

Item 1 - Cover Page

First Oak Wealth Management, LLC
CRD# 288316

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This brochure ("Brochure") provides information about the qualifications and business practices of First Oak Wealth Management, LLC ("First Oak"). If you have any questions about the contents of this Brochure, please contact us at (919) 421-1555 or ryanspobox@hotmail.com. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission (the "SEC") or by any state authority.

Additional information about First Oak also is available on the SEC's website at
www.AdviserInfo.sec.gov.

Item 2 - Material Changes

First Oak has not yet filed an annual updating amendment using the Form ADV Part 2A. Therefore there are no material changes to report.

Item 3 - Table of Contents

Page

Item 1 - Cover Page	1
Item 2 - Material Changes.....	2
Item 3 - Table of Contents	3
Item 4 - Advisory Business	4
Item 5 - Fees and Compensation	5
Item 6 - Performance-Based Fees and Side-By-Side Management	6
Item 7 - Types of Clients	6
Item 8 - Methods of Analysis, Investment Strategies and Risk of Loss	6
Item 9 - Disciplinary Information	9
Item 10 - Other Financial Industry Activities and Affiliations	9
Item 11 - Code of Ethics, Participation or Interest in Client Transactions and Personal Trading	9
Item 12 - Brokerage Practices	10
Item 13 - Review of Accounts	12
Item 14 - Client Referrals and Other Compensation	12
Item 15 - Custody.....	12
Item 16 - Investment Discretion.....	13
Item 17 - Voting Client Securities	13
Item 18 - Financial Information.....	13
Item 19 - Requirements for State-Registered Advisers	13

Item 4 - Advisory Business

General Information

First Oak, a North Carolina limited liability company, was formed in January 2017.

Advisory Clients

First Oak provides discretionary portfolio management services as well as financial planning services to individuals, pension and profit-sharing plans, corporations, and trusts.

At the outset of each client relationship, First Oak spends time with the client, asking questions, discussing the client's investment experience and financial circumstances, and broadly identifying major goals of the client. Based on all of the information gathered, First Oak generally develops with each client:

- a financial outline for the client based on the client's financial circumstances and goals, and the client's risk tolerance level (the "Financial Profile"); and
- the client's investment objectives and guidelines (the "Investment Plan").

The Financial Profile is a reflection of the client's current financial picture and a look to the future goals of the client. The Investment Plan outlines the types of investments First Oak will make on behalf of the client based on First Oak's own research and analysis in order to meet those goals. The elements of the Financial Profile and the Investment Plan are discussed periodically with each client, but are not necessarily written documents.

Portfolio Management

As described above, First Oak will develop an Investment Plan with each portfolio management client. The Investment Plan will be updated from time to time when requested by the client, or when determined to be necessary or advisable by First Oak based on updates to the client's financial or other circumstances.

To implement the client's Investment Plan, First Oak will manage the client's investment portfolio on a discretionary basis pursuant to an investment advisory agreement with the client. As a discretionary investment adviser, First Oak will have the authority to supervise and direct the portfolio without prior consultation with the client.

Notwithstanding the foregoing, clients may impose certain written restrictions on First Oak in the management of their investment portfolios, such as prohibiting the inclusion of certain types of investments in an investment portfolio or prohibiting the sale of certain investments held in the account at the commencement of the relationship. Each client should note, however, that restrictions imposed by a client may adversely affect the composition and performance of the client's investment portfolio. Each client should also note that his or her investment portfolio is treated individually by giving consideration to each purchase or sale for the client's account. For these and other reasons, performance of client investment portfolios within the same investment objectives, goals and/or risk tolerance may differ and clients should not expect that the composition or performance of their investment portfolios would necessarily be consistent with similar clients of First Oak.

Separate Account Managers

When appropriate and in accordance with the Investment Plan for a client, First Oak may utilize one or more Separate Account Managers (each, a “Manager”). Having access to various Managers offers a wide variety of management styles and offers clients the opportunity to utilize more than one Manager if necessary to meet the needs and investment objectives of the client. First Oak will usually select the Manager(s) it deems most appropriate for the client. Factors that First Oak considers in recommending/selecting Managers generally include the client’s stated investment objective(s) and the Manager’s management style, performance, risk level, reputation, financial strength, reporting, pricing, and research capabilities.

The Manager(s) will generally be granted discretionary trading authority to provide investment supervisory services for the portfolio. Under certain circumstances, First Oak retains the authority to terminate the Manager’s relationship or to add new Managers without specific client consent. In other cases, the client will ultimately select one or more Managers recommended by First Oak.

In any case, with respect to assets managed by a Manager, First Oak’s role will be to monitor the overall financial situation of the client, to monitor the investment approach and performance of the Manager(s), and to assist the client in understanding the investments of the portfolio.

Financial Planning

First Oak offers financial planning services to those clients in need of such services in conjunction with portfolio management services. First Oak’s financial planning services normally address areas such as general cash flow planning, retirement planning, and insurance analysis. The goal of these services is to assess the financial circumstances of the client in order to more effectively develop the client’s Investment Plan. Financial Planning is not offered as a stand-alone service or for a separate fee, but is typically provided in conjunction with the management of the portfolio.

Principal Owners

Ryan P. Thomsen is the principal owner of First Oak.

Type and Value of Assets Currently Managed

First Oak has the following assets under management:

Discretionary Amounts:	Non-discretionary Amounts:	Date Calculated:
\$ 151,721,610.00	\$0	December 2018

Item 5 - Fees and Compensation

General Fee Information

Fees paid to First Oak are exclusive of all custodial and transaction costs paid to the client’s custodian, brokers or other third party consultants. Please see *Item 12 – Brokerage Practices* for additional information. Fees paid to First Oak are also separate and distinct from the fees and expenses charged by mutual funds, exchange traded funds (“ETFs”) or other investment pools to their shareholders (generally including a management fee and fund expenses, as described in each fund’s prospectus or offering materials). The client should review all fees charged by funds, brokers, First Oak and others to fully understand the total amount of fees paid by the client for investment and financial-related services.

Portfolio Management Fees

First Oak will charge clients an annual fee of no more than 1.25% of assets under management for portfolio management services. First Oak may, at its discretion, make exceptions to the foregoing or negotiate special fee arrangements where First Oak deems it appropriate under the circumstances.

Portfolio management fees are generally payable quarterly, in advance. If management begins after the start of a quarter, fees will be prorated accordingly. Fees are normally debited directly from client account(s), unless other arrangements are made.

Either First Oak or the client may terminate their investment advisory agreement at any time, subject to any written notice requirements in the investment advisory agreement. In the event of termination, any paid but unearned fees will be promptly refunded to the client based on the number of days that the account was managed, and any fees due to First Oak from the client will be invoiced or deducted from the client's account prior to termination.

Item 6 - Performance-Based Fees and Side-By-Side Management

First Oak does not have any performance-based fee arrangements. "Side by Side Management" refers to a situation in which the same firm manages accounts that are billed based on a percentage of assets under management and at the same time manages other accounts for which fees are assessed on a performance fee basis. Because First Oak has no performance-based fee accounts, it has no side-by-side management.

Item 7 - Types of Clients

First Oak serves individuals, pension and profit-sharing plans, corporations, and trusts.

Item 8 - Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

First Oak reviews each client's Investment Plan and develops a customized investment strategy for each client. The primary vehicles for investment used by First Oak are separately-managed accounts ("SMAs"), mutual funds, ETFs, common stock and fixed income securities. In selecting investments for an individual account in accordance with the client's Investment Plan, First Oak generally applies traditional fundamental analysis including, without limitation, the following factors:

- Financial strength ratios;
- Price-to-earnings ratios;
- Dividend yields; and
- Growth rate-to-price earnings ratios

First Oak may incorporate other methods of analysis, such as:

Charting Analysis – involves gathering and processing price and volume information for a particular security and may include, without limitation:

- mathematical analysis;

- graphing charts; and
- estimations of future price movements based on perceived patterns and trends.

Technical Analysis – involves studying past price patterns and trends in the financial markets to predict the direction of both the overall market and specific stocks.

Cyclical Analysis – involves evaluating recurring price patterns and trends.

Mutual funds and ETFs are generally evaluated and selected based on a variety of factors, including, as applicable and without limitation, past performance, fee structure, portfolio manager, fund sponsor, overall ratings for safety and returns, and other factors.

Fixed income investments may be used as a strategic investment, as an instrument to fulfill liquidity or income needs in a portfolio, or to add a component of capital preservation. First Oak may evaluate and select individual bonds or bond funds based on a number of factors including, without limitation, rating, yield and duration.

Investment Strategies

First Oak's strategic approach is to invest each portfolio in accordance with the Investment Plan that has been developed specifically for each client. This means that the following strategies may be used in varying combinations over time for a given client, depending upon the client's individual circumstances:

Long Term Purchases – securities purchased with the expectation that the value of those securities will grow over a relatively long period of time, generally greater than one year.

Short Term Purchases – securities purchased with the expectation that they will be sold within a relatively short period of time, generally less than one year, to take advantage of the securities' short term price fluctuations.

Options Trading/Writing – a securities transaction that involves buying or selling (writing) an option. If you write an option, and the buyer exercises the option, you are obligated to purchase or deliver a specified number of shares at a specified price at the exercise of the option regardless of the market value of the security at expiration of the option. Buying an option gives you the right to purchase or sell a specified number of shares at a specified price until the date of expiration of the option regardless of the market value of the security at expiration of the option. Selling "covered calls" involves writing options against shares of stock you already own.

Risk of Loss

While First Oak seeks to diversify clients' investment portfolios across various asset classes consistent with their Investment Plans in an effort to reduce risk of loss, all investment portfolios are subject to risks. Accordingly, there can be no assurance that client investment portfolios will be able to fully meet their investment objectives and goals, or that investments will not lose money.

Below is a description of several of the principal risks that client investment portfolios face.

Management Risks. While First Oak manages client investment portfolios, or recommends one or more Managers, based on First Oak's experience, research and proprietary methods, the value of client investment portfolios will change daily based on the performance of the underlying securities

in which they are invested. Accordingly, client investment portfolios are subject to the risk that First Oak or a Manager allocates assets to asset classes that are adversely affected by unanticipated market movements, and the risk that First Oak's or the Manager's specific investment choices could underperform their relevant indexes.

Economic Conditions. Changes in economic conditions, including, for example, interest rates, inflation rates, employment conditions, competition, technological developments, political and diplomatic events and trends, and tax laws may adversely affect the business prospects or perceived prospects of companies. While First Oak or a Manager performs due diligence on the companies in whose securities it invests, economic conditions are not within the control of First Oak or the Manager and no assurances can be given that First Oak or the Manager will anticipate adverse developments.

Risks of Investments in Mutual Funds, ETFs and Other Investment Pools. As described above, First Oak or a Manager may invest client portfolios in mutual funds, ETFs and other investment pools ("pooled investment funds"). Investments in pooled investment funds are generally less risky than investing in individual securities because of their diversified portfolios; however, these investments are still subject to risks associated with the markets in which they invest. In addition, pooled investment funds' success will be related to the skills of their particular managers and their performance in managing their funds. Pooled investment funds are also subject to risks due to regulatory restrictions applicable to registered investment companies under the Investment Company Act of 1940, as amended.

Equity Market Risks. First Oak and any Managers will generally invest portions of client assets directly into equity investments, primarily stocks, or into pooled investment funds that invest in the stock market. As noted above, while pooled investment funds have diversified portfolios that may make them less risky than investments in individual securities, funds that invest in stocks and other equity securities are nevertheless subject to the risks of the stock market. These risks include, without limitation, the risks that stock values will decline due to daily fluctuations in the markets, and that stock values will decline over longer periods (e.g., bear markets) due to general market declines in the stock prices for all companies, regardless of any individual security's prospects.

Fixed Income Risks. First Oak and any Managers may invest portions of client assets directly into fixed income instruments, such as bonds and notes, or may invest in pooled investment funds that invest in bonds and notes. While investing in fixed income instruments, either directly or through pooled investment funds, is generally less volatile than investing in stock (equity) markets, fixed income investments nevertheless are subject to risks. These risks include, without limitation, interest rate risks (risks that changes in interest rates will devalue the investments), credit risks (risks of default by borrowers), or maturity risk (risks that bonds or notes will change value from the time of issuance to maturity).

Foreign Securities Risks. First Oak and any Managers may invest portions of client assets into pooled investment funds that invest internationally. While foreign investments are important to the diversification of client investment portfolios, they carry risks that may be different from U.S. investments. For example, foreign investments may not be subject to uniform audit, financial reporting or disclosure standards, practices or requirements comparable to those found in the United States. Foreign investments are also subject to foreign withholding taxes and the risk of adverse changes in investment or exchange control regulations. Finally, foreign investments may involve currency risk, which is the risk that the value of the foreign security will decrease due to changes in the relative value of the U.S. dollar and the security's underlying foreign currency.

Lack of Diversification. Client accounts may not have a diversified portfolio of investments at any given time, and a substantial loss with respect to any particular investment in an undiversified portfolio will have a substantial negative impact on the aggregate value of the portfolio.

Item 9 - Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to a client's evaluation of First Oak or the integrity of First Oak's management. First Oak has no disciplinary events to report.

Item 10 - Other Financial Industry Activities and Affiliations

Neither First Oak nor any of its management persons has any other financial industry activities or affiliations to report.

Item 11 - Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics and Personal Trading

First Oak has adopted a Code of Ethics ("the Code"), the full text of which is available to you upon request. First Oak's Code has several goals. First, the Code is designed to assist First Oak in complying with applicable laws and regulations governing its investment advisory business. Under the Advisers Act, First Oak owes fiduciary duties to its clients. Pursuant to these fiduciary duties, the Code requires First Oak associated persons to act with honesty, good faith and fair dealing in working with clients. In addition, the Code prohibits associated persons from trading or otherwise acting on insider information.

Next, the Code sets forth guidelines for professional standards for First Oak's associated persons (managers, officers and employees). Under the Code's Professional Standards, First Oak expects its associated persons to put the interests of its clients first, ahead of personal interests. In this regard, First Oak associated persons are not to take inappropriate advantage of their positions in relation to First Oak clients.

Third, the Code sets forth policies and procedures to monitor and review the personal trading activities of associated persons. From time to time First Oak's associated persons may invest in the same securities recommended to clients. This may create a conflict of interest because associated persons of First Oak may invest in securities ahead of or to the exclusion of First Oak clients. Under its Code, First Oak has adopted procedures designed to reduce or eliminate conflicts of interest that this could potentially cause. The Code's personal trading policies include procedures for limitations on personal securities transactions of associated persons, including generally disallowing trading by an associated person in any security within one day before any client account trades or considers trading the same security and the creation of a restricted securities list, reporting and review of personal trading activities and pre-clearance of certain types of personal trading activities. These policies are designed to discourage and prohibit personal trading that would disadvantage clients. The Code also provides for disciplinary action as appropriate for violations.

Participation or Interest in Client Transactions

As outlined above, First Oak has adopted procedures to protect client interests when its associated persons invest in the same securities as those selected for or recommended to clients. In the event

of any identified potential trading conflicts of interest, First Oak's goal is to place client interests first.

Consistent with the foregoing, First Oak maintains policies regarding participation in initial public offerings ("IPOs") and private placements in order to comply with applicable laws and avoid conflicts with client transactions. If an associated person wishes to participate in an IPO or invest in a private placement, he/she must submit a pre-clearance request and obtain the approval of the Chief Compliance Officer.

If associated persons trade with client accounts (*e.g.*, in a bundled or aggregated trade), and the trade is not filled in its entirety, the associated person's shares will be removed from the block, and the balance of shares will be allocated among client accounts in accordance with First Oak's written policy.

Item 12 - Brokerage Practices

Best Execution and Benefits of Brokerage Selection

When given discretion to select the brokerage firm that will execute orders in client accounts, First Oak seeks "best execution" for client trades, which is a combination of a number of factors, including, without limitation, quality of execution, services provided and commission rates. Therefore, First Oak may use or recommend the use of brokers who do not charge the lowest available commission in the recognition of research and securities transaction services, or quality of execution. Research services received with transactions may include proprietary or third party research (or any combination), and may be used in servicing any or all of First Oak's clients. Therefore, research services received may not be used for the account for which the particular transaction was effected.

First Oak may recommend that clients establish brokerage accounts with Fidelity Institutional Wealth Services ("FIWS"), Schwab Advisor Services, a division of Charles Schwab & Co., Inc. ("Schwab") or TD Ameritrade Institutional, a division of TD Ameritrade Inc. ("TD Ameritrade"), each a FINRA registered broker-dealer and member SIPC, to maintain custody of clients' assets. First Oak may effect trades for client accounts at FIWS, Schwab or TD Ameritrade, or may in some instances, consistent with First Oak's duty of best execution and specific investment advisory agreement with each client, elect to execute trades elsewhere. Although First Oak may recommend that clients establish accounts at the foregoing broker-dealers, it is ultimately the client's decision where to custody its assets. First Oak is independently owned and operated and is not affiliated with FIWS, Schwab or TD Ameritrade.

First Oak participates in the institutional advisor programs of each of FIWS, Schwab and TD Ameritrade. While there is no direct link between the investment advice First Oak provides and participation in these institutional programs, First Oak receives certain economic benefits from its participation in the programs. These benefits may include software and other technology that provides access to client account data (such as trade confirmations and account statements), facilitates trade execution (and allocation of aggregated orders for multiple client accounts), provides research, pricing information and other market data, facilitates the payment of First Oak's fees from its clients' accounts, and assists with back-office functions, recordkeeping and client reporting. Many of these services may be used to service all or a substantial number of First Oak's accounts, including accounts not held at FIWS, Schwab or TD Ameritrade. These institutional advisor programs may also make available to First Oak other services intended to help First Oak manage and further develop its business. These services may include consulting, publications and

conferences on practice management, information technology, business succession, regulatory compliance and marketing. In addition, these programs may make available, arrange and/or pay for these types of services to be rendered to First Oak by independent third parties. Each of FIWS, Schwab and TD Ameritrade may discount or waive fees it would otherwise charge for some of these services and/or pay all or a part of the fees of a third-party providing these services to First Oak. Finally, participation in the these institutional advisor programs provides First Oak with access to mutual funds which normally require significantly higher minimum initial investments or are normally available only to institutional investors.

The benefits received through participation in the institutional advisor programs of FIWS, Schwab and TD Ameritrade do not necessarily depend upon the proportion of transactions directed to each broker-dealer. The benefits are received by First Oak, in part because of commission revenue generated for these broker-dealers by First Oak's clients. This means that the investment activity in client accounts is beneficial to First Oak, because First Oak is not charged a fee for these services. This creates an incentive for First Oak to continue to recommend FIWS, Schwab and TD Ameritrade to its clients. While it may be possible to obtain similar custodial, execution and other services elsewhere at a lower cost, First Oak believes that each of FIWS, Schwab and TD Ameritrade provides an excellent combination of these services. These services are not soft dollar arrangements, but are part of the institutional platform offered by FIWS, Schwab and TD Ameritrade.

Directed Brokerage

First Oak does not allow directed brokerage accounts.

Aggregated Trade Policy

First Oak may enter trades as a block where possible and when advantageous to clients whose accounts have a need to buy or sell shares of the same security. This blocking of trades permits the trading of aggregate blocks of securities composed of assets from multiple client accounts, so long as transaction costs are shared equally and on a pro-rata basis between all accounts included in any such block. Block trading allows First Oak to execute equity trades in a timelier, equitable manner, and may reduce overall costs to clients.

First Oak will only aggregate transactions when it believes that aggregation is consistent with its duty to seek best execution (which includes the duty to seek best price) for its clients, and is consistent with the terms of First Oak's investment advisory agreement with each client for which trades are being aggregated. No advisory client will be favored over any other client; each client that participates in an aggregated order will participate at the average share price for all First Oak's transactions in a given security on a given business day, with transaction costs generally shared pro-rata based on each client's participation in the transaction. On occasion, owing to the size of a particular account's pro rata share of an order or other factors, the commission or transaction fee charged could be above or below a breakpoint in a pre-determined commission or fee schedule set by the executing broker, and therefore transaction charges may vary slightly among accounts. Accounts may be excluded from a block due to tax considerations, client direction or other factors making the account's participation ineligible or impractical.

First Oak will allocate aggregated trades in accordance with its written trade allocation policies. In accordance with these policies, if an order is partially filled, it will generally be allocated pro-rata based on the size of each client account. If First Oak intends to allocate an aggregated trade on an other-than pro rata basis in the event it is partially filled, First Oak will prepare, before entering the aggregated order, a written statement ("Allocation Statement") specifying the participating client

accounts and how it intends to allocate the order among those clients. First Oak will document the reason for a different allocation in writing, which will be approved by an appropriate individual/officer of First Oak, in an effort to ensure all client accounts receive fair and equitable treatment over time. First Oak's books and records will separately reflect, for each client account included in a block trade, the securities held by and bought and sold for that account. Funds and securities of clients whose orders are aggregated will be deposited with one or more banks or broker-dealers, and neither the clients' cash nor their securities will be held collectively any longer than is necessary to settle the transaction on a delivery versus payment basis; cash or securities held collectively for clients will be delivered out to the custodian bank or broker-dealer as soon as practicable following the settlement, and First Oak will receive no additional compensation or remuneration of any kind as a result of the proposed aggregation.

Item 13 - Review of Accounts

Managed portfolios are reviewed at least quarterly, but may be reviewed more often if requested by the client, upon receipt of information material to the management of the portfolio, or at any time such review is deemed necessary or advisable by First Oak. These factors may include, but are not limited to, the following: change in general client circumstances (*e.g.*, marriage, divorce, retirement); or economic, political or market conditions. One of First Oak's investment adviser representatives or principals is responsible for reviewing all accounts.

Account custodians are responsible for providing monthly or quarterly account statements which reflect the positions (and current pricing) in each account as well as transactions in each account, including fees paid from an account. Account custodians also provide prompt confirmation of all trading activity, and year-end tax statements, such as 1099 forms. First Oak will provide additional written reports as needed or requested by the client. Clients should carefully compare the statements that they receive from First Oak against the statements that they receive from their account custodian(s).

Item 14 - Client Referrals and Other Compensation

As noted above, First Oak may receive some benefits from FIWS, Schwab and TD Ameritrade based on the amount of client assets held at each entity. Please see *Item 12 - Brokerage Practices* for more information. However, none of FIWS, Schwab, TD Ameritrade nor any other party is paid to refer clients to First Oak.

Item 15 - Custody

All clients must place their assets with a qualified custodian. It is the custodian's responsibility to provide clients with confirmations of trading activity, tax forms and at least quarterly account statements. Clients are advised to review this information carefully, and to notify First Oak of any questions or concerns. Clients are also asked to promptly notify First Oak if the custodian fails to provide statements on each account held.

From time to time and in accordance with First Oak's investment advisory agreement with clients, First Oak will provide additional reports. As mentioned above, the account balances reflected on these reports should be compared to the balances shown on the brokerage statements to ensure accuracy. At times there may be small differences due to the timing of dividend reporting, pending trades or other similar issues.

First Oak may be deemed to have “soft” custody of its client accounts because First Oak’s portfolio management fees are normally debited directly from client account(s), unless other arrangements are made.

Item 16 - Investment Discretion

As described in **Item 4 - Advisory Business**, First Oak manages portfolios on a discretionary basis. This means that after an Investment Plan is developed for the client’s investment portfolio, First Oak may execute that Investment Plan without specific consent from the client for each transaction. A Limited Power of Attorney (“LPOA”) is executed by the client, giving First Oak the authority to carry out various activities in the account, generally including the following: (i) trade execution; (ii) the ability to request checks on behalf of the client; and (iii) the withdrawal of advisory fees directly from the account. First Oak then directs investment of the client’s portfolio using its discretionary authority. The client may limit the terms of the LPOA to the extent consistent with the client’s investment advisory agreement with First Oak and the requirements of the client’s custodian. The discretionary relationship is further described in the investment advisory agreement between First Oak and the client.

Item 17 - Voting Client Securities

As a policy and in accordance with First Oak’s investment advisory agreement, First Oak does not vote proxies related to securities held in client accounts. The custodian of the account will normally provide proxy materials directly to the client. Clients may contact First Oak with questions relating to proxy procedures and proposals; however, First Oak generally does not research particular proxy proposals.

Item 18 - Financial Information

First Oak does not require nor solicit prepayment of more than \$500 in fees per client, six months or more in advance, and therefore has no disclosure with respect to this item.

Item 19 - Requirements for State-Registered Advisers

As a Manager and the Chief Compliance Officer of First Oak, Mr. Ryan Thomsen’s background information is provided elsewhere in this Form ADV.

As a Manager of First Oak, Mr. Airis Abolins’ background information is provided elsewhere in this Form ADV.

Other than this, no disclosure is required under this item.