

Oakpoint Advisors offers a customized, integrated operational platform for alternative investment managers. Oakpoint Manager Services allows managers to direct 100% of their focus to the investment process and generating alpha. The platform offers access to a seasoned team for a fixed cost, creating stability and allowing the manager to maintain equity.

We believe that in today's capital raising environment, having robust non-investment functions are critical to the success of every investment manager. Oakpoint's team has a proven track record of executing on fund launches, creating a strong accounting and operational backbone, responding to investor due diligence requests, and helping develop compliance policies. Together, our capital platform and manager services bring a compelling and comprehensive structure and approach to partnering seed capital providers with new and emerging asset managers.

FUND ACCOUNTING

Hedge Fund Accounting

Full shadow accounting of administrator

- Produce daily portfolio pnl and holdings report
- Prepare realized and unrealized pnl for tax planning
- Process corporate actions

Review and approve monthly NAV from administrator

- Pnl reconciliation
- Position reconciliation
- Cash reconciliation
- Review management and incentive fee accruals
- Reconcile capital contributions and withdrawals
- Review dividend withholdings & payments
- Verify pricing of portfolio securities between manager and administrator

Prepare month-end performance reporting

Attribution analysis (detail)

Swap unwinds/resets/settlements and payments

Coordinate and manage audit process

- Draft financial statements or
- Review administrator financial statements and footnotes

Prepare annual tax estimates

Review accountant prepared tax returns and investor K-1s

Tax forms: W-9, W-8BEN, W8-IMY

Tax estimates

1042 Filings

Collaborate to draft and implement a formal valuation policy

Distribute K-1s and audited financial statements

HEDGE FUND OPERATIONS

Fund Operations

Liase with prime broker/trading counterparties/third parties

- Monitor bank accounts
- Review and reconcile trade breaks
- Margin monitoring
- Collateral monitoring/cash movement
- Review service fees

Resolve trade breaks for all funds and SMAs

Coordinate all trade corrections

Prepare and distribute daily/monthly reports

- Exposure by country, currency, sector, long/short as needed
- Risk reports
- Create position files to feed Bloomberg and trading systems
- Conduct portfolio and position level liquidity analysis

Review and process fee payments

- Management Fees
- Administrator Fees
- Audit Fees
- Legal Fee

Manage subscription & redemption cash movement

Middle office support for trading

Reporting on pay-to-holds and short positions

- Manage short locates and stock lending program

Separate account reporting

Prepare adhoc performance and attribution for marketing team

Service provider analysis

Manage brokerage relationships

Treasury Services

Monitor cash balances

Implement robust cash controls

Confirm and reconcile wire transfers

Review and input or authorize wire release

Marketing Support

Prepare performance estimates

Update presentations

Create and update DDQ's

Produce investor performance reports

Manage database performance reporting

Maintain and update monthly tearsheet

Data support for preparation of investor communications

Track all monthly data over time

- Returns, AUM, exposures, etc.

Participate in due diligence meetings as requested

- Follow up on requests from due diligence meetings

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MANAGEMENT COMPANY

Investment Advisor Accounting

General ledger accounting**Management fee billing**

- Hedge fund
- Separate accounts

Review and accrue incentive fees**Track marketing fee payments****Budgeting**

- Create and maintain monthly and annual budgets
- Maintain short term cash flow forecasts
- Managing member personal tax estimates and returns

Brokerage reporting/commission management

- Broker commission reporting
- Soft dollar reporting
- Soft dollar payments

Bank reconciliations**Credit card reconciliations****Accounts payable**

- Review and process vendor payments
- Design procedures for check signatures and controls

Review and manage fixed assets**Prepare unaudited financial statements for internal use****Manage audit of investment advisor****Prepare and distribute vendor 1099s****Coordinate tax returns with client's tax advisor****Review insurance coverages**

- D&O or E&O insurance - manage renewals

Develop human resources management function

COMPLIANCE

Regulatory and Compliance

Regulatory filings

- Form D filings and updates
- Form ADV Part 1&2
- Form 13F
- Form PF
- FATCA filings and compliance (liaise with counsel)
- FBAR filings

Review compliance manual**Evaluate CPO/CTS and general CTFC registration or exemptions****Perform due diligence on service providers****GIPS compliance and reporting****Employee trade reporting****Evaluate and implement electronic communication archiving****Compliance administration**

- Review annual compliance report
- Employee ethics and compliance manual certifications
- Manage annual and quarterly employee holdings review and certification
- Monthly or quarterly compliance call with senior management
- Collect information to complete and update Form ADV
- Develop and test business continuity plan
- Develop and test cybersecurity plan
- Maintain restricted list
- Review valuation policy

BUSINESS CONSULTING

Strategy Consulting

Fund positioning consulting**Develop capital raising strategy****Investor level consulting****Service provider vetting and selection****Trading process and workflow****IT infrastructure and buildout**

Investor Relations

Track all investor communication and correspondence**Maintain a robust CRM database of investors****Administer the calendar of events**

- Conference calls
- Meetings

Generate a detailed IFR (Investor Fund Relationship) Report

- Helps the manager understand the breath of marketing efforts
- Investor feedback on the fund and investment team

Develop and distribute marketing materials

- Marketing presentation
- Monthly investor update
- Investor letters
- Other supplemental fund materials

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