

Our Team | Advisory Personnel

Brochure Supplement

Douglas A. Neimann | President and Chief Investment Officer

Eric L. Pirkl | Investment Manager

Deborah D. Weiss | Managing Director, Okabena Advisors

Thomas B. Doran | Senior Wealth Advisor

Form ADV Part 2B

March 26, 2018



okabena® investment services

March 26, 2018

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Okabena Investment Services, Inc.

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This brochure supplement provides information about Douglas A. Neimann, Eric L. Pirkl, Deborah D. Weiss, and Thomas B. Doran that supplements the Okabena Investment Services, Inc. brochure. You should have received a copy of that brochure. Please contact our Chief Compliance Officer at 612.339.7151 if the Okabena Investment Services, Inc. brochure is not included with this supplement or if you have any questions about the contents of this supplement.

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Year of Birth: 1974

Douglas A. Neimann,
President and Chief Investment Officer



Educational Background & Business Experience

- Douglas Neimann is responsible for the design and implementation of a comprehensive investment program for taxable and tax-exempt clients including manager selection and monitoring. Douglas chairs an internal Investment Committee, comprised of an investment manager that is his direct report, and supervises the Asset Allocation Manager. Douglas is also a member of the Investment Advisory Committee.
- Douglas has nearly 20 years of experience in the investment industry and has extensive experience in the asset allocation and manager selection arena while working with endowments, foundations, and families. Prior to joining Okabena in 2002, Douglas worked with Cambridge Associates in Boston within its Investment Consulting Group, and in the Alternative Assets Group as a Senior Research Associate. Douglas began his career with Brown Brothers Harriman & Company as a Senior Account Manager and moved to PanAgora Asset Management as an Investment Associate prior to joining Cambridge Associates in 1999.
- Douglas received his Bachelor of Arts degree in International Relations from Connecticut College. While working at Okabena, Douglas earned a Master of Business Administration degree with honors from the Carlson School of Management at the University of Minnesota. He is a native of Minneapolis and a graduate of The Blake School.

Disciplinary History: None

Douglas Neimann's history contains no disciplinary actions.

Other Business Activities

Douglas Neimann is a board member of the University of MN Foundation Investment Advisors. Douglas is also on the investment committee of CYMI Investments, Inc. These activities are in an advisory or policy decision capacity with no investment decision aspect; therefore present no conflict of interest in Douglas' role with the firm.

Additional Compensation: None

There is no additional compensation to report.

Supervision

Douglas Neimann reports to, and is supervised by, Tobin J. Dayton, Chair of the Okabena Board of Directors. Douglas is ultimately accountable for all investment advice, recommendations and activities of OIS. The Okabena Board of Directors has established an Investment Advisory Committee to provide advice and assistance to Douglas regarding OIS' investment activities. This committee is composed of six members, of which two are ex-officio members of the Board, three are independent senior executives with relevant investment experience, and Douglas Neimann. Douglas is also a member of the Senior Management team and chairs the internal Investment Committee. The firm's Investment Policy Manual establishes clear guidelines with regard to evaluation methodology associated with the investment program, and to which Douglas is held accountable. The Board of Directors reviews and monitors the implementation of investment policy. The CCO supervises Douglas Neimann regarding compliance matters. Arrangements to contact *Tobin Dayton* can be made by contacting OIS at the address and telephone number indicated on the cover page of this Brochure Supplement.

Year of Birth: 1977

Eric L. Pirkl, Investment Manager



Educational Background & Business Experience

- Eric Pirkl joined Okabena Investment Services, Inc. (OIS) in 2006 as an Investment Analyst with responsibilities for investment manager analysis and due diligence as well as implementing and monitoring certain compliance functions. Today, as Investment Manager, Eric also oversees the due diligence process and participates in the day to day management of the portfolios. Eric is a contributing member of an internal Investment Committee, chaired by Douglas Neimann, participating in discussions around manager due diligence and suitability, portfolio construction and positioning, and other analytics with regard to the Investment Program. Eric has 16 years of investment experience.
- Prior to OIS, Eric spent six years with Harris Associates LP in Chicago, where he started as an Investment Advisory Department Assistant responsible for processing corporate reorganizations and maintaining the portfolio accounting system. Within a year, he assumed the position of Portfolio Associate for a book of high net worth individuals and their equity portfolios.
- Eric received his Bachelor of Arts in International & Monetary Economics from the University of Wisconsin-Madison and earned an MBA in Finance from the Kellstadt School of Business at DePaul University. Eric earned the Chartered Financial Analyst (CFA) designation in 2007. The CFA charter is a globally respected, graduate-level investment credential established in 1962 and awarded by the CFA Institute – the largest global association of investment professionals. To earn the CFA charter, candidates must pass three sequential six-hour examinations; have at least four years of qualified professional investment experience; join the CFA Institute as members; and commit to the CFA Institute Code of Ethics and Standards of Professional Conduct. The disciplines of study include accounting, economics, ethics, equity analysis, fixed income analysis, portfolio management and statistics. The CFA curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Disciplinary History: None

Eric Pirkl's history contains no disciplinary actions.

Other Business Activities

There are no outside business activities to report.

Additional Compensation: None

There is no additional compensation to report.

Supervision

Eric Pirkl reports to, and is supervised by, Douglas A. Neimann, Chief Investment Officer of OIS. Eric is a member of the internal Investment Committee which meets monthly. In addition, Eric has daily interaction with Douglas and attends a weekly investment review meeting with Douglas and the Investment Analyst to discuss the investment portfolio. The Chief Compliance Officer supervises Eric Pirkl regarding compliance matters. *Douglas Neimann can be contacted at OIS' address and telephone number indicated on the cover page of this Brochure Supplement.*

Year of Birth: 1956

Deborah D. Weiss, Managing Director



Educational Background & Business Experience

- Deb Weiss joined Okabena Advisors (OA) in 2012 as Managing Director responsible for business development, employing OA's range of investment, financial and administrative services in tailoring solutions that address the unique needs of endowments, foundations, and other tax-exempt organizations. Deb participates in and contributes to internal Investment Committee meetings, offering perspective gained through industry experience, permitting her to articulate in a meaningful way the team's strategies and activities to clients. Deb serves as the primary Relationship Manager for OA's existing tax-exempt clients, as well as oversees and executes the day-to-day client relationship responsibilities for OIS' overall client base.
- Deb carries over 20 years of industry experience, including seven years with Jeffrey Slocum & Associates where she served as Senior Consultant and Chief Manager – Slocum Research Portfolio. She has worked extensively with investment committees and the staffs of nonprofit clients to develop and implement an effective investment philosophy, policy, and process.
- Deb's corporate experience prior to joining Slocum included roles as the Vice President and Treasurer of the Valspar Corporation, Treasurer of Imation Corporation, and Manager of Benefit Funds Investments at 3M Company.
- Deb earned her undergraduate degree at Michigan State University, and her MBA at the Owen Graduate School of Management, Vanderbilt University. Deb also earned her Chartered Financial Analyst (CFA) designation in 2007. The CFA charter is a globally respected, graduate-level investment credential established in 1962 and awarded by the CFA Institute – the largest global association of investment professionals. To earn the CFA charter, candidates must pass three sequential six-hour examinations; have at least four years of qualified professional investment experience; join the CFA Institute as members; and commit to the CFA Institute Code of Ethics and Standards of Professional Conduct. The disciplines of study include accounting, economics, ethics, equity analysis, fixed income analysis, portfolio management and statistics. The CFA curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Disciplinary History: None

Deb Weiss' history contains no disciplinary actions.

Other Business Activities

Deb Weiss is a voluntary Board member of the Jewish Federation of Greater St. Paul (formerly known as the United Jewish Fund Council of St. Paul) and also serves as its Treasurer. Deb is also a voluntary Board member of the Jewish Family Service of St. Paul, serving on its executive, governance, personnel, and finance committees; a voluntary Board member of the Bigelow Foundation and also serves as a member of the investment committee; a voluntary member of the Colleagues Advisory Board of The Weisman Art Museum, and serves as chair of the investment committee of the Sholom Foundation.

Additional Compensation: None

There is no additional compensation to report.

Year of Birth: 1956

Deborah D. Weiss, Managing Director



Supervision

Deb Weiss reports to, and is supervised by, Douglas A. Neimann, Chief Investment Officer of OIS. Deb has weekly interaction with Douglas, seeking input and approval of initiatives. Although Deb has no direct responsibility associated with the investment program, she attends weekly investment review meetings with Douglas and Investment Analysts to stay abreast of investment activities. In addition, the Chief Compliance Officer supervises Ms. Weiss regarding compliance matters. *Douglas Neimann can be contacted at OIS' address and telephone number indicated on the cover page of this Brochure Supplement.*

Year of Birth: 1971

Thomas B. Doran, Sr. Wealth Advisor



Educational Background & Business Experience

- Tom Doran joined Okabena Investment Services, Inc. (OIS) in 2017 as Sr. Wealth Advisor for taxable clients. He participates in and contributes to internal Investment Committee meetings, offering perspective gained through industry experience. He has limited responsibility for certain investment manager analysis, due diligence and ongoing relationships. He is a contributing member of the Marketing team and is active in business development, employing OIS's range of investment, financial and administrative services in tailoring solutions that meet the unique needs of ultra-high net worth individuals and families.
- Tom Doran has more than 14 years of experience in the investment and financial planning industry. Prior to joining Okabena he was at Doran Advisors, an Investment advisory practice geared towards tax-exempt investment portfolios. He has held positions at Pavilion Advisory Group, and Envoi LLC.
- Tom Doran received his BA from Boston College and earned his MBA from University of Minnesota Carlson School of Management. He has earned the Certified Financial Planner (CFP) designation. To earn the CFP designation, candidates must have at least three years of professional experience in the financial planning process, complete the coursework and pass the examination; join the CFP as a member; and commit to the CFP Code of Ethics and Standards of Professional Conduct. The exam assesses for ability to apply your financial planning knowledge, in an integrated format, to financial planning situations.

Disciplinary History: None

Tom Doran's history contains no disciplinary actions.

Other Business Activities

Tom Doran is a voluntary Board Member of the Jones Harrison Foundation & Residence and serves as Board Chair. Tom is also a voluntary Board Member of the Basilica Landmark Foundation and serves as Treasurer.

Additional Compensation: None

There is no additional compensation to report.

Supervision

Tom Doran reports to, and is supervised by, Douglas A. Neimann, Chief Investment Officer of OIS. Tom has regular interaction with Douglas, seeking input and approval of initiatives. Although Tom has no direct responsibility associated with the investment program, he attends weekly investment review meetings with Douglas and Investment Analysts to stay abreast of investment activities. In addition, the Chief Compliance Officer supervises Mr. Doran regarding compliance matters. *Douglas Neimann can be contacted at OIS' address and telephone number indicated on the cover page of this Brochure Supplement.*