



**BLUE HERON**  
INFRASTRUCTURE

**61 Fletcher Street  
Winchester, MA 01890**

**781-729-0962**

**September 2021**

## Timothy Pynchon

<b>Year of Birth:</b>	1959
<b>Educational Background:</b>	Cornell University, Ithaca, New York MA in Business, 1989  Hamilton College, Clinton, New Jersey BS in English Literature, 1982
<b>Business Experience:</b>	Blue Heron Infrastructure, Principal, Portfolio Manager, Chief Compliance Officer 2021-present Principal Street Partners, Portfolio Manager 2016 - 2021 Oppenheimer & Co Inc., Managing Director 2013-2016 Pioneer Investment Management, Senior VP 2000-2013 Commerce Capital Markets, Managing Director 1996-1999 Eaton Vance Management, Analyst and VP 1989-1996
<b>Examinations*:</b>	Chartered Financial Analyst*
<b>Disciplinary Information:</b>	Timothy Pynchon has no disciplinary events.
<b>Other Business Activities:</b>	In addition to being Principal, Portfolio Manager and Chief Compliance Officer at Blue Heron, Timothy Pynchon is Principal at Blue Heron Structured Finance, a Consulting Firm.
<b>Additional Compensation:</b>	Timothy Pynchon does not receive additional compensation or economic benefit from sources outside of Blue Heron Infrastructure for providing investment advisory services. Compensation for consulting services provided by Blue Heron Structured Finance is based on an agreed-upon flat fee, and vary based on the individual project.
<b>Supervision:</b>	Investment decisions are made by an Investment Committee, which meets periodically to establish and review investment criteria. All performance is reported monthly and dispersion reports are generated to track client accounts to Firm models. Written policies and procedures audit trading activity and portfolio management.

\*The CFA is a globally recognized, graduate level investment credential which requires 4 years of qualified investment work experience, adherence to the CFA Institute Code of Ethics and Standards of Professional conduct, and annual membership in the CFA Institute. The CFA Program is organized into 3 levels, each culminating in a 6 hour exam. Earning the CFA charter demonstrates mastery of the skills most needed for investment analysis covering a comprehensive range of subjects including:

- ☐ Ethics
- ☐ Statistics
- ☐ Economics
- ☐ Financial and corporate analysis
- ☐ Equity, fixed income, and alternative investment analysis
- ☐ Portfolio Management
- ☐ Wealth Planning

## Patrick Tucci

<b>Year of Birth:</b>	1970	
<b>Educational Background:</b>	Villanova University Radnor, PA BA in Business Administration, Finance, 1992	
<b>Business Experience:</b>	Blue Heron Infrastructure, Portfolio Manager Principal Street Partners, Trading Foresters Investment Management, Portfolio Manager Harvard Hills Investment Management, President Piper Jaffrey, Managing Director	2021-present 2020 - 2021 2016-2019 2014-2016 2010-2013
<b>Examinations*:</b>	Chartered Financial Analyst** Uniform Securities Agent State Law Examination Series 63 General Securities Representative Examination Series 7 Investment Co and Variable Contracts Examination Series 6	
<b>Disciplinary Information:</b>	Patrick Tucci has no disciplinary events.	
<b>Other Business Activities:</b>	The investment advisory business is Patrick Tucci sole occupation.	
<b>Additional Compensation:</b>	Patrick Tucci does not receive additional compensation or economic benefit from sources outside of Blue Heron Infrastructure for providing advisory services.	
<b>Supervision:</b>	Patrick is monitored by the Firm principal. Investment decisions are made by an Investment Committee, which meets periodically to establish and review investment criteria. All performance is reported monthly and dispersion reports are generated to track client accounts to Firm models. Written policies and procedures audit trading activity and portfolio management.	

\*Represents examinations passed and shown on FINRA Brokercheck. Please inquire to Blue Heron to determine if the status is current.

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- ☐ Equity, fixed income, and alternative investment analysis
- ☐ Portfolio Management
- ☐ Wealth Planning