

Boivin, Katie A.

Senior Analyst

Manager: Dana Moolani

Evaluated By: Dana Moolani

2018 Performance Review [E]

Organization: Dana Moolani

Location: Los Angeles

01/01/2018 - 12/31/2018

Goals

Continue to develop my technical skills through increased understanding of GAAP, fund structure, and performance attributes.

1) UCLA Fully-Employed MBA program

2) Increase familiarity with fund documents: new fund structures, with new fee structures and others as appropriate

Due Date: 12/31/2018

Manager Evaluation

Rating: **Met**

Employee Evaluation

Rating: **Met**

Contribute at the Department level by working with Dana and other managers on Client Service training sessions.

1) Work with CS to determine new topics from their perspective

Due Date: 12/31/2018

Manager Evaluation

Rating: **Course Corrected**

Employee Evaluation

Rating: **Course Corrected**

Contribute at the Department level by working with other managers on new/ad-hoc projects. (i.e. corporate consolidation, BNY invoices, audit projects and as others as appropriate)

Due Date: 12/31/2018

Manager Evaluation

Rating: **Met**

Employee Evaluation

Rating: **Met**

Help to streamline communication and relationships between the ClosedEndMCR team and other teams within the Accounting department to increase the efficiency of response time.

Due Date: 12/31/2018

Manager Evaluation

Rating: **Met**

Employee Evaluation

Rating: **Met**

Improve and develop my soft-skills. Train and mentor new associates on more complex MCR requests and help guide the ClosedEndMCR team.

Due Date: 12/31/2018

Manager Evaluation

Rating: **Met**

Employee Evaluation

Rating: **Met**

Development Items

Competencies

Decision Quality

Makes good and timely decisions that keep Oaktree moving forward.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Drives Results

Consistently achieves results, even under tough circumstances.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Maintains Accountability

Holds self and others accountable to meet commitments.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Resourcefulness

Secures and deploys resources effectively and efficiently.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Communicates Effectively

Develops and delivers multi-mode communications that convey a clear understanding of the unique needs of different audiences.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Collaborates

Builds partnerships and works collaboratively with others to meet shared objectives.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Values Differences

Recognizes the value that different perspectives and cultures bring to an organization.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Courage

Steps up to address difficult issues and says what needs to be said.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Instills Trust

Gains the confidence and trust of others through honesty, integrity and authenticity.

Manager Evaluation

Proficiency Rating: **Expectations Fully Met**

Employee Evaluation

Proficiency Rating: **Expectations Fully Met**

Performance Summary

Staff Members: In the context of the current review period, describe your:

- Most significant contributions and "above and beyond" accomplishments
- Application of the competencies to your role
- Development areas to increase your impact

Managers: In the context of the current review period, comment on your direct report's:

- Most significant contributions and "above and beyond" accomplishments
- Application of the competencies to their role
- Development areas to increase their impact

Manager Evaluation

Response: Overall it has been a productive year for Katie, and she has embraced her new role as a senior analyst. She has continued to build good will around the firm and is well respected by both the CE Accounting team, and the folks in CS and Marketing. She has proven herself in this role by being highly collaborative, taking full ownership of what she is working on, and seeing requests through from start to finish. She has also continued to prove herself as a mentor to our junior staff on the team by assisting in reviewing his work, and by providing him guidance on more complex tasks she used to do herself. Overall I agree with Katie's assessment of her goals and achievements for the year, which can be broken down into the following categories: 1) Technical Skills, 2) Department Level Contributions, 3) Ad-Hoc Projects, 4) Communication, and 5) Soft Skills.

Employee Evaluation

Response: **Goals:**

1. Continue to develop my technical skills through increased understanding of GAAP, fund structure, and performance attributes.
1) UCLA Fully-Employed MBA program
2) Increase familiarity with fund documents: new fund structures, with new fee structures and others as appropriate

I have achieved this goal by completing my first year of the Fully-Employed MBA program at UCLA Anderson and through self-study of the many resources available including fund financial statements, LPAs, and accountants files. My Financial Accounting course was especially helpful as I was able to apply the concepts I learned in the classroom to my role at Oaktree in real time. I gained a deeper understanding the fund financial statements, performance metrics and GAAP which has helped me in

1) Technical Skills - I agree that Katie has continued to develop her technical skills which has been evident through her timely and thorough responses. As such, she has gained more confidence in her own abilities and knowledge, and is able to communicate clearly to our internal and external stakeholders. She is also able to work directly with managers and senior managers in our department in order to get a complicated request resolved. Some of Katie's strengths that are not only beneficial to our team but also to CS and Marketing are her ability to pro-actively communicate, her openness to constructive feedback so that she can apply what she has learned to the next task, and her ability to learn quickly. It is evident that both her hands on experience at Oaktree and her time at UCLA have not only benefited her but have benefited the overall team.

2) Department Level Contributions - The CE MCR team met with CS this year for feedback sessions, in order to discuss areas of improvement in both directions. We came up with a list of new accounting topics that were of interest to the team, and have agreed to provide additional training sessions over this next year. I agree that overall the meetings have been very productive and have opened the channels of communication between departments. In addition, Katie stepped up to the plate when there was turnover in Diligence Services, and led a training for both new hires and senior members of their team, in order to get everyone up to speed on the relationship summary processes and best practices. I would encourage Katie to take on a bigger role in the 2019 training sessions by working with myself and other managers in the accounting group to organize, compile and present the materials.

3) Ad-Hoc Projects - As Katie mentioned in her goal assessment, she is able to take on additional tasks outside of CE MCR without compromising the quality and timeliness of her work. As such, she has great time management skills and is able to work with multiple teams and managers. Katie is always willing to step in where needed, even

providing more thoroughly vetted questions to our accountants and managers. For example: pulling and referencing as much support as possible to present to accountants and managers with a thoughtful hypothesis or potential resolution for their confirmation or further guidance (i.e. pulling and highlighting portions of the LPA, MMRs, financials, accountant's files, Salesforce). In 2018, I have completed (or will complete) the following classes:

Financial Accounting A
Managerial Economics B
Marketing Management A
Foundations in Finance B+
Corporate Strategy A*
Operations & Technology Management A*
*Average as of the date of this review
11/28/18

2. Contribute at the Department level by working with Dana and other managers on Client Service training sessions.

1) Work with CS to determine new topics from their perspective

This goal was corrected to shift the trainings into 2019 due to capacity and scheduling between both Closed End Fund Accounting and Client Services. However throughout the year I have been involved in meetings with the Client Services and Diligence Services teams to ensure our teams are working together effectively. Overall the meetings have been very productive and opened up the channels of communication between departments. In addition, I led training on relationship summary processes and best practices for a new hire and senior members of the Diligence Services team.

3. Contribute at the Department level by working with other managers on new/ad-hoc projects. (i.e. corporate consolidation, BNY invoices, audit projects and as others as appropriate)

I have been able to achieve this goal by completing the corporate consolidation quarterly for the Distressed Debt and Strategic Credit funds; quarterly BNY invoices; working through ad hoc issues with

if the task doesn't fall directly within her role. As such, she is a reliable team member and a key contributor across our department.

4) Communication - Overall, I agree with Katie's assessment. She has helped to streamline the communication between accounting and other internal groups (i.e., Client Services, Marketing, etc.), which includes but is not limited to getting involved in a feedback sessions, monitoring and updating the CE MCR tracker, or communicating deadlines and expectations to the accounting strategies so that they can respond in the most timely and efficient manner possible.

5) Soft Skills - Katie spent time this year training Wade on more complex requests, while providing him feedback and guidance on his work. As such, Katie not only takes accountability for her own work but also for the work she helps to review for Wade. Even when Katie doesn't have extensive knowledge on a particular subject, she takes the time to ask thoughtful questions and learn. She does this all while maintaining an optimistic attitude so that she can share the knowledge with the junior member of our team.

We enjoy working with Katie and have received only positive feedback from the different groups within Oaktree. We look forward to helping her further develop her career, so as she looks forward to her 2019 goals, I encourage her to focus on the development items she listed. This will help her to become even more resourceful at Oaktree and will help to enhance both her internal and external relationships.

BNY invoices with BNY and members of the EAG and AP teams; budget performance metrics and predictions of the MCR team for Paula; preparing the monthly and quarterly close packages and partner statement packages for POF3 and POF3A for Dana and other miscellaneous projects throughout the year.

4. Help to streamline communication and relationships between the ClosedEndMCR team and other teams within the Accounting department to increase the efficiency of response time.

As mentioned in #2, I have been involved in formal meetings with senior members of the Client Services and Diligence Services teams to ensure our teams are working together effectively. In addition, I have worked with Wade to ensure that our ClosedEndMCR Tracker for requests is updated throughout the day with new developments and changes for each request. I have made it a priority to respond to requests as quickly as I can and to ensure that my responses are sent before the deadlines as often as possible. When there are lags in response time due to unforeseen circumstances (i.e. request is more complicated than we initially thought or the accounting team needs more time) I have made it a priority to communicate our timing with Client Services. This will be an ongoing goal in 2019 to continuously improve our response time and efficiency to better serve our clients.

5. Improve and develop my soft-skills. Train and mentor new associates on more complex MCR requests and help guide the ClosedEndMCR team

I have been able to meet this goal by continuing to train Wade on more complex MCR requests. I have done this by having him take the lead on them, answering questions and assisting often. Over the course of this year Wade has been able to take on more requests and more complex requests.

Development Opportunities:

1. Continue getting involved in additional projects that benefit the Closed End Accounting Team
2. Assist Dana and other managers in the Client Service trainings
3. Continue to streamline communication and relationships between ClosedEndMCR and the Accounting and Client Service teams to improve response efficiency