



**WhaleRock**  
POINT PARTNERS, LLC

## Professional Investment Management

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### Form ADV Part 2B Brochure Supplement

This brochure supplement provides information about the Registered Investment Adviser Representatives of WhaleRock Point Partners, LLC ("WhaleRock"). This is a supplement to the WhaleRock brochure (Form ADV Part 2A). You should have received a copy of that brochure. Please contact Richard E. Cavanagh, Chief Compliance Officer if you did not receive WhaleRock's brochure or if you have any questions about the contents of the brochure or this supplement.

Additional information about WhaleRock and its representatives is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

WhaleRock is a Registered Investment Adviser. This registration does not imply a certain level of skill or training. Law requires WhaleRock to register with the SEC because the assets under its management exceed the maximum allowed to be exempt from registering.

## Item 2: Educational Background and Business Experience

Persons associated with our firm who determine or provide investment advice to clients are generally required to have a university degree and a postgraduate degree or a professional designation(s) and have significant investment management experience.

**Bradley P. Dorman** was born in 1961. He is a co-founder and managing partner of the firm and is a portfolio manager. Brad graduated from Harvard University in 1984 with an A.B. degree concentrating in Economics. He completed his law degree at The University of Wisconsin in 1987. After practicing law in RI, Brad transitioned to advising high net worth and institutional investors over 15 years ago. He was a Senior Vice President and Portfolio Manager for Bank of America Private Advisory Services (successor to Fleet Investment Advisors) before co-founding WhaleRock in 2006.

**Richard E. Cavanagh** was born in 1961. He is a co-founder and partner of the firm and is a portfolio manager. Richard graduated from Harvard University in 1984 with an A.B. degree concentrating in Biology. He has earned the professional designations of Chartered Life Underwriter (CLU), Chartered Financial Consultant (ChFC), and Certified Financial Planner (CFP®). Richard has held the Chartered Financial Analyst (CFA) certification since 2003. He was a Vice President and Portfolio Manager for both Fleet Investment Advisors and Washington Trust Investors (aka Phoenix Investment Management) before co-founding WhaleRock in 2006. Richard has 30 years experience in wealth and investment advisory services.

**Tyson C. Reed** was born in 1966. He is a partner of the firm and is responsible for developing and managing relationships with institutional clients and high net worth clients and their families. Tyson graduated from Villanova University with a B.A in Communications and Economics in 1988. Before joining WhaleRock, he was an advisor with JP Morgan. Previously, Tyson was Managing Director at U.S. Trust, Bank of America Private Wealth Management. Prior to joining U.S. Trust in 2001, he was a Vice President at Thomson Financial, and began his career in 1988 at Chase Manhattan Bank in New York, in the Global Custody and Securities division. He joined WhaleRock Point Partners in October of 2014.

**James B. Webber** (“Jerry”) was born in 1948. He is a portfolio manager for the firm. Jerry graduated from Trinity College with a B.S in Psychology in 1971. He worked on the bond trading desk at Connecticut Bank and Trust in Hartford Connecticut. He was elected an investment officer in 1978. He joined Fleet Investment Advisors in Maine in 1992 as a Vice President and portfolio manager in the trust department. He transitioned to Providence Rhode Island in 2001, to be a portfolio manager at US Trust, Bank of America Private Wealth Management ( the successor to Fleet Investment Advisors). He joined WhaleRock Point Partners as a portfolio manager in September of 2009.

**Robert E. Cusack** was born in 1954. He is a Portfolio Manager for the firm. Bob graduated from Fordham University with a B.A. degree in Economics in 1977. He did graduate studies at the Tuck School of Business in 1978-79. He worked in Public Finance investment banking at First Boston Corp. in New York City, later in brokerage at Merrill Lynch and in portfolio management as a partner at Van Liew Capital in Providence, RI. Bob founded Preferred Asset Management, LLC in 1997 and Newport Investment Management LLC in 2009 and served as Chief Investment Officer at both firms. He joined WhaleRock as a portfolio manager in March 2012.

**Malcolm G. Chace, Jr.** was born in 1967. He is a Portfolio Manager for the firm. Malcolm graduated from Colby College with a BA in Economics and History in 1990. Malcolm has been an investment

professional and portfolio manager for over 20 years beginning at Scudder, Stevens and Clark in Boston. Malcolm moved to Providence, Rhode Island in 1996 to join the Providence Investment Advisory Group and later co-founded the Providence office for Baldwin Brothers in 1999, managing over \$500 million in assets for high net worth individuals and institutions. In 2008 Malcolm joined Oppenheimer and Company as a managing director and portfolio manager and formed the Nulman/Chace Group. In each capacity, Malcolm was responsible for investment policy, asset allocation by way of custom tailoring portfolios, investment process and relationship management. He joined WhaleRock as a portfolio manager in March 2013.

**Jonathan D. Kuczmariski** was born in 1980. He is a Portfolio Manager for the firm. Jon graduated from Harvard University with an A.B. degree concentrating in Government in 2002. Since graduating from Harvard in 2002, Jon has spent his entire career in the investment management industry. Jon earned a MBA in Finance (investment management track) from Fordham Graduate School of Business in 2008. His previous employment includes the firms J&W Seligman & Co and COPIA Trading LLC. Jon founded an investment advisory firm, Aldershot Capital, LLC, in May 2010 and was the Managing Member until December 2013. Jon was a US Lacrosse Academic All American and played lacrosse for the Harvard Crimson. He joined WhaleRock as a portfolio manager in January 2014.

### Item 3 – Disciplinary Information

Neither WhaleRock nor any of its supervised employees has been or is the subject of any disciplinary, criminal or civil action. Neither is WhaleRock nor any of its employees the subject of any administrative hearing before the SEC or other federal regulatory authority. Neither has WhaleRock nor any of its employees been involved in a self regulatory proceeding, found to be involved in a violation of self regulatory rules or barred or fined for such violation.

### Item 4 – Other Business Activities

None of WhaleRock's employees derives more than 10% of their earned income from non-investment business activities. None of WhaleRock's employees derives any income from the purchase or sale of securities. As disclosed in the ADV Part2A, Mr. Dorman and Mr. Cavanagh have an affiliation with another financial industry entity.

### Item 5 – Additional Compensation

Neither WhaleRock nor any of its supervised employees earns compensation based on a share of capital gains or capital appreciation realized, or performance based fees or any other kind of fee or service arrangement.

### Item 6 – Supervision

The Chief Compliance Officer screens accounts at least weekly to monitor whether accounts are within guidelines established in the accounts' Investment policy Statements. Portfolio managers are reviewing

their accounts on a regular basis, as well. A formal written review of each account is performed at least annually.

The Chief Compliance Officer is Richard E. Cavanagh. 401-278-7799 or rcav@wrpoint.com

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The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals. Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:
- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients. CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.