



**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 Nicholas G. Trotman, 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 20 years ago. He was a Senior Vice President and Portfolio Manager for Bank of America Private Advisory Services (successor to Fleet Investment Advisors) before founding WhaleRock in 2006.

**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 a Managing Director with JP Morgan, in Boston. 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, RI 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.

**Kenneth E. Goodreau** was born in 1972. He is the director of research for the firm. Ken graduated from the University of Rhode Island with a B.S. in Business Administration. Since graduating he has spent the entirety of his career in investment management. He started his career in bottoms up research positions, moved to portfolio management and ultimately the chief investment officer role. Recently he helped launch and co-managed the Boston based FlowPoint Capital Partners fund. From 2007-2012 Ken was the Chief Investment Officer of the \$8 billion Rhode Island employees' pension fund (ERSRI). At WhaleRock, Ken is responsible for the Firm's investment strategy, research effort and risk management. He joined WhaleRock in January of 2016.

**Nicholas G. Trotman** was born in 1971. He is the Firm's Chief Compliance Officer and is also director of fixed income. Nicholas graduated from Tufts University in 1994 with a BA in Social Psychology and graduated from Columbia Business School in 2000 with a Masters in Business Administration. He brings nearly 20 years of experience in the investment management business with expertise across multiple asset classes and industry sectors. Prior to WhaleRock, Nicholas was the COO and co-portfolio manager at a Boston-based long/short hedge fund. At the fund he was responsible for investments in Energy, Industrials, Materials and Utilities and oversaw regulatory compliance and trading operations. Nick spent five years working in the wealth management business for a Greenwich, CT-based investment advisor where he managed an equity income strategy and worked on a high yield municipal bond strategy. Nick covered Energy, Materials and Industrials for two other long/short hedge funds. He also covered business services and technology services during his four years as a sell-side research analyst. He joined WhaleRock in February of 2017.

### 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 Part 2A, Mr. Dorman has 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 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 Nicholas G. Trotman. 401-278-7799 or [ntrotman@wrpoint.com](mailto:ntrotman@wrpoint.com)