

Alternatives – Ongoing/Annual Monitoring

Review Period	
Originating Senior Investment Professional	
Fund Name	
Firm Name	
Date of Original Investment	
Total \$ Commitments (Corient)	
Total Investors (Corient)	

Ongoing monitoring efforts should consist of reviewing the following materials while documenting material findings and changes from subsequent periods. They should be completed on an annual basis within the subsequent 12-month period (e.g., 2023's review should be completed no later than 12/31/2024).

- Audited Fund Financial Statements
- Due Diligence Questionnaire
 - Personnel
 - Policies and Procedures
 - Service Providers
- Updated Fund documents
 - Redlined version
- Form ADVs (Part 1 and 2A)
- Any material events that occurred over the prior 12 months
 - New business activities/products/services
 - Correspondence with any regulatory agencies
 - Violations of Compliance Policy
 - Cybersecurity Events
- Performance/Track Record

Print Name: _____

Signature: _____

Date: _____