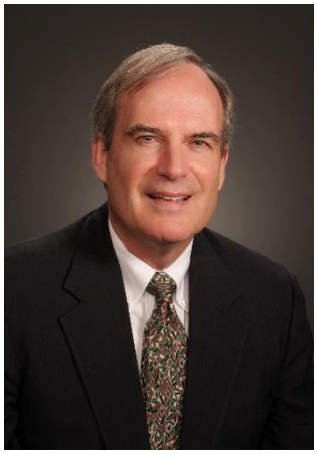


Rick Roche, CAIA

Rick Roche is a Managing Director at Little Harbor Advisors, LLC. Little Harbor Advisors (LHA) is a sponsor of systematic investment strategies. Rick has 36+ years' experience in investment management and is a committed lifelong learner.

He holds Series 3 (Commodities), 7, 63 and 65 licenses. Rick received his Chartered Alternative Investment Analyst (CAIA) charter designation in 2014.

He is Local-Only member of the CFA Society – Minnesota and member of the New York Hedge Fund Roundtable (2013-2017). Rick earned a B.A. in History from the University of Dayton, OH.

Since 1991, Rick's consulted 85 major financial companies and has personally trained 72,000 financial sales pros in customer loyalty marketing, capital market trends and investor behavior.

Rick has a unique ability to synthesize large amounts of academic and technical research and translate into *actionable* intelligence. His extensive investment background, encyclopedic command of market theory and staccato delivery have earned him the *Top-Rated Speaker* rating at numerous industry conferences.

Rick and his wife have two grown sons, both of whom work in financial services. He's a fitness enthusiast with a focus on strength conditioning and endurance. He's coached youth soccer and been an active volunteer in his local community. From 1977 to 1980, Rick served two terms in the Massachusetts Legislature representing Springfield, MA.