the Company to the Executive at the time of a Qualifying Termination, and which, for avoidance of doubt, shall not impose any additional obligations beyond the general release of claims (the "Release") within forty five (45) days following the Termination Date, and (b) thereafter does not revoke Executive's consent to such Release within the time period prescribed therein; provided, however, that in no event shall the timing of execution (and non-revocation) of the Release, directly or indirectly, result in Executive designating the calendar year of payment, and if a payment that is subject to execution (and non-revocation) of the Release could be made in more than one taxable year, payment shall be made in the later taxable year. As a further condition to the receipt of the Continued Compensation, upon any termination of employment, unless otherwise requested by the Company's Executive Committee, Executive shall immediately resign from any officer, consultant, trustee or similar positions Executive holds with the Company or any of the Company Entities. In no event shall the Release require Executive to release Executive's rights and claims to indemnification and/or D&O insurance coverage that the Executive may be entitled to related to actions taken while employed by ALTi, to those that cannot be released as a matter of law or under the Equity Incentive Plan. Notwithstanding anything herein to the contrary, in order to effectuate the continued vesting of Equity Awards pursuant to Section 6(b), the forfeiture of the unvested portion of Executive's unvested Equity Awards that would otherwise occur on the date of a Qualifying Termination in the absence of this Agreement will be delayed until the earlier of (i) the effective date of the Release (at which time any continued vesting shall commence, retroactive to the date of the Qualifying Termination), or (ii) the date that the Release can no longer become effective (at which time the unvested portion of the Equity Awards will be forfeited).

8. **Restrictive Covenants.** The parties agree that the restrictive covenants set forth in Exhibit A hereto (the "Restrictive Covenants") are incorporated herein by reference and shall be deemed to be fully contained herein. Executive understands, acknowledges and agrees that the Restrictive Covenants apply during (a) Executive's employment with the Company and (b) the specified periods following the Termination Date.

9. **Assignment.** This Agreement, and all of the terms and conditions hereof, shall bind the Company and its successors and assigns and Executive and Executive's heirs, valid assigns, executors and administrators. No transfer or assignment of this Agreement shall release the Company from any obligation to Executive hereunder. The Company may assign the rights

and obligations of the Company hereunder, in whole or in part, to any of the Company Entities, or to any other successor or assign in connection with the sale of all or substantially all of the Company's assets or equity or in connection with any merger, acquisition and/or reorganization, provided the assignee assumes the obligations of the Company hereunder.

10. Tax Withholding. The Company shall be entitled to withhold such federal, state and local taxes and make other deductions as may be required pursuant to any applicable law or regulation or which Executive requests the Company to take.

11. Section 409A. To the extent applicable, the intent of the parties is that payments and benefits under this Agreement comply with or be exempt from Section 409A of the Internal Revenue Code of 1986, as amended (the "Code"), and the regulations and guidance promulgated thereunder (collectively, "Code Section 409A"); and, accordingly, to the maximum extent permitted, this Agreement shall be interpreted in accordance therewith. In no event whatsoever shall the Company be liable for any additional tax, interest or penalty that may be imposed on Executive by Code Section 409A or damages for failing to comply with Code Section 409A.

(a) A termination of employment shall not be deemed to have occurred for purposes of any provision of this Agreement providing for the payment of any amount or benefit upon or following a termination of employment, unless such termination is also a "separation from service" within the meaning of Code Section 409A, and, for purposes of any such provision of this Agreement, references to a "termination," "termination of employment" or like terms shall mean "separation from service." Notwithstanding anything to the contrary in this Agreement, if Executive is deemed on the date of termination to be a "specified employee" within the meaning of that term under Code Section 409A(a)(2)(B), then with regard to any payment or the provision of any benefit that is considered "nonqualified deferred compensation" under Code Section 409A payable on account of a "separation from service," such payment or benefit shall not be made or provided until the date which is the earlier of (i) the expiration of the six (6)-month period measured from the date of such "separation from service" of Executive and (ii) the date of Executive's death, solely to the extent required to prevent the imposition of the 20 percent additional tax imposed as a result of the application of Section 409A(a)(2)(B)(i) of the Code. Upon the expiration of the foregoing delay period, all payments and benefits delayed pursuant to this Section 11(a) (whether they would have otherwise been payable in a single sum or in installments in the absence of such delay) shall be paid or reimbursed to Executive in a lump sum, and all remaining payments and benefits due under this Agreement shall be paid or provided in accordance with the normal payment dates specified for them herein.

(b) To the extent that reimbursements or other in-kind benefits under this Agreement constitute "nonqualified deferred compensation" for purposes of Code Section 409A, (i) all expense or other reimbursements hereunder shall be made on or prior to the last day of the taxable year following the taxable year in which such expenses were incurred by Executive; (ii) any right to reimbursement or in-kind benefits shall not be subject to liquidation or exchange for another benefit; and (iii) no such, expenses eligible for reimbursement or in-kind benefits provided in any taxable year shall in any way affect the expenses eligible for reimbursement, or in-kind benefits to be provided, in any other taxable year.

(c) For purposes of Code Section 409A, Executive's right to receive installment payments pursuant to this Agreement shall be treated as a right to receive a series of separate and distinct payments. Whenever a payment under this Agreement specifies a payment period with reference to a number of days, the actual date of payment within the specified period shall be within the sole discretion of the Company. Notwithstanding any other provision of this Agreement to the contrary, in no event shall any payment or benefit under this Agreement that constitutes "nonqualified deferred compensation" for purposes of Code Section 409A be subject to offset by any other amount unless otherwise permitted by Code Section 409A.

12. Section 4999. If any payments, rights or benefits (whether pursuant to the terms of this Agreement or any other plan, arrangement or agreement of Executive with the Company or any person affiliated with the Company) (the “Payments”) received or to be received by Executive will be subject to the tax (the “Excise Tax”) imposed by Section 4999 of the Code (or any similar tax that may hereafter be imposed), then the Payments shall be reduced to the extent necessary so that no portion thereof shall be subject to the Excise Tax, but only if, by reason of such reduction, the net after-tax benefit received by Executive shall exceed the net after-tax benefit that would be received by Executive if no such reduction was made. The process for calculating the Excise Tax, and other procedures relating to this Section 12, are set forth in Exhibit B attached hereto. For purposes of making the determinations and calculations required herein, the Accounting Firm (as defined in Exhibit B) may rely on reasonable, good faith interpretations concerning the application of Sections 280G and 4999 of the Code. The parties agree that the provisions set forth in Exhibit B hereto are incorporated herein by reference and shall be deemed to be fully contained herein.

13. Indemnification. Executive shall be entitled to indemnification pursuant to the governing documents of the Company, including any Articles or Certificate of Incorporation or other policy. The Company shall also maintain a Directors and Officers insurance policy during the Interim CEO Term which names Executive as an insured person and includes tail coverage in accordance with industry practices.

14. General.

(a) Notices. Any notices provided hereunder must be in writing and shall be deemed effective (i) on the day of personal delivery; (ii) the following business day if such day of delivery is not a business day or if delivery is by recognized overnight courier; or (iii) with respect to email, on the day of confirmation of receipt of such email, in each case, to the recipient at the address indicated below, or to such other address or to the attention of such other person as the recipient party may have specified by prior written notice to the sending party:

To the Company:

ALTi Global, Inc.
22 Vanderbilt Ave., 27th Floor
New York, NY 10017
Attention: Colleen Graham
Email: Colleen.Graham@alti-global.com

To Executive:

At the location set forth in the Company’s records.

(b) Reasonableness of Restrictions; Severability; Reformation. The Company and Executive expressly agree that the restrictions contained in this Agreement (including Exhibit A) (i) are reasonable and lawful, (ii) will not unnecessarily or unreasonably restrict Executive’s professional business opportunities should Executive cease to be an employee of the Company or any of the Company Entities and (iii) are no broader than necessary to protect the goodwill, confidential information, proprietary information, trade secrets and other legitimate business interests of the Company or any of the Company Entities. However, if any provision of this Agreement shall be held or deemed to be invalid, illegal or unenforceable in any jurisdiction for any reason, the invalidity of that provision shall not have the effect of rendering the provision

in question unenforceable in any other jurisdiction or in any other case or of rendering any other provisions herein unenforceable, but the invalid provision shall be substituted with a valid provision that most closely approximates the intent and the economic effect of the invalid provision and that would be enforceable to the maximum extent permitted in such jurisdiction or in such case. If it is determined by an arbitrator or a court of competent jurisdiction in any state that any restriction in this Agreement (including Exhibit A) is excessive in duration or scope or is unreasonable or unenforceable under applicable law, the parties agree to modify such restriction so as to render it enforceable to the maximum extent permitted by the laws of that state.

(c) Defend Trade Secrets Act Notice. Executive is hereby notified in accordance with the Defend Trade Secrets Act that Executive will not be held criminally or civilly liable under any federal or state trade secret law for the disclosure of a trade secret that: (A) is made (i) in confidence to a federal, state, or local government official, either directly or indirectly, or to an attorney; and (ii) solely for the purpose of reporting or investigating a suspected violation of law; or (B) is made in a complaint or other document filed in a lawsuit or other proceeding, if such filing is made under seal. An individual who files a lawsuit for retaliation by an employer for reporting a suspected violation of law may disclose the trade secret to her attorney and use the trade secret information in the court proceeding, if the individual (A) files any document containing the trade secret under seal; and (B) does not disclose the trade secret, except pursuant to court order. Nothing in this Agreement (including this Exhibit A) is intended to conflict with 18 U.S.C. § 1833(b) or create liability for disclosures of trade secrets that are expressly allowed by 18 U.S.C. § 1833(b).

(d) Whistleblower Protection. Notwithstanding anything to the contrary, no provision of this Agreement (including Exhibit A) will be interpreted so as to impede Executive (or any other individual) from exercising Executive's "Whistleblower Rights" which shall include: (i) making any disclosure of relevant and necessary information or documents in any action, investigation or proceeding relating to this Agreement, or as required by law or legal process, including with respect to possible violations of law; (ii) participating, cooperating or testifying in any action, investigation or proceeding with, or providing information to, any governmental agency, legislative body or any self-regulatory organization, including, but not limited to, the Department of Justice, the Securities and Exchange Commission, the Congress and any agency Inspector General; (iii) accepting any U.S. Securities and Exchange Commission Awards; or (iv) making other disclosures under the whistleblower provisions of federal law or regulation. In addition, nothing in this Agreement or any other agreement or Company policy prohibits or restricts Executive from initiating communications with, or responding to any inquiry from, any administrative, governmental, regulatory or supervisory authority regarding any good faith concerns about possible violations of law or regulation. Executive does not need the prior authorization of the Company to make any such reports or disclosures, and Executive will not be required to notify the Company that such reports or disclosures have been made.

(e) Clawback Policy. In the event that the Company determines that Executive received "Erroneously Awarded Compensation," as defined in the Company's Clawback Policy effective as of October 2, 2023 (the "Clawback Policy"), or any such erroneously awarded compensation under any successor or related policy, Executive shall promptly repay or otherwise be subject to forfeiture of such compensation in accordance with the Clawback Policy or successor or related policy.

(f) Entire Agreement. This Agreement (including Exhibit A and Exhibit B) constitutes the final, complete and exclusive embodiment of the entire agreement and understanding between the parties related to the subject matter hereof and supersedes and preempts any prior or contemporaneous understandings, agreements or representations by or between the parties, written or oral. This includes any agreements or understandings with the Company or any of the Company Entities (including without limitation any predecessors to any

Company Entities), which Executive agrees and acknowledges are hereby terminated and have no further force or effect.

(g) Counterparts. This Agreement may be executed in separate counterparts, either of which need not contain signatures of more than one party, but both of which taken together will constitute one and the same agreement. A faxed, .pdf-ed or electronic signature shall operate the same as an original signature and shall be considered to have the same binding legal effect as if it were the original signed version thereof delivered in person.

(h) Amendments. No amendments or other modifications to this Agreement may be made except by a writing signed by each party hereto. No amendment or waiver of this Agreement requires the consent of any individual, partnership, corporation or other entity not a party to this Agreement.

(i) Survivorship. The provisions of this Agreement necessary to carry out the intention of the parties as expressed herein (including, without limitation, the Restrictive Covenants provided in Section 8 hereof and Exhibit A hereto) shall survive the Termination Date.

(j) Waiver. The waiver by either party of the other party's prompt and complete performance, or breach or violation, of any provision of this Agreement shall not operate nor be construed as a waiver of any subsequent breach or violation, and the failure by any party hereto to exercise any right or remedy which such party may possess hereunder shall not operate nor be construed as a bar to the exercise of such right or remedy by such party upon the occurrence of any subsequent breach or violation. No waiver shall be deemed to have occurred unless set forth in a writing executed by or on behalf of the waiving party. No such written waiver shall be deemed a continuing waiver unless specifically stated therein, and each such waiver shall operate only as to the specific term or condition waived and shall not constitute a waiver of such term or condition for the future or as to any act other than that specifically waived.

(k) Captions. The captions of this Agreement are for convenience and reference only and in no way define, describe, extend or limit the scope or intent of this Agreement or the intent of any provision hereof.

(l) Arbitration; Exclusive Jurisdiction; Waiver of Jury Trial. If any dispute arises concerning this Agreement, the interpretation of the terms of this Agreement or otherwise relating in any way to the terms and conditions of Executive's employment or its termination, including any claim based on any statute, whether alleging discrimination or any other statutory violation, the parties agree to submit the dispute to arbitration, except with respect to claims that are required to be brought before an administrative agency as provided by law. Such arbitration will be in New York, New York, before a neutral arbitrator at JAMS (selected from a list provided by JAMS) pursuant to its Employment Arbitration Rules & Procedures. For interim injunctive relief, it is agreed that any court of competent jurisdiction may also entertain an application by either party. Any award of the arbitrator shall be final and binding, subject only to such right of review that may lie under applicable state or federal law. In the event of any court proceeding to challenge or enforce an arbitrator's award, the parties hereby consent to the exclusive jurisdiction of the Delaware Court of Chancery or, if such court shall not have jurisdiction, any federal or state court located in the State of Delaware and agree that such courts are not an inconvenient forum. Executive hereby agrees that the existence of any such arbitration as well as any decision, award or settlement and the terms thereof shall be confidential and shall not be disclosed to any third party except as required by law, to Executive's immediate family and to Executive's tax, accounting and legal advisors, provided that Executive secures the agreement of such individuals to keep such information confidential. If either party brings a

proceeding to enforce or effect its rights under this Agreement, the prevailing party shall be entitled to recover its costs and expenses, including the costs of mediation, arbitration, litigation, court fees, and reasonable attorneys' fees incurred in connection with such proceeding. To the extent any award is subject to confirmation or vacatur proceeding, Executive agrees to seek permission to file it under seal. The parties hereby agree that this arbitration clause shall be governed by and construed under the Federal Arbitration Act. EXECUTIVE AND THE COMPANY HEREBY WAIVE ANY RIGHT TO A TRIAL BY JURY IN ANY ACTION OR PROCEEDING TO ENFORCE OR DEFEND ANY RIGHT, POWER OR REMEDY UNDER OR IN CONNECTION WITH THIS AGREEMENT OR ARISING FROM ANY RELATIONSHIP EXISTING IN CONNECTION WITH THIS AGREEMENT.

(m) Governing Law; Equitable Remedies. THIS AGREEMENT SHALL BE GOVERNED BY, AND CONSTRUED IN ACCORDANCE WITH, THE LAWS OF THE STATE OF DELAWARE (WITHOUT GIVING EFFECT TO CONFLICT OF LAWS PRINCIPLES THEREOF).

(n) Third Party Beneficiaries. Except as expressly provided herein, nothing in this Agreement shall confer any rights or remedies upon any person, other than the parties hereto and any and all of Executive's heirs, successors, valid assigns, executors and administrators.

(o) Legal Advice. Executive acknowledges that Executive has had the opportunity to consult with legal counsel of Executive's choosing in connection with Executive's decision to enter this Agreement.

15. Definitions. For purposes of this Agreement:

(a) "Affiliate" means an affiliate of the Company (or other referenced entity, as the case may be) as defined in Rule 405 promulgated under the Securities Act of 1933, as amended.

(b) "Board" means the board of directors of the Company.

(c) "Cause" means Executive's (i) willful or deliberate failure to perform Executive's duties required hereunder; (ii) material breach of a term of this Agreement; (iii) breach of Executive's fiduciary duty to the Company, dishonesty, willful misconduct or fraud in connection with any aspect of Executive's employment including in respect of any representations made by Executive in this Agreement, (iv) gross negligence in the performance of Executive's material duties required hereunder; (v) a violation of banking or securities industry laws, rules or regulations that constitutes a serious offense or that could or does result in a significant fine; (vi) indictment or the substantial equivalent for, conviction of or a plea of guilty or nolo contendere to (A) any felony or (B) a misdemeanor involving moral turpitude; (vii) engaging in willful misconduct materially injurious to the business, reputation or goodwill of the Company or any of the Company Entities; or (viii) any material violation of policies, practices or standards of behavior of the Company or any of the Company Entities made available to the Executive (including those set forth in any Employee Handbook, Compliance Manual, or Code of Ethics). In no event shall any of the following constitute Cause: (x) the failure to attain any individual, divisional or Company performance, implementation, integration or other objective; (y) any act or omission taken as a result of any Disability; or (z) any act or failure to act, taken in good faith and based upon direction given by the Permanent CEO or Board of Directors or advice of corporate legal counsel. Notwithstanding the foregoing, in respect of subsections (ii) and (viii), Executive shall have ten (10) business days following written notice from the Company to cure the circumstances giving rise to Cause, provided that in the good faith judgment of the Company, such circumstances are non-recurring and susceptible to cure.

(d) “Company Entities” means the Company, its Subsidiaries and its other Affiliates.

(e) “Disability” means any physical or mental incapacity which prevents Executive from carrying out the essential functions of Executive’s position or positions under this Agreement, with or without reasonable accommodation, for any period of one hundred twenty (120) consecutive days in any twelve (12) month period (the “Measurement Period”). For the avoidance of doubt, Executive shall be considered to be unable to perform the essential functions of Executive’s position or positions under this Agreement for the Measurement Period if the Executive is expected to a reasonable degree of medical certainty to be unable to perform the essential functions of Executive’s position or positions with or without reasonable accommodation for the Measurement Period. If any question shall arise as to whether during any period the Executive is unable to perform the essential functions of Executive’s position or positions with or without reasonable accommodation for the Measurement Period, Executive may, and at the request of the Company shall, submit to the Company a certification in reasonable detail by a physician selected by the Company to whom Executive has no reasonable objection as to whether Executive is so unable to perform or how long such inability to perform is expected to continue, and such certification shall for the purposes of this Agreement be conclusive of the issue. Executive shall cooperate with any reasonable request of the physician in connection with such certification. If such question shall arise and Executive shall fail to submit such certification, the Company’s determination of such issue shall be binding on Executive. Nothing in this Agreement shall be construed to waive Executive’s rights, if any, under existing law including, without limitation, the Family and Medical Leave Act of 1993, 29 U.S.C. §2601 *et seq.* and the Americans with Disabilities Act, 42 U.S.C. §12101 *et seq.*

(f) “Good Reason” shall mean the occurrence of any of the following events without Executive’s express written consent:

- (i) any reduction in Executive’s Base Compensation;
- (ii) a material change, diminution or elimination of Executive’s duties and responsibilities as Interim CEO or CIO, as applicable, provided that with respect to Executive’s role as CIO, any such change, diminution or elimination that results in Executive’s role no longer substantively reflects the CIO role Executive held immediately prior to the Effective Date;
- (iii) transfer to any role other than CIO;
- (iv) a relocation of Executive’s primary place of employment outside Manhattan or such that the driving distance from Executive’s primary residence to the primary place of employment increases by more than twenty-five (25) miles; or
- (v) the material breach of this Agreement by the Company;

provided, however, that “Good Reason” shall not exist unless Executive has first provided written notice to the Company of the initial occurrence of one or more of the conditions under clauses (i) through (iv) above within thirty (30) days of the condition’s initial occurrence, such condition is not remedied by the Company within thirty (30) days after the Company’s receipt of written notice from the Executive, and Executive’s Termination Date as a result of such event occurs within ninety (90) days after the initial occurrence of such event.

(g) “Subsidiary” means a subsidiary of the Company (or other referenced entity, as the case may be) as defined in Rule 405 promulgated under the Securities Act of 1933, as amended.

[Signature page follows]

IN WITNESS WHEREOF AND INTENDING TO BE LEGALLY BOUND THEREBY, the parties hereto have executed and delivered this Agreement as of the year and date first above written.

ALTI GLOBAL, INC.

By: /s/ Colin Peters

Name: Colin Peters

Title: Chief Human Resources Officer

/s/ Nancy Curtin

Nancy Curtin

Exhibit A

Restrictive Covenants

1. Non-Solicitation; Non-Interference.

(a) During Executive's employment and for two (2) years following the Termination Date, Executive shall not, without the prior written consent of the Company, directly or indirectly, in any manner or capacity (other than for the sole benefit of the Company Entities, employ, engage, attempt to employ or engage, assist in hiring recruit or otherwise solicit, induce or influence any Person who is an employee of any of the Company Entities ("Company Personnel") or recruit or otherwise solicit, induce or influence any Company Personnel to leave employment with the Company Entities; provided, that nothing contained in this Section 2 shall prohibit Executive, after the Termination Date, from (i) making any solicitation through the use of general advertising in newspapers, publications, the internet or other media of general circulation not directed or targeted at Company Personnel, (ii) making any solicitation or hiring of any administrative or executive assistants who were working for Executive immediately prior to the Termination Date or (iii) the taking of any action with respect to any former Company Personnel, if such former Company Personnel has otherwise not been employed or engaged by the Company Entities for at least six (6) months prior to the action and was not (A) induced to terminate her employment with, or service to, the Company Entities or (B) solicited for hire or engagement, in either case of (A) or (B), directly or indirectly by Executive prior to the expiration of such six (6) month period.

(b) During Executive's employment and for two (2) years following the Termination Date, Executive shall not, without the prior written consent of the Company, directly or indirectly, in any manner or capacity (other than for the sole benefit of the Company Entities), (i) solicit the business of any Clients or Prospective Clients of the Company Entities or (ii) either singly or with others, engage or propose to engage in the acquisition of any Prospective Portfolio Investments (as defined below), in each case, with which (or with whom) Executive first had material contact during employment with any Company Entity or predecessor or as to which (or whom) Executive has accessed or otherwise learned Confidential Information (as defined below). For purposes of this Section 2(b), (A) "Client" means any person, firm, corporation or other organization whatsoever for whom any Company Entity has provided investment advisory services and with respect to whom Executive, individuals reporting to Executive or individuals over whom Executive had direct or indirect responsibility had personal contact or dealings on a Company Entity's behalf during the one (1) year period immediately preceding Executive's Termination Date; (B) "Prospective Client" means any person, firm, corporation or other organization whatsoever with whom any Company Entity has had any negotiations or discussions regarding the possible investment in any investment vehicle or account managed or advised by any of the Company Entities (a "Company Fund") within the three (3) month period immediately preceding Executive's Termination Date and with respect to whom Executive, individuals reporting to Executive or individuals over whom Executive had direct or indirect responsibility had personal contact or dealings on the Company's behalf during such three (3) month period; and (C) "Prospective Portfolio Investment" means any prospective portfolio investments of any Company Funds that, to Executive's knowledge, were in process or under active consideration by any of the Company Entities as of Executive's Termination Date.

(c) During Executive's employment and for two (2) years following the Termination Date, Executive shall not, without the prior written consent of the Company, directly or indirectly, in any manner or capacity, induce or encourage any investor in a Company Fund to seek to have its capital commitment to such Company Fund reduced, or to terminate or diminish its business relationship with the Company or any of the Company Entities.

2. **Notice Period.** Executive agrees to provide at least thirty (30) days' prior written notice in advance of resigning or retiring from the Company (the "**Notice Period**"), unless such resignation is for Good Reason following the completion of the applicable cure period, in which event the Notice Period shall be at least fourteen (14) days. During the Notice Period, Executive will continue to be an employee of the Company and shall remain subject to the terms of this Agreement, and all Company policies and procedures. In no event may Executive perform services of any kind for any other employer during the Notice Period. During the Notice Period, the Company may, in its sole discretion, remove any duties assigned to Executive, assign Executive other duties, require Executive to remain away from the Company's place of business, or waive some or all of the Notice Period and consider Executive's resignation effective immediately, or on some date prior to the expiration of the Notice Period. During the effective duration of the Notice Period, and provided that Executive continues to act in a manner consistent with Executive's obligations as an employee of the Company, Executive will continue to be paid at Executive's then current Base Compensation rate and participate in benefit plans for Company employees in comparable positions, subject to continued eligibility under the terms of such benefit plans, including eligibility to participate in the MIP, if any, and continued vesting of Equity Award(s), during the Notice Period, previously granted to the Executive (collectively, the "**Notice Pay**"), but Executive shall not be entitled to any other payments of any kind.

3. **Confidentiality.**

(a) During the Interim CEO Term and thereafter, Executive shall not disclose, communicate or use any Confidential Information, other than in the course of Executive's performance of Executive's duties and responsibilities to the Company Entities (except as provided in Sections 14(c) and 14(d) of the Agreement to which this Exhibit A is attached).

(b) "**Confidential Information**" includes, but is not limited to, financial and operational information and data regarding the Company and the Company Entities and any Company Fund; investor or client lists or other contact or personal information for current and former investors or clients and prospective investors or clients, including information relating to any of their representatives or investors; contact or other information relating to investors or clients or prospective investors or clients of the Company or any of the Company Entities; account and portfolio information; proprietary software, models, processes, discoveries, inventions, strategies, know-how, and the like; track record and performance data of the Company or any fund, account or subset of assets in any such fund or account, whether managed individually or collectively (the "**Track Record**"), in addition to any underlying portfolio information that could support any Track Record such as investment performance data, profit and loss statements, liquidity analyses, risk reports, exposure analyses, position information and details, investment strategies and the like; internal analyses, management information reports and worksheets such as marketing and business plans, profit margin studies and compensation; accounting information, including financial statements of the Company and the Company Entities; personal and financial information pertaining to current and former employees, partners, members, officers or directors of the Company and the Company Entities; and any information provided to the Company under an obligation of confidentiality. For the avoidance of doubt, Executive acknowledges and agrees that the Company is and shall remain the sole and exclusive owner of all rights, title and interest in any Track Record, and that Executive shall take all reasonable actions and cooperate as necessary to protect and preserve the Company's ownership of and proprietary rights to any Track Record.

(c) Executive agrees to comply with all codes of conduct, compliance manuals and policies of the Company Entities provided to Executive in writing for purposes of handling material, non-public information during the course of Executive's employment with the Company.

(d) Executive hereby agrees to deliver to the Company promptly following the Termination Date, or at any other time upon request by the Company, all property and equipment of the Company or any of the Company Entities of any kind in Executive's possession including, but not limited to, computer equipment (hardware and software), documentation of any sort and however stored (including Confidential Information as defined herein), identification cards, credit cards, cellular telephones, iPhone or similar device, magnetic key cards and the like. Executive shall also provide to the Company with all log-in, password, account and other information of any kind for any documents, programs, accounts or other password protected materials of any kind in Executive's possession or control that relate to the business of the Company.

(e) Except as provided in Sections 14(c) and 14(d) of the Agreement to which this Exhibit A is attached, if Executive receives a subpoena or other legal process that would or may require the disclosure of Confidential Information or any Company Entity's documents or information, Executive must notify the Company promptly following her receipt of such process.

4. Intellectual Property; Company Work Product.

(a) For purposes of this Exhibit A:

- (i) "Intellectual Property." means all: (A) patents, patent applications and patent disclosures; (B) trademarks, service marks, trade dress, trade names, logos, corporate names, Internet domain names and registrations and applications for the registration thereof, together with all of the goodwill associated therewith; (C) copyrights and copyrightable works (including, without limitation, mask works, computer software, source code, object code, data, databases and documentation relating thereto (collectively, "Software")), and registrations and applications for the registration thereof; (D) trade secrets and other Confidential Information (whether or not patentable), including, without limitation, inventions, discoveries, developments, improvements, know-how, ideas, concepts, products, devices, systems, processes, methods, business methods, techniques, strategies, formulas, compositions, equations, algorithms, rules, protocols, Software, research and development information, data, drawings, specifications, flowcharts, schematics, programmer notes, designs, proposals, plans, financial and marketing plans, track record (i.e., investment performance of accounts) and customer, partner and vendor lists and information; (E) other similar proprietary rights; and (F) copies and tangible embodiments thereof (in whatever form or medium); and
- (ii) "Company Work Product" means Intellectual Property that is conceived, developed, made or reduced to practice by Executive, alone or jointly with others, during the term of Executive's employment with the Company Entities, and: (A) by using equipment, supplies, facilities or information of any Company Entity (other than use of Executive's mobile device, tablet or personal computer, and not relating to the current or anticipated business activities of the Company Entities); (B) arises out of Executive's employment by the Company Entities; or (C) arises out of any of the Company Entities' current or anticipated business activities; provided, however, that Company Work Product will not

include any Intellectual Property that Executive cannot be required to assign by law.

(b) Executive acknowledges and agrees that the Company shall own all right, title and interest in and to all Company Work Product, including, without limitation, any right to collect for past damages for the infringement or unauthorized use of Company Work Product. To the extent that any Intellectual Property that forms part of the Company Work Product does not automatically, by operation of law, vest in the Company, Executive hereby irrevocably transfers and assigns to the Company (or, to the extent not transferable, waives) all right, title and interest in and to such Intellectual Property for all forms and media, whether or not now existing, throughout the world, including, without limitation, any right to collect for past damages for the infringement or unauthorized use of such Intellectual Property and waives, to the fullest extent permitted by law, all of Executive's "moral rights" with respect to such Intellectual Property.

(c) Without limiting Executive's obligations under any other provision of this Exhibit A, Executive hereby agrees to disclose to the Company promptly and fully, maintain adequate and current records of and comply with the Company's policies regarding record keeping (as such policies may be created and amended from time to time) for any and all material Company Work Product. Such records shall be and shall remain the exclusive property of the Company and shall be made available promptly to the Company at any time upon request of the Company.

(d) Executive shall not disclose to any Company Entity, use in its business or cause any Company Entity to use any information or material that is confidential to any third party (other than where a right or permission to do so has been secured from the applicable third party), nor shall Executive incorporate into any Company Work Product any Intellectual Property of any third party, unless such incorporation has been authorized in writing by the Company. Executive hereby represents and warrants that Executive is not party to any agreement currently in effect (other than with respect to surviving confidentiality obligations) that obligates Executive to grant, assign or license to any party (other than the Company Entities) any interest in Intellectual Property conceived, developed, made or reduced to practice by Executive, or which would otherwise inhibit Executive from fulfilling Executive's obligations herein.

(e) During the Interim CEO Term and thereafter, upon the request of any Company Entity, Executive will promptly provide cooperation and assistance to the Company and its successors, assigns or other legal representatives or any other Company Entity, at the Company's expense (such assistance and cooperation including, without limitation, the execution and delivery of any and all affidavits, declarations, oaths, exhibits, assignments, powers of attorney or other documentation as may be reasonably required): (i) in obtaining and/or perfecting ownership and control over Intellectual Property included in Company Work Product; (ii) in the preparation and prosecution of any applications for, or registration of, any Intellectual Property included within Company Work Product; (iii) in the prosecution or defense of, or other participation in, any court or patent office proceedings, including, without limitation, any interference, opposition, reexamination, reissue, litigation or other proceedings, that may arise in connection with Company Work Product, including, without limitation, producing documents or providing testimony relating to Company Work Product, and assisting the Company to obtain such documents or testimony; and (iv) in obtaining any additional patents or other protection that the Company may deem appropriate and that may be secured under the laws now or hereafter in effect in any country.

(f) Executive hereby irrevocably designates and appoints the Company and its duly authorized officers and agents, as Executive's agents and attorneys-in-fact to act for and on Executive's behalf and instead of Executive, to execute and file any documents, applications or related findings and to do all other lawfully permitted acts to further the purposes set forth

above in Section 4, including, without limitation, the perfection of assignment and the prosecution and issuance of patents, patent applications, copyright applications and registrations, trademark applications and registrations or other rights in connection with such inventions and improvements thereto with the same legal force and effect as if executed by Executive, in each case, exercisable solely where Executive is deceased or incapacitated or otherwise has not fulfilled her obligations hereunder in a reasonably timely manner after written request from the Company.

5. Non-Disparagement. Each of Executive and the Company agrees to not at any time, during or after Executive's employment, disparage, criticize or ridicule the other party (including any of the Company Entities) or current or former officers, directors or employees, to any individuals or entities with whom Executive, the Company or any of the Company Entities, as applicable, has or may have a business relationship or to any third party in the financial services community; provided, however, that this shall not apply to critical statements that are made reasonably and appropriately in the course of Executive's good faith performance of Executive's responsibilities. Further Executive agrees that Executive will not make any negative public comments regarding the Company or any of the Company Entities or current or former officers, directors or employees of the Company or Company Entities, by way of news interviews, posting comments on, or publishing internet blogs or webpages (whether or not done anonymously), or publishing and/or circulating any other form of media, or the expression of Executive's personal views, opinions or judgments to the media, internet blogs or webpages, or otherwise (whether or not done anonymously). Nothing in this Section 5 or elsewhere in this Agreement shall prohibit Executive from providing truthful and complete information (a) in response to a subpoena, in testifying in any action or proceeding, or in connection with any regulatory inquiry, (b) as required or protected by law rule or regulation, or (c) in pursuing Executive's Whistleblower Rights, including communicating directly with a Governmental Agency or self-regulatory organization regarding a potential securities law violation without notice to the Company.

6. Cooperation. Executive agrees to cooperate fully both during Executive's employment and after the termination of Executive's employment for any reason in all respects with the Company and the Company Entities in connection with any and all existing or future claims, investigations, arbitrations, proceedings, litigations or examinations involving any of the Company Entities which relate to Executive's service. This shall include, without limitation, making Executive available on reasonable notice for interviews and other communications with in-house and outside counsel acting on behalf of the Company or any Company Entity in connection with any such matter and appearing without a subpoena for a deposition or to give testimony in any hearing, trial or arbitration at the request of the Company. The Company shall compensate Executive at a reasonable rate and reimburse Executive for reasonable travel and related expenses incurred in connection with any requests for cooperation hereunder upon presentation of satisfactory documentation.

7. Permitted Activities. Notwithstanding anything herein to the contrary, this Exhibit A shall not limit or otherwise restrict the following activities, to the extent such activities do not interfere in any material respect with Executive's role and responsibilities at the Company Entities or conflict with the interests of any Company Entity: (a) Executive's service on the board of directors of a third-party company, subject to pre-approval by the Company (which may include pre-approval by the Board, if determined to be necessary or prudent), (b) the activities of Executive's family members (to the extent not acting at the direction of or on behalf of Executive in breach of this Exhibit A), (c) Executive owning in a passive capacity up to five percent (5%) of the outstanding equity interests of (i) any publicly traded class of equity or debt securities registered under the Securities Exchange Act of 1934, as amended, or (ii) a third party investment fund that is not controlled by Executive (including by way of any investment consent rights over actions taken by such investment fund), in each case, so long as such ownership does

not create any conflict of interest with Executive's duties hereunder, (d) Executive making any investment, engaging in any activities or otherwise taking any action related to bona fide charitable, non-profit, philanthropic, community, literary and artistic activities (including joining or participating in the activities or serving on the board of any bona fide non-profit organization or trade or industry group or association) or (e) Executive providing investment advice to Executive's family members or being actively involved in Executive's Family Office, if applicable (as defined below), so long as such activities are (i) not inconsistent with the restrictions set forth in Section 1 and Section 2 hereof, (ii) such investments are made in accordance with the Company's compliance and trade reporting policies and (iii) such investments do not include a diversion of an investment opportunity presented to Executive in Executive's capacity as an executive with the Company. For the purposes of this Section 7, "Family Office" means the organization responsible for the day-to-day administration and management of Executive's and/or one or more of Executive's family member's financial and personal affairs (whether exclusively or on a collective basis with the financial and personal affairs of a limited number of friends and family and/or other Company professionals), which may include, but is not limited to, wealth management, making and managing of investments, tax planning, estate planning and philanthropic endeavors, and includes any entity which holds the personal investments of Executive or Executive's family members; provided that Executives does not receive any investment advisory-related fees or other fees (excluding any cost allocation or expense reimbursement), directly or indirectly, from any investors in the Family Office.

8. Incorporation. For the avoidance of doubt, this Exhibit A is incorporated in the Executive Employment and Restrictive Covenant Agreement, dated as of July 1, 2026, by and between the Company and Executive, and the terms of Section 14 thereto shall apply to this Exhibit A.

Exhibit B

EXCISE TAX RULES AND PROCEDURES

1. Either the Company or Executive may request that a determination be made under Section 12 of this Agreement. All determinations required to be made under Section 12 of this Agreement and this Exhibit B shall be made by a public accounting firm (the “Accounting Firm”) selected and paid by the Company. The Accounting Firm shall provide detailed supporting calculations both to the Company and Executive within fifteen (15) business days of the event that results in the potential for an excise tax liability for Executive, which could include but is not limited to a change in control and the subsequent vesting of any cash payments or awards, or Executive’s termination of employment, or such earlier time as is required by the Company. Any such determination by the Accounting Firm shall be binding upon the Company and Executive.

2. If the Accounting Firm determines that one or more reductions are required under Section 12 of this Agreement, the Accounting Firm shall also determine which Payments shall be reduced to the minimum extent necessary so that no portion thereof shall be subject to the excise tax imposed by Section 4999 of the Code, and the Company shall pay such reduced amount to Executive. The Accounting Firm shall make any reductions required under Section 12 of this Agreement in a manner intended to maximize the net after-tax amount payable to Executive, and to such Payments as may be agreed to by Executive, and/or the later deferral of payment of such Payments, to the extent consistent with Code Sections 409A and 457A, to the extent applicable, and upon such terms as agreed to by Executive, and any such determinations shall make use, to the maximum extent available, of all applicable exemptions from the calculation of “parachute payments”, including “reasonable compensation” valuations in respect of all applicable non-competition covenants.

3. As a result of the uncertainty in the application of Code Sections 280G and 4999 at the time that the Accounting Firm makes its determinations under this Exhibit B, it is possible that amounts will have been paid or distributed to Executive that should not have been paid or distributed (collectively, the “Overpayments”), or that additional amounts should be paid or distributed to Executive (collectively, the “Underpayments”). If the Accounting Firm determines, based on either the assertion of a deficiency by the Internal Revenue Service against the Company or Executive, which assertion the Accounting Firm believes has a high probability of success, or controlling precedent or substantial authority, that an Overpayment has been made, Executive must repay to the Company, without interest, the amount of the Overpayment. If the Accounting Firm determines, based upon controlling precedent or substantial authority or related interaction with the Internal Revenue Service, that an Underpayment has occurred, the Accounting Firm will notify Executive and the Company of that determination and the amount of that Underpayment will be paid to Executive promptly by the Company. Notwithstanding anything herein to the contrary, the Executive (i) is not entitled to any tax gross up whatsoever and (ii) the Executive is not entitled to any additional compensation for 2026 beyond that which is provided for in this agreement.

4. The parties will provide the Accounting Firm access to and copies of any books, records, and documents in their possession as reasonably requested by the Accounting Firm, and otherwise cooperate with the Accounting Firm in connection with the preparation and issuance of the determinations and calculations contemplated by this Exhibit B.

5. For the avoidance of doubt, this Exhibit B is incorporated in the Executive Employment and Restrictive Covenant Agreement, dated as of July 1, 2026, by and between the Company and Executive.