

*Technology Partner to the
Alternative Investment Sector*

Foreword

“RFA was founded in 1989 and with over 30 years’ experience in the industry, it is still going from strength to strength. As Global Managing Director, I’m proud to be part of RFA’s success and truly believe that the company’s longevity can be attributed to the way it responds to changes both in the market and client expectations. We are always looking for ways to make clients’ lives easier, their systems more secure and their operations more efficient.

Our unique first contact resolution ethos and full ownership of customer issues means that we have an excellent client retention rate and a great reputation amongst hedge funds and private equity firms.

With a plethora of new offerings for our clients, RFA is embracing innovation with an AI enabled managed detection and response service which ensures our clients’ systems and data are protected 24/7. Our new managed data services allow firms to mine data to support investment and deal making decisions and ultimately improve profit margins across the board. As business collaboration moves to the next cycle, we also support clients with their data management journey, creating secure workflows via data warehousing, public cloud and data dashboards. Through our continued investment in research and development, DevOps, automation and machine-learning capabilities, we also provide clients with customised workflow and IT strategies.

As a public and multi- cloud specialist since 2014, we have watched these systems evolve and we partner with the leading public cloud vendors to offer clients a managed public cloud approach which begins with a readiness assessment and set of workload evaluations. Our architecture team then design a solution, followed by migration planning and execution. By utilising public cloud services, our clients can speed up processes across every department, freeing up time for critical strategic business planning.











I am excited to be part of the team that is driving RFA forwards and hope you will join us for the next phase of our journey.”

George Ralph CITP, Global Managing Director & CRO,
RFA gralph@rfa.com



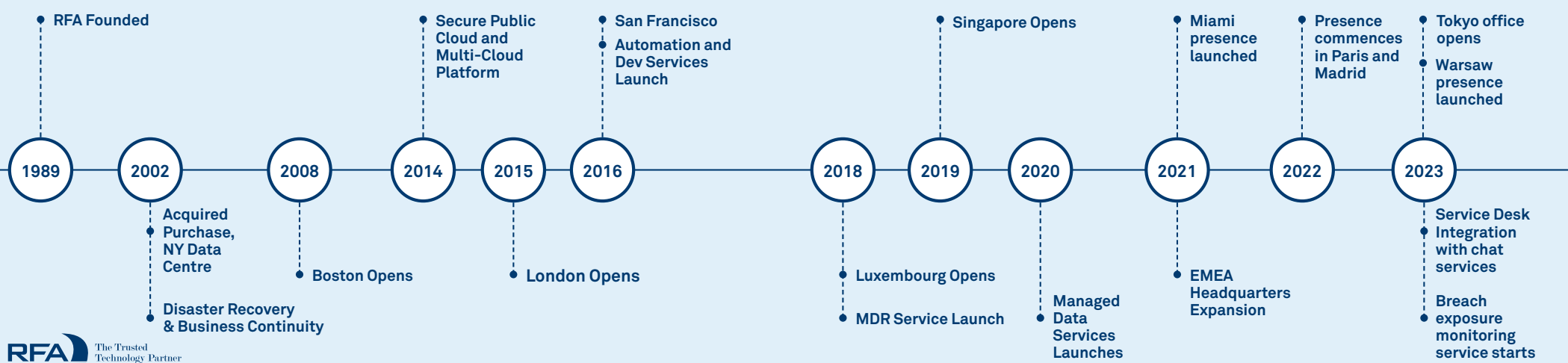
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Our Services

 <p>Service Desk</p> <ul style="list-style-type: none"> ▶ 24x7x365 globally ▶ 2nd and 3rd line service desk engineers ▶ ITIL framework ▶ First contact resolution ▶ POD model services 	 <p>Cybersecurity</p> <ul style="list-style-type: none"> ▶ 24x7x365 SOC ▶ System security report card ▶ Managed security services ▶ Data Integrity 	 <p>Onsite Engineers</p> <ul style="list-style-type: none"> ▶ Dedicated engineers ▶ Scheduled onsite coverage ▶ Service desk to advanced engineering levels ▶ Staff augmentation 	 <p>Development</p> <ul style="list-style-type: none"> ▶ Devops and Automation ▶ Data Management ▶ Application Management ▶ Business IQ Dashboards ▶ Custom Reporting 	 <p>Cloud Management</p> <ul style="list-style-type: none"> ▶ Security ▶ Governance ▶ Optimization and reporting ▶ Microsoft CSP and Gold Partner
 <p>NOC and Patch Management</p> <ul style="list-style-type: none"> ▶ 24x7x365 NOC ▶ Infrastructure maintenance ▶ Workstation maintenance 	 <p>Procurement Management</p> <ul style="list-style-type: none"> ▶ Client specific e-commerce site ▶ License and warranty management 	 <p>Compliance</p> <ul style="list-style-type: none"> ▶ Business Continuity Plan ▶ Incident Response Plan ▶ Information Security Framework ▶ User training ▶ Phishing tests 	 <p>Disaster Recovery</p> <ul style="list-style-type: none"> ▶ Replication management ▶ Private or Public cloud redundancy 	 <p>Research and Development</p> <ul style="list-style-type: none"> ▶ Testing and development of new emerging technologies ▶ Client specific research ▶ Strategic planning with stakeholders

“Drawing on our extensive R&D efforts and leveraging our expertise in DevOps, automation, and machine learning, we offer clients tailored, automated workflows and comprehensive data management services. Our focus also extends to operational risk mitigation and strategic technology advice, ensuring your business thrives in today’s dynamic landscape.

Our dedicated team offers a suite of top-tier, system-agnostic solutions covering infrastructure, collaboration, cybersecurity, and business processes. With our skilled professionals on hand around the clock and flexible contracts that ensure predictable and fixed monthly IT costs, we’re here to support your business every step of the way.



1989 • RFA Founded

2002 • Acquired Purchase, NY Data Centre
• Disaster Recovery & Business Continuity

2008 • Boston Opens

2014 • Secure Public Cloud and Multi-Cloud Platform

2015 • London Opens

2016 • San Francisco
• Automation and Dev Services Launch

2018 • Luxembourg Opens
• MDR Service Launch

2019 • Singapore Opens

2020 • Managed Data Services Launches

2021 • Miami presence launched
• EMEA Headquarters Expansion

2022 • Presence commences in Paris and Madrid

2023 • Tokyo office opens
• Warsaw presence launched
• Service Desk Integration with chat services
• Breach exposure monitoring service starts

RFA Facts and Figures

- ▶ 13 locations across 3 continents serving a global client base 24/7
- ▶ 800+ clients
- ▶ Over 300 staff
- ▶ \$1.5tn+ in AUM - Serviced
- ▶ Private client data facility for 20 years
- ▶ Consistently top rated in major industry surveys
- ▶ SOC 1 Type II Certification

Our Clients

RFA is a globally trusted, managed IT, development, cloud and cybersecurity services provider to the financial services and alternative investment sectors, with over 800 clients including:



Hedge Funds

RFA provides hedge funds with an all-encompassing suite of services, fortified by deep industry insight and expertise. Catering to both burgeoning managers and well-established firms worldwide, RFA is a trusted provider of secure, compliant Infrastructure-as-a-Service solutions. Coupled with thorough IT management and tailored development services, we are committed to driving maximal efficiency improvements.



Private Equity

RFA collaborates with private equity firms and their portfolio entities to guarantee secure, compliant mobility, controlled application usage, and minimized privacy risk. By conducting a foundational cybersecurity posture analysis, we also equip firms with the necessary frameworks, policies, and procedures to sustain security across their entire portfolio.



Allocators

RFA collaborates with allocators to ensure that the design of technology solutions aligns seamlessly with business aspirations and objectives. With a comprehensive array of both private and public cloud solutions, we guarantee data flexibility and security across various applications. By incorporating business robotics, we aim to achieve automation and operational efficiency wherever feasible.



Asset and Wealth Managers

RFA partners with asset and wealth managers to provide tailor-made cloud solutions, collaboration tools, customized applications, and comprehensive cybersecurity solutions to businesses throughout the sector. Leveraging our profound industry knowledge, we offer Registered Investment Advisors (RIAs) and Independent Financial Advisors (IFAs) expert counsel on compliance matters.

Service

Managed Technology Services

RFA is the proud provider of award-winning managed services to a diverse clientele in the alternative investment sector. Upholding a 'first contact resolution' principle, we meet the stringent needs of financial services clients with industry-leading IT response times.

Our managed services grant our clients access to a team of accomplished IT professionals, ensuring they receive proper advice and guidance. This shared responsibility model for IT management substantially mitigates risks associated with over-reliance on a single individual or a small IT team, hence fortifying the IT function of your business.

Clients using RFA's managed services benefit from a predictable, fixed monthly IT cost, facilitating effective budgetary planning. Our service spectrum spans from board level strategic advice and risk management support to the fine details of managing an IT department. In addition, RFA takes the lead in supplier management, driving cost savings by ensuring our clients obtain the utmost value for their money from all their suppliers.

Global Support Services

Clients are supported 24/7/365 by a team of experts, based in multiple locations across the globe. Clients can utilize the service desk or on-site support services, depending on their business requirements. Our 24/7 Service Desk provides consistent support, with a strong emphasis on customer service. At the heart of our service is a commitment to exceptional communication, ensuring your concerns are heard, understood, and promptly addressed. Coupled with our team's deep technical expertise, we are equipped to provide rapid, effective solutions to keep your business running smoothly at all times.

Staff Augmentation

RFA provides augmentation to clients' existing technology teams and application development resources. Our teams, available under flexible or fixed terms, offer a rapid boost to your workforce capabilities. Whether it's bridging skill gaps or facilitating rapid business scaling, our competent professionals are poised to meet your specific needs effectively and efficiently.




Why utilise RFA's support services?

- ▶ **Service:** White glove service; user experience QA
- ▶ **Flexibility:** Adapting our services to meet each client's unique needs and objectives, acknowledging that every business is unique
- ▶ **Innovation:** Early adoption of cutting-edge technology trends, helping to keep your business at the forefront of the industry
- ▶ **Industry Expertise:** Comprehensive knowledge of the financial industry and experience in managing complex IT environments
- ▶ **Compliance:** Adherence to regulatory standards, ensuring your IT practices are in line with industry requirements
- ▶ **Security:** Robust, up-to-date cybersecurity measures to protect your business data and IT infrastructure
- ▶ **Scalability:** Flexible solutions that grow with your business, supporting your needs as they evolve

Digital Transformation

Enhance your company's business operations, nurture a culture of innovation, and uplift customer experiences, all while maintaining robustness and flexibility amidst the dynamic business and market environments.

Digital transformation can be complex, and it can impact an organization's effectiveness if not holistically implemented.

	 Business Robotics Business Process Automation	 Data Strategy Data Warehousing & Reporting	 Cloud Services SaaS & Cloud Management
Deal	Deal Automation Portfolio Management	DeaOps Analysis PortoCo Reporting	Deal Rooms Deal CRM
IR	Balance Audit Communication Automation	Investor Reporting Marketing	Investor Portal Secure Sharing
FinOps	Compensation Management Invoice Automation	Compensation Reporting General Ledger	Compensation Security Cloud Spend Management
HR	Recruitment Tracking Employee On & Off Boarding Leave Management	Recruitment Efficacy HR Insights	HR Secure File Storage HR Application Security
IT & Dev	Automated Software Deployment	Asset Management	Self Service App Deployments
Security	Security Automated Incident Response	Security & Compliance Reporting	Cloud App Security Brokerage

PARTNERS	DealCloud	PowerAutomate	Snowflake	Azure
	IntraLinks	PowerApps	PowerBI	AWS
	eFront	UIPath	Tableau	MorpheusData
	InvestTran	Slack	StitchData	Palo Alto Prisma

Platform

Cloud Services

RFA is a cloud solutions provider experienced at combining public cloud, RFA's private cloud and client-owned IT infrastructure, with its goal always being to achieve the best outcome for its clients.

The RFA financial cloud platform provides clients with on-demand, secure, hosted infrastructure enabling:

- ▶ A cloud-first, cloud-everything approach for emerging managers
- ▶ Established firms to transition infrastructure and management expenses from large capital investments to a more cost effective and predictable operating expense-focussed model
- ▶ Firms take advantage of the commoditization of storage and computing offered by the public cloud

Public Cloud

RFA provides an unrivaled managed public cloud solution that maximizes the benefits of its power, scalability, and cost-effectiveness, all while maintaining the security and ease of a managed service. We offer clients the flexibility to leverage either AWS or Azure in conjunction with the RFA private cloud or their existing on-premises infrastructure. This comprehensive service spectrum, bolstered by RFA's suite of additional services such as round-the-clock monitoring and protection via a managed detection and response service, ensures optimal data protection at all times.

We take great pride in enabling clients to harness the full potential of Microsoft 365. Our team of experts guide clients through the process of setting up and tailoring Microsoft 365 to suit their specific needs. From streamlining communication with Teams, to boosting productivity with SharePoint and Power Automate, we ensure that our clients unlock all the benefits that Microsoft 365 has to offer, further enhancing their operational efficiency..

Private Cloud

RFA's private cloud is housed in and replicated to ISO27001 and SSAE16/Type II standard data centers and is protected by multi-layered security covering web, networks, data encryption and access management. The RFA private cloud offers the highest levels of security and protection and is fully customizable to each client's requirements.

Emerging Manager Solution

For new and emerging managers, RFA provides a cost-efficient, secure, and regulatory-compliant cloud solution founded on the robust framework of Office 365. Leveraging Software as a Service (SaaS) applications equips managers to swiftly scale their operations to accommodate their expanding business needs. Our emerging manager platform lays the groundwork for firms to initiate the automation of their middle office functions, setting the stage for significant efficiency gains and cost savings in the future.

www.rfa.com

Cyber and Information Security

At RFA, we are constantly engaged in research and development to deliver top-tier services to our clients. We have steadily enhanced our program capabilities to offer additional services, thereby ensuring our clients have a comprehensive end-to-end cybersecurity solution. Our **Managed Security** services include:

Managed Detection and Response (MDR)

Real-time, always-on network threat detection using machine learning and advanced analytics. AI-based analysis of inbound, outbound, and lateral traffic generates alerts across all systems and platforms, monitored by the 24x7 RFA Security Operations Center (SOC) team.

Endpoint Detection and Response (EDR)

Unified threat prevention with both pre and post-execution capabilities. Machine learning and behavioral analytics monitor processes and executables for threat prevention and predictive alerting, with security alerts monitored by the 24x7 RFA Security Operations Center (SOC) team.

SaaS Platform Security Management and Governance

Proactive monitoring and remediation of vulnerabilities across SaaS platforms, ensuring continuous alignment with major security best practices such as NIST, SOC 2, and ISO 27001 through security checks against industry standards.

Vulnerability Scanning

Appliance-based scanning for vulnerabilities across all corporate network devices. RFA also employs an agent-based scan that expands visibility beyond the corporate office network to remote user laptops, scanning for system vulnerabilities via an agent deployed on machines. The results are reviewed by IT Compliance and RFA engineering teams for remediation.

External Attack Surface Management

Identifies vulnerabilities in the organization's digital footprint and external assets with active detection and protection against known threats prioritized by criticality.

Dark Web Breach and Exposure Monitoring

Monitoring for exposed logins and personally identifiable information (PII) against a vast repository of breach data. This alerts security teams to vulnerable user accounts and manages high-risk profiles, providing holistic management of high-risk and VIP personal as well as corporate accounts.

Business Technology

Automation

RFA's automation solutions replace repeatable processes and reduce manual intervention. They accelerate the delivery of IT infrastructure and applications by automating manual processes that previously required human touch, including onboarding and offboarding and vendor management solutions.

Managed Data Services

The power to analyze everything. For companies looking to better harness the power of their data, RFA's global Managed Data Services help empower your company to data mine investment and deal-making decisions and ultimately improve profit margins across the board.

Data Warehouse

Unlimited compute, scale without limits. At the heart of our platform is the Snowflake Data Warehouse engine, the leading on-demand scaling SaaS solution which runs on any cloud provider: AWS, Azure, or Google Cloud. The virtual warehouse approach completely separates the data processing and data storage layers, allowing you to scale compute vertically or horizontally.

Data Infrastructure

Engineered for always-on powerful performance. We provide real-time monitoring through our 24/7 Network Operations Center. In the case of an emergency, RFA's Disaster Recovery capabilities protect the SaaS warehouse allowing for a seamless failover to a different cloud region or even a different cloud provider to always guarantee SLA.

Data Governance

Security and compliance every step of the way. We create solutions that are designed from the ground up to meet the standards of institutional investors and global financial regulations. Our data platform is integrated with RFA's own Artificially Intelligent Security Information and Event Management (AI SIEM) to provide around-the-clock security monitoring.

Data Ingestion

Flexible and reliable. RFA works with our clients to monitor and maintain their growing number of integrations across any range of sources, including OMS/EMS/ PMS, data providers, SaaS tools, databases, and ETL tools. Our monitoring platform tracks data flow to your data warehouse, highlighting and fixing discrepancies before the market opens.

Data Analytics

Blaze through reporting. RFA's managed data analytics monitors and updates data sets across the most popular business intelligence tools from PowerBI to Tableau, ensuring you always stay competitive. This allows for swift and efficient reporting, keeping you ahead in the fast-paced business environment.

Virtual CTO and CIO Services

RFA offers an outsourced CTO service that encompasses a broad spectrum of areas, including technology strategy, governance, risk management, and vendor management services. Clients gain from a methodical and strategic approach to contract negotiation, technology optimization, and operational risk reduction. This service is delivered by a team composed of highly trained professionals, including former CTOs, CIOs, and COOs, ensuring top-tier expertise and experience.

Development Services (DevServ)

RFA's DevServ team partners with companies to craft bespoke solutions, enabling them to fully leverage state-of-the-art data management and processing tools. These solutions not only enhance adaptability but also drive operational efficiency.

The team of global specialists are focused on three core services:

- ▶ Business Robotics
- ▶ DevOps
- ▶ Custom Development

Our team harnesses the capabilities of Office 365 migrations, SharePoint Online, and Power Automate platforms to deliver tailored solutions that are both secure and scalable. By strategically utilizing these platforms, we are able to provide solutions that meet specific client needs while ensuring robust security and scalability.

RFA employs a collection of brand-agnostic developer tools and integrated data feeds to create custom, cloud-hosted front-end web applications that address unique operational needs for clients. By adopting this infrastructure-as-code approach, clients can reap operational benefits and cost efficiencies. This is achieved by automating business functions and redundant operational tasks through software and cloud applications.



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Project Lifecycle and Client Onboarding

RFA prioritizes customer service, starting from the minute they are signed as a customer.

The onboarding process is thorough and systematic:

- 1) During the planning phase of the project, an audit and discovery process is conducted. This involves technology scans to gather information about the environment, allowing Senior Engineers to review the existing infrastructure and documentation. This data helps us understand the current environment and determine the most logical and seamless approach for onboarding. Additionally, any security gaps identified are addressed by implementing RFA's security standards. The outcome of this phase is the project plan.
- 2) The execution phase involves delivering the tasks outlined in the project plan. Throughout this phase, we closely monitor and control the work to ensure quality assurance and timely completion. As part of the migration process, RFA clients are introduced to their dedicated support team and engineers who will not only work on the onboarding project but also serve as their ongoing points of contact once the regular operations stage is reached.
- 3) Once the deliverables have been met, the project enters the closure phase for final quality assurance checks. The RFA project team conducts a service transition call to formally hand over the service to our global support team. The documentation created during onboarding is reviewed, and any relevant project notes are archived for future reference.

Our specialist teams are readily available to assist clients with any inquiries related to security, networking, business continuity planning, systems architecture, and voice, including the procurement of end user devices.

The onboarding process plays a crucial role in minimizing errors and ensuring that every client receives professional service both before and after transitioning to RFA. In addition to the dedicated support engineers, RFA's specialist teams are accessible to address any emerging questions or concerns regarding networking, business continuity planning, systems architecture, voice, and security.

Operational Due Diligence

Operational Due Diligence is a critical concern for investors, particularly during turbulent times. To navigate through new challenges in the industry, investors aim to enhance their sophistication and make better-informed decisions.

In the demanding realm of operational due diligence, every facet of a firm, including its personnel, operations, and technology, undergoes meticulous scrutiny. RFA collaborates with companies to fortify their resilience and readiness for these evaluations. Through this partnership, RFA contributes to enhancing stability, suitability, and resilience, ensuring a successful outcome in operational due diligence evaluations. Some key steps include the following:

- ▶ Demonstrate transparency with clear policies and appropriate systems
- ▶ Build a culture of compliance into your operations and workforce
- ▶ Identify and manage potential risks with a comprehensive mitigation plan
- ▶ Ensure data security with an end-to-end cybersecurity strategy
- ▶ Develop and test robust disaster recovery, business continuity, and incident response plans.
- ▶ Minimize the risks linked to key man dependencies
- ▶ Ensure that your technology infrastructure is not only fit for purpose but also capable of automating processes for improved efficiency and productivity
- ▶ Assess your supply chain to confirm that third-party service providers are offering the best value, have sufficient controls in place, and are under clear oversight.



RFA works with Private Equity firms and their portfolio companies to build resilience and prepare for due diligence checks.

Compliance

The design, implementation and management of a successful compliance framework is a challenging task for business managers in today's increasingly interconnected and digitized environment.

RFA partners with clients to manage the regulatory burden of FCA, SEC, CSSF, FINMA and other global regulators. GDPR and other legislation has increased the regulatory burden placed on firms and many firms do not employ dedicated information security personnel, making it difficult to stay abreast of current requirements and resolutions. Technology advancements, whilst transforming businesses, also increase risk and can be employed by cyber criminals to target financial services firms.

An effective compliance program emphasizes information security, employing robust risk identification, mitigation strategies, and enhancing business processes. Confidentiality, integrity, and availability of data at rest and in transit are fundamental. These principles are reinforced through corporate policies, procedures, and appropriate technology.

RFA's Compliance Park platform, designed by compliance professionals, streamlines management, auditing, and reporting for various aspects, including internal policy frameworks, industry-standard security frameworks (NIST, ISO, SOC), regulatory frameworks (GDPR, MiFID II, SMCR), vendor assessment, and risk management. It offers a user-centric, interactive experience, allowing the upload of pre-built or custom framework templates, defining data and process owners, and facilitating task management, documentation, control evidence, reminders, and automated reporting.

Security best practices are embedded in the platform, with features like data segregation, data security, access controls, user account management, multifactor authentication, auditing, reporting, and redundant backups. RFA provides 24x7 support for a seamless experience.



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Global Awards

2021 Awards



HFM US Services Awards
Best Tech Infrastructure Provider - winner



US Alt Credit Services Awards
Best Technology Innovation - winner



US PE Wire Awards
Best Cloud Services Provider - winner



US HedgeWeek Awards
Best Managed Service Provider - winner



HFM EU Services Awards
Best cloud technology solution - winner



Best cyber-security service - winner



EU PE Wire Awards
Best cloud services provider - winner



MSP 501
Globally Ranked Top MSP 2021 - listed



CRN MSP500
2021 - listed



A Team Innovation
Most Innovative Data Management Service - winner



HFM US Quant Awards
Best Cloud Computing Provider - winner



US Technology Awards
Best Overall Technology Firm - winner



Best Public Cloud Service - winner

2021 Awards



HFM EU Tech Awards
Best IT managed service - winner - winner

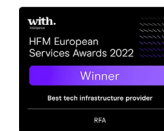


EU HedgeWeek Awards
Best cyber security provider - winner

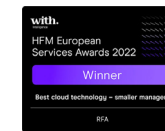


US Technology Awards
Best overall technology firm - winner

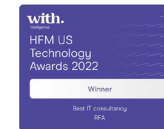
2022/23 Awards



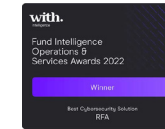
HFM European Service Awards
Best tech infrastructure provider - winner



HFM European Service Awards
Best cloud technology - smaller managers - winner



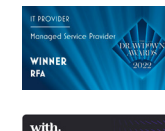
HFM US Technology
Best IT Consultancy - winner



Fund Intelligence Operations & Service Awards 2022
Best cybersecurity solution - winner



CRN 500 Solutions Provider 500
winner



Drawdown Managed Service Provider 2022
winner



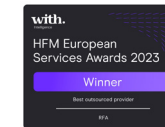
HFM US Quant Services Awards
Best IT Infrastructure Provider



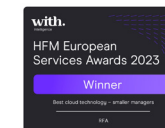
HFM US Services Awards 2022
Best IT Consultancy - winner



Private Equity Wire European Awards 2022
Best Technology Infrastructure Provider



HFM European Services Awards 2023
Best outsourced provider - winner



HFM European Services Awards 2023
Best cloud technology - smaller managers - winner

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