

**Oakpoint Solutions, LLC**  
**Customer Information Annual Disclosures**

This letter is being provided in order for Oakpoint Solutions, LLC, (or the "Firm" or "Oakpoint") to remain compliant with disclosures required by the Financial Industry Regulatory Authority ("FINRA"). This notification is for informational purposes and does not require any action on your part.

This web site has been prepared for informational purposes only and does not constitute an offer to see or a solicitation of an offer to buy any security or investment product. Oakpoint Solutions, LLC markets private placement products exclusively through registered representatives and to qualified institutional investors. Any such offer or solicitation will be made, if at all, solely through a Confidential Private Offering Memorandum and Disclosure Document and in accordance with the terms of all applicable securities regulations and other laws. None of the information presented here is intended to form the basis for any investment decision, and no specific recommendations are intended. Oakpoint does not make any representations as to the accuracy or completeness of any information contained herein and such information should not be relied upon as such.

**Business Continuity Plan**

Oakpoint Solutions, LLC has an established Business Continuity Plan ("BCP") that includes systems and procedures for backup and recovery of mission critical systems / data, alternate communications with customers / employees and alternate physical locations. Oakpoint Solutions, LLC's BCP is designed to address the effects of various significant business disruptions ("SBDs"), whether internal (e.g., affecting an Oakpoint Solutions, LLC building) or external (e.g., affecting a business district, city or region in which Oakpoint Solutions, LLC conducts business), that may be caused by a number of foreseeable scenarios. Oakpoint Solutions, LLC's BCP includes a crisis management framework as well as a number of contingency sites and plans to address both internal and external SBDs. Secondary phone: (212) 588-6400. All Oakpoint Solutions, LLC operational facilities are equipped for resumption of business. Regarding all circumstances within our control, Oakpoint Solutions, LLC's recovery time objective for business resumption is four (4) hours, depending upon the availability of external resources. In the event of a business interruption, you may contact Oakpoint Solutions, LLC directly to process limited activity within the scope of its approved business lines. Instructions to Oakpoint Solutions, LLC must be in writing and/or transmitted via facsimile to: (212) 588- 6410, or by postal service as follows:

Oakpoint Solutions, LLC  
Attn: Compliance  
100 South Ashley Drive, Suite 1130  
Tampa, FL 33602

Oakpoint Solutions, LLC's policy is to respond to all SBDs by focusing on:

- Safeguarding employees' lives, customer assets and Firm property
- Making timely and prudent financial and operational assessments
- Quickly recovering and resuming essential business operations within hours, and if not feasible, the next business day
- Protecting the Firm's books and records
- Allowing Oakpoint Solutions, LLC clients to conduct business

If you would like a copy of the full plan, please contact your Oakpoint Solutions, LLC representative.

## Complaints

Complaints concerning services provided by Oakpoint Solutions, LLC may be directed to:

Oakpoint Solutions, LLC  
Attn: Compliance  
100 South Ashley Drive, Suite 1130  
Tampa, FL 33602  
(212) 588-6400

## Confidentiality

Oakpoint Solutions, LLC's policy is to maintain the confidentiality of client information. Oakpoint Solutions, LLC will adhere to the terms of any Non-Disclosure Agreement ("NDA") between Oakpoint and its counterparts. Please be assured that Oakpoint Solutions, LLC has strict policies and procedures in place on confidentiality of client information.

## Oakpoint Solutions, LLC's Privacy Policy

### Types of Nonpublic Personal Information We Collect

During the normal course of business, Oakpoint Solutions, LLC will accumulate nonpublic personal information about its clients and counterparts in its email archives and databases that is either provided to us by you or obtained by us with your authorization.

### Parties to Whom We Disclose Information

For current and former clients, we do not disclose any nonpublic personal information obtained in the course of our business except as required by law or by regulatory (FINRA or SEC) request. Permitted internal disclosures include, for instance, providing information to our employees and, in limited situations, to unrelated third parties who need to know that information to assist us in providing services to you. In all such situations, we stress the confidential nature of information being shared and where appropriate, Oakpoint Solutions, LLC will bind the receiving party under a Non-Disclosure Agreement ("NDA") that mirrors any existing NDA already in place with a client or counterpart.

### Protecting the Confidentiality and Security of Current and Former Client's Information

We retain records relating to professional services that we provide so that we are better able to assist you with your professional needs and in some cases, to comply with professional guidelines. In order to guard your nonpublic personal information, we maintain physical, electronic and procedural safeguards that comply with our professional standards.

**Please call if you have any questions, or want to opt out of our information sharing, because your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us.**

If there is anything that has not been addressed by the above, please contact Gerard Coughlin at: (212) 588-6400.