

## Brochure Supplement (Part 2B of Form ADV)

### Supervised Persons

Ronald E. Heakins, Jason D. Heakins

OakTree Investment Advisors  
731 S. Aiken Ave.  
Pittsburgh, PA 15232  
(412) 802-8358

As of February 18, 2022

This brochure supplement provides information about Ronald E. Heakins that supplements the OakTree Investment Advisors brochure. You should have received a copy of that brochure. Please contact Ronald E. Heakins AIFA, CRCP, Chief Compliance Officer, if you did not receive OakTree Investment Advisors' brochure or if you have any questions about the contents of this supplement.

Additional information about Ronald E. Heakins is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## **Professional Certifications**

Employees have earned certifications and credentials that are required to be explained in further detail.

### **Accredited Investment Fiduciary Analyst®**

AIFA® designees are licensed by the Center for Fiduciary Studies, a part of the fi360 company. AIFA® certification requirements include:

- Successful completion of the 90 minute, closed-book, 60 question AIFA exam, indicating at least 75% correct answers
- Annual completion of ten hours of continuing professional education, four hours of which are fi360 Training continuing education
- Sign and agree to abide by a code of ethics

### **Certified Regulatory Compliance Professional**

CRCP designees are licensed by FINRA Institute at the Wharton School at the University of Pennsylvania. The program provides compliance, legal and regulatory professionals with an in-depth understanding of the foundation, theory and practical application of securities laws and regulation. CRCP certification requirements include:

- Successful completion of the program at The Wharton Institute which includes two weeklong residential courses, plus extensive pre-course readings and casework
- Must complete 12 hours of continuing education every three years by the anniversary of their graduation date to maintain certification.

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**Ronald E. Heakins, AIFA, CRCP, President / Portfolio Manager**

Educational Background:

- Date of birth: 08/03/1952
- Penn State University: 1970-1971
- Robert Morris University: 2004

Business Experience:

- Prior to founding Oakmont Investment Advisors, Inc., now d/b/a OakTree Investment Advisors, in 2000, Ronald was employed with UBS PaineWebber as a Securities Broker, Account Vice President, and Branch Manager. He obtained status as an Accredited Investment Fiduciary Auditor (AIFA)<sup>®</sup> from the Fiduciary Institute/Katz at the University of Pittsburgh, a Certified Regulatory Compliance Professional (CRCP) from the FINRA Institute at Wharton, and serves as an arbitrator for the National Association of Securities Dealers. He has completed the “Wharton Private Wealth Management Professional Track Program” offered through The Wharton School at the University of Pennsylvania, “Value-at-Risk” course from the New York Institute of Finance, and the “Institutional Investors Course” through the Chicago Board Options Exchange. Ron completed Portfolio Management at Paine Weber Selections in 1997. He has been authorized as an instructor by the Pennsylvania State Board of Accountancy to teach CPE credit courses relevant to compliance issues in the securities industry to registered Pennsylvania CPAs.
- Achieved a Certificate in Introduction to Financial Accounting through Coursera and the Wharton School of Business at the University of Pennsylvania on November 23, 2013.
- Currently enrolled in ACAMS (Association of Certified Anti-Money Laundering Specialist) AML (Anti-Money Laundering Certification).

Disciplinary Information: None

Other Professional Activities: Ron testifies as an expert in FINRA arbitration, state, and federal court on matters of investments and trust litigation.

Ron is a partial owner and operator of Comprehensive Portfolio Analysis & Audit Plus (CPAA+), a service created to track a client’s finances, provide analysis of how they are changing, and how those changes may impact the client’s financial future. CPAA+ does not manage money.

Additional Compensation: None

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## Jason D. Heakins, Vice President

### Educational Background:

- Date of birth: 01/06/1987
- University of Pittsburgh: 2005 – 2009

### Business Experience:

- In the summer of 2003 Jason began working for Oakmont Investment Advisors, Inc., now d/b/a OakTree Investment Advisors, in clerical work, data entry, and portfolio analysis for the business's expert witness work. Between 2003 and 2011 Jason worked intermittently for Oakmont Investment Advisors, Inc./ d/b/a OakTree Investment Advisors until the Spring of 2011 when he was hired full time. In April, 2012 Jason passed the Series 65 Uniform Investment Advisor Law Examination and was moved into the position of Investment Counselor.
- Achieved a Certificate of Completion from NY Institute of Finance Fusion Analysis Course in May of 2013.
- Achieved a Certificate in Introduction to Financial Accounting through Coursera and the Wharton School of Business at the University of Pennsylvania on November 23, 2013.
- Achieved a 5-course Specialization Certification in Business and Financial Modeling from the University of Pennsylvania on September 22, 2016.
- In November of 2018, Jason passed the CMT Level 1 Exam.
- In December of 2019, Jason passed the CMT Level 2 Exam.
- In December of 2020, Jason passed the CMT Level 3 Exam.

Disciplinary Information: None

Other Professional Activities: Jason is a partial owner and operator of Comprehensive Portfolio Analysis & Audit Plus (CPAA+), a service created to track a client's finances, provide analysis of how they are changing, and how those changes may impact the client's financial future. CPAA+ does not manage money.

Additional Compensation: None

### Supervision:

Jason Heakins' activities and analysis are supervised by Ronald Heakins, AIFA, CRCP, President/Portfolio Manager, Chief Compliance Officer. Ronald Heakins reviews Jason's data management and analytical work through frequent office interactions and analytical reports.

Ronald Heakins' contact information:  
(412) 802-8358 and ron@myoaktreadvisors.com