

## **I. Identity and Address of Principals**

- A. Name of firm.
  
- B. Ownership structure of firm.
  
- C. Brief biographies of individuals to be assigned.
  
- D. Business focus/client base.
  - 1. What is the primary business focus of your firm? Is your firm affiliated with any organization(s), specifically a brokerage firm? If yes, please describe the relationship in full.
  
  - 2. How many consulting clients do you currently have? What is the average plan size of your clientele?
  
  - 3. How many full-time staff are employed by your firm?

## **II. Experience**

- A. Describe the firm's overall philosophy towards managing assets for nonprofit organizations.
  
- B. What experience do you have working with nonprofit organizations?
  
- C. Describe the services provided by your firm, and the attributes of your services that distinguish your firm from your competitors.
  
- D. Provide the name, address, telephone number and contact person for three current clients (preferably charitable organizations or other public clients) for whom you provide investment management and/or advisory services, and indicate the scope of services.

### **III. Key Personnel and Client Service**

A. Provide information regarding how your firm is structured to service accounts. Do you offer a local point of contact?

B. Provide the name(s) and location of the individual(s) who will be assigned to the account. Also provide a brief biography including titles, area of responsibility, academic credentials, professional affiliations, relevant work experience and number of years with your firm.

### **IV. Investment Management Process**

A. Asset allocation methodology.

1. Describe in detail how your capital markets projections are derived.
2. Describe your asset allocation software. Is it developed in-house? If purchased externally, who is the vendor?

B. Investment policy statements.

1. Describe in detail the process you go through to prepare an investment policy statement.

C. Money manager structure and search process.

1. Do you maintain a database of money management organizations? If so, is the database compiled internally or purchased from an outside source? If purchased externally, who is the vendor?
2. What is the method for gathering information on the investment managers? How often is the data updated?
3. Are managers required to pay a fee for inclusion in your database?
4. Describe, in step-by-step detail, your due diligence/search process for selecting managers.

5. What are the guidelines you give a client with respect to the possible termination of a money manager?
6. How many full-time staff do you employ who are professionally trained in due diligence?
7. How often does your staff visit with money managers, both in-house and on-site?

**D. Performance measurement.**

1. Describe your firm's process of monitoring money managers for a client. Relate the process to a client's goals, objectives, and investment policy.
2. How soon after the quarter-end are your reports available?
3. Please provide a sample performance measurement report.

**E. Performance**

1. How soon after the end of each period are performance results available? Describe your reporting capabilities.
2. What online reporting capabilities do you offer?

**V. Education**

- A. Does your organization offer education of board members as it relates to their fiduciary responsibilities?
- B. Describe the qualifications of the individuals assigned to conduct the training.

**VI. Fee Schedule**

- A. Please outline your fee structure for this plan. Please indicate all services you propose to provide and their associated fees. Specifically, detail in terms of retainer, manager searches, performance monitoring on a quarterly basis, and other functions.
  
- B. Does your firm accept soft dollars as a method of payment for services provided? If so, how do you prevent conflicts of interest? Please list the advantages and disadvantages you see in the use of soft dollars.
  
- C. If hired, will your firm receive any other form of compensation from working with this account that has not yet been revealed? If yes, what is the form of compensation?

**VII. Additional Services**

- A. What additional services will you provide to ?