

Phocion Investment Services – Summary Overview (December 2017)

Phocion Investment Services Inc. is a professional services company specialized in Performance, Due Diligence and Compliance. The company's services span the entire spectrum of their respective disciplines. Each member of Phocion's management team has in excess of twenty years of experience working in various capacities at some of the most reputable firms within the investment industry.

Mission Statement: Raise investment standards for all stakeholders, Phocion will never give insincere counsel; **Core Pillars:** Honesty, Accountability, Excellence in Service.

Differentiated: (1) in-depth, custom solutions; (2) experienced across the full breadth of the finance industry.

Performance Services address the increased demand for greater transparency and stricter controls, in addition to providing a window into portfolio management decisions. A solid performance culture reduces reputational risk for a firm. Phocion's related Performance services include:

- GIPS® Verification
- GIPS® Consultation
- GIPS® Maintenance
- Institutional Performance Advisory
- Performance Audit
- Performance Management
- Performance Operations
- Performance Training

Due Diligence Services manage capital risk. Our services include:

- Independent Investment Review
- Investment Due Diligence
- Operational Due Diligence
- Background Checks

Compliance Services address the increasing regulatory demands and include:

- Anti-Money Laundering
- Chief Compliance Officer Support
- Compliance Program Review
- Compliance Training
- Risk Assessment

Compliance Risk Concepts - strategic alliance in the United States: (1) senior professionals proficient in all aspects of U.S. compliance, (2) flexible, customized approach, (3) culturally similar to Phocion with premium service standard.

Selected Clients: Banks, Family Offices, Hedge Funds, Investment Management Firms, Pension Funds and Providers of Data.

Committees: (1) Phocion Global Performance, (2) CIPM Advisory, (3) AIMA Canada Operations and Compliance.

Who was Phocion? (1) Athenian statesman from c. 402 BC – c. 318, (2) nickname "The Good", (3) courage to stand up against popular opinion, (4) avoided corruption, (5) loyal to best interests of all Athenians, (6) never mistreated anyone, (7) never gave insincere counsel.

Managing Directors:

- Ioannis Segounis, B.Eng, MBA, CFA, CIPM – Career began in 1999, experience in performance and research. Founded in 2010.
- Kosta Segounis, CPA, CA, CFA, CIPM – Career began in 1995, experience in compliance and due diligence. Joined in 2015.
- David Rowen, CFA, FRM, CIPM – Career began in 1994, experience in portfolio management and research. Joined in 2015.

Contact Information:

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