**Firm Information**

|  |  |
| --- | --- |
| **1) Legal name of firm:** | 2011 Manager Questionnaire |
|  |  |
| **2) Main Office** |  |
| Address 1: |  |
| Address 2: |  |
| City: |  |
| State: |  |
| ZIP: |  |
| Phone Number: |  |
| Fax Number: |  |
| Main email address: |  |
| Website address: |  |
| Number of staff in this office and roles: |  |
|  |  |
| **3) Other Office(s)** | (Note: insert additional rows if necessary) |
| Address 1: |  |
| Address 2: |  |
| City: |  |
| State: |  |
| ZIP: |  |
| Phone Number: |  |
| Fax Number: |  |
| Number of staff in this office and roles: |  |
|  |  |
| **4) Key Marketing Contact** | (Note if third party marketer) |
| Name: |  |
| Title: |  |
| Firm: |  |
| Address 1: |  |
| Address 2: |  |
| City: |  |
| State: |  |
| ZIP: |  |
| Phone Number: |  |
| Fax Number: |  |
| Email address: |  |

|  |  |
| --- | --- |
| **5) Provide a brief description and history of the firm:** |  |
| What is the meaning/origin of the firm’s name? |  |
|  |  |
| **6) Describe your ownership structure:** |  |
| Names of active owners and their ownership interest: |  |
| Other owners or organizations not identified above: |  |
|  |  |
|  |  |
| **7) Describe any ownership changes in your firm over the last five years:** |  |
|  |  |
| **8) Affiliated organizations and subsidiaries** | (Note: complete following information for each affiliation; insert rows as required) |
| Name: |  |
| Relationship: |  |
| Function: |  |
|  |  |

|  |  |
| --- | --- |
| **9) Details of your status as a minority-owned or woman-owned business (owners and certifications):** |  |
|  |  |
|  |  |
| **10) Describe the firm’s registration status at the national and state level (list state registrations):** |  |

|  |  |
| --- | --- |
|  |  |
| **11) For the firm, please identify your staff according to the following table:** |

|  |  |
| --- | --- |
| **PERSONNEL SUMMARY** | **TOTAL #** |
| Portfolio Managers |  |
| Research Analysts |  |
| Traders |  |
| Marketing Specialists |  |
| Compliance |  |
| Operations |  |
| Other (explain) |  |
| **TOTAL EMPLOYEES** |  |

 |

|  |  |
| --- | --- |
| **12) Please provide an organizational chart if available:** | [Note: paste here or attach separate document) |
|  |  |
| **13) Provide biographies of all investment professionals** | [Note: Please insert here or attach bios including name, position, job description, number of years with the firm, total years in industry, employment history, education, credentials & licenses] |
|  |  |

|  |  |
| --- | --- |
| **14) Please list additions and departures of investment professionals for the last three years (five years for Portfolio Managers)**  | [Note: complete the following information for each professional as appropriate; insert rows as required] |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **YEAR-END** | **Name** | **Position Held or Acquired** | **Beginning Date** | **Ending Date** | **Reason for Leaving / Hiring**  |
| 2013 |  |  |  |  |  |
| 2014 |  |  |  |  |  |
| 2015 |  |  |  |  |  |
| 2016 |  |  |  |  |  |
| 2017 |  |  |  |  |  |
| YTD 2018 |  |  |  |  |  |

|  |  |
| --- | --- |
|  |  |
| **15) Please list all types of insurance coverage maintained by the firm, including type, amount, carrier and renewal dates:** |  |
| **16) SEC Audit:** |  |
| Has the firm been audited/reviewed by the SEC? When? |  |
| What were the key findings? |  |

|  |  |
| --- | --- |
| **17) If the firm or any employees have been involved in any litigation or regulatory actions (SEC, state securities organizations, etc.), please identify them and provide a description:** |  |
|  |  |

|  |  |
| --- | --- |
| **18) Who is your compliance officer? Has there been any turnover at the position over the last five years? Please describe.** |  |
|  |  |
| **19) List any outside compliance/compliance advice providers.**  |  |
|  |  |
|  |  |
| **20) Describe significant changes to compliance policies and procedures in the last year** |  |
|  |  |
|  |  |
| **21) Please provide a representative client list:** |  |
|  |  |
| **22) For ALL firm assets and accounts, please complete the following tables:** |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **YEAR-END** | **[PRODUCT NAME]** | **[PRODUCT NAME]** | **[PRODUCT NAME]** | **[PRODUCT NAME]** | **[PRODUCT NAME]** | **[PRODUCT NAME]** | **[PRODUCT NAME]** | **TOTAL FIRM** |  |
| **$MKT VALUE** | **$MKT VALUE** | **$MKT VALUE** | **$MKT VALUE** | **$MKT VALUE** | **$MKT VALUE** | **$MKT VALUE** | **$MKT VALUE** |  |
| 2013 |  |  |  |  |  |  |  |  |  |
| 2014 |  |  |  |  |  |  |  |  |  |
| 2015 |  |  |  |  |  |  |  |  |  |
| 2016 |  |  |  |  |  |  |  |  |  |
| 2017 |  |  |  |  |  |  |  |  |  |
| YTD 2018 |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **YEAR-END** | **PUBLIC ASSETS****($ MIL)** | **PUBLIC ACCTS #** | **CORP ASSETS** **($ MIL)** | **CORP ACCTS #** | **ENDOW ASSETS** **($ MIL)** | **ENDOW ACCTS #** | **TAFT HARTLEY ASSETS ($ MIL)** | **TAFT HARTLEY ACCTS #** | **INDIV ASSETS ($ MIL)** | **INDIV ACCTS #** | **OTHER ASSETS ($ MIL)** | **OTHER ACCTS #** | **TOTAL ASSETS ($ MIL)** | **TOTAL ACCTS #** |
| 2013 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2014 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2015 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2016 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2017 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| YTD 2018 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **YEAR-END** | **# ACCTS****GAINED** | **$MKT VALUE GAINED (MIL)** | **# ACCTS** **LOST** | **$MKT VALUE LOST (MIL)** | **# ACCTS TOTAL**  | **$MKT VALUE****TOTAL (MIL)** | **LARGEST ACCT** **($ MIL)** | **SMALLEST ACCT** **($ MIL)** |
| 2013 |  |  |  |  |  |  |  |  |
| 2014 |  |  |  |  |  |  |  |  |
| 2015 |  |  |  |  |  |  |  |  |
| 2016 |  |  |  |  |  |  |  |  |
| 2017 |  |  |  |  |  |  |  |  |
| YTD 2018 |  |  |  |  |  |  |  |  |

**23) Please complete the following table for the firm’s 10 largest clients:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **CLIENT NAME** | **TYPE** | **STRATEGY**  | **ASSETS** | **INCEPTION DATE** |  |
| 1) |  |  |  |  |  |  |
| 2) |  |  |  |  |  |  |
| 3) |  |  |  |  |  |  |
| 4) |  |  |  |  |  |  |
| 5) |  |  |  |  |  |  |
| 6) |  |  |  |  |  |  |
| 7) |  |  |  |  |  |  |
| 8) |  |  |  |  |  |  |
| 9) |  |  |  |  |  |  |
| 10) |  |  |  |  |  |  |

|  |  |
| --- | --- |
|  |  |

**Product Information**

**(Please duplicate as necessary for each distinct strategy)**

|  |  |
| --- | --- |
| **1) Name of Product:** |  |
|  |  |
| **2) Active or Passive:** |  |
|  |  |
| **3) Style and Market Cap:** |  |
|  |  |
| **4) Sub-style (GARP, sector-focused, etc.):** |  |
|  |  |
| **5) Regional focus (Global, US, International Developed Markets, International Developed & Emerging Markets, Emerging Markets, other)** |  |
|  |  |
| **6) Benchmark:** |  |
|  |  |
| **7) Inception date:** |  |
|  |  |
| **8) Minimum separate account size:** |  |
|  |  |
| **9) Investment philosophy:** |  |
|  |  |
| **10) Investment process overview:**  |  |
|  |   |
| **11) During what type of market environment is the investment process expected to work best/worst?** |  |
|  |  |
| **12) Please identify the investment team for this product:**• Who is the lead portfolio manager for this product? |  |

|  |  |
| --- | --- |
|  |  |
| **13) How ideas are generated:**• Composition of initial universe of stocks to be screened• Description of quantitative methods or screens used to narrow the initial universe• Description of how the models and screening methods were created including:  - how they were created - key inputs, or variables - relationship to the firm’s investment philosophy - revisions since inception - individuals with responsibility for maintaining the models• Does any individual(s) have ownership of the models? |  |
|  |  |
| **14) Research process:**• Key information gathered and sources• Relationship of the key information to the firm’s investment philosophy• Number of professionals dedicated to this product’s research• Are company visits made? How often?• Do you contact companies’ suppliers and/or competitors? How often? |  |

|  |  |
| --- | --- |
| **15) Decision making process:**• Steps in top-down and bottom-up decision making (length of time from generation of an investment idea to a final decision and method of reaching decision)• Staff involved in decision making process• Steps in ongoing due diligence after a security is purchased• Length of time needed to invest a new $10 million account |  |
|  |   |
| **16) For a full market cycle, approximate the percent of value add to the strategy from security selection, sector allocation and other (explain):** |
|

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Security Selection**  | **Sector Allocation** | **Country/Regional Allocation** | **Currency Management** | **Other (explain)** |
| **Approx. % of Value Add** |  |  |  |  |  |

  |
|  |  |
| **17) Portfolio construction, constraints and rationale:**• Describe the portfolio construction process • Cash limits• Sector limits• Individual security limits• country / region limits• currency / hedging limits• Ownership of companies (13-D or 13-G filings)• Typical range of securities in the portfolio |  |

|  |  |
| --- | --- |
|  |  |
| **18) Sell discipline:**• Description of triggers to sell a security and process for determining a sell signal |  |
|  |  |
| **19) Risk management:**• Discuss risk management controls• Do you hedge currency exposure, please describe? What percent of the portfolio’s currency exposure do you typically hedge? • Describe the preferred method of FX exchange.• Describe the amount and use of leverage• Discuss the firm’s policies regarding the use of derivatives• Identify the derivative instruments employed (past and present)• If derivatives are used, describe the risk management process (exposures, counterparty risk etc.) |  |
|  |  |
| **20) Does the investment process consider ESG factors? Please explain** |  |
|  |  |
| **21) List all vehicles available for the strategy, minimum account size for each vehicle and respective fee schedules.** |  |
|  |  |
| **22) Please complete the following table *for this product*:** |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **YEAR-END** | **# ACCTS****GAINED** | **$MKT VALUE GAINED (MIL)** | **# ACCTS** **LOST** | **$MKT VALUE LOST (MIL)** | **# ACCTS TOTAL**  | **$MKT VALUE****TOTAL (MIL)** | **LARGEST ACCT** **($ MIL)** | **SMALLEST ACCT** **($ MIL)** |
| 2013 |  |  |  |  |  |  |  |  |
| 2014 |  |  |  |  |  |  |  |  |
| 2015 |  |  |  |  |  |  |  |  |
| 2016 |  |  |  |  |  |  |  |  |
| 2017 |  |  |  |  |  |  |  |  |
| YTD 2018 |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **23) Please complete the following table *for this product*, as of the most recent quarter: [Date]**

|  |  |  |
| --- | --- | --- |
| ***Overview*** | **Composite** | **[Index] (specify)** |
| Average EPS Growth (trailing 12 months) |  |  |
| Weighted Average P/E (forward) |  |  |
| Weighted Average P/E (trailing 12 months) |  |  |
| P/B |  |  |
| Weighted Average Market Capitalization |  |  |
| Median Market Capitalization |  |  |
| Dividend Yield |  |  |
| Number of Holdings |  |  |
| Cash level (%) |  |  |
| Annual turnover (%) |  |  |

|  |  |  |
| --- | --- | --- |
| ***Market Capitalization*** | **Composite** | **[Index] (specify)** |
| Over $20 billion |  |  |
| $10 billion up to $20 billion |  |  |
| $5 billion up to $10 billion |  |  |
| $1 billion up to $5 billion |  |  |
| $500 million up to $1 billion |  |  |
| Below $500 million |  |  |

|  |  |  |
| --- | --- | --- |
| ***Sector Allocation*** | **Composite** | **[Index] (specify)** |
| Consumer Discretionary |  |  |
| Consumer Staples |  |  |
| Energy |  |  |
| Financials |  |  |
| Healthcare |  |  |
| Industrials |  |  |
| Information Technology |  |  |
| Materials |  |  |
| Real Estate |  |  |
| Telecommunication Services |  |  |
| Utilities |  |  |
| Other (explain) |  |  |
| Cash |  |  |

|  |  |  |
| --- | --- | --- |
| ***Country Allocation*** | **Composite** | **[Index] (specify)** |
| **DEVELOPED MARKETS** |  |  |
| **Americas** |  |  |
|  Canada |  |  |
|  United States |  |  |
| **Europe & Middle East** |  |  |
|  Austria |  |  |
|  Belgium |  |  |
|  Denmark |  |  |
|  Finland |  |  |
|  France |  |  |
|  Germany |  |  |
|  Ireland |  |  |
|  Israel |  |  |
|  Italy |  |  |
|  Netherlands |  |  |
|  Norway |  |  |
|  Portugal |  |  |
|  Spain |  |  |
|  Sweden |  |  |
|  Switzerland |  |  |
|  United Kingdom |  |  |
| **Pacific** |  |  |
|  Australia |  |  |
|  Hong Kong |  |  |
|  Japan |  |  |
|  New Zealand |  |  |
|  Singapore |  |  |
| **EMERGING MARKETS** |  |  |
| **Americas** |  |  |
|  Brazil |  |  |
|  Chile |  |  |
|  Colombia |  |  |
|  Mexico |  |  |
|  Peru |  |  |
| **Europe, Middle East & Africa** |  |  |
|  Czech Republic |  |  |
|  Egypt |  |  |
|  Greece |  |  |
|  Hungary |  |  |
|  Poland |  |  |
|  Qatar |  |  |
|  Russia |  |  |
|  South Africa |  |  |
|  Turkey |  |  |
|  United Arab Emirates |  |  |
| **Asia** |  |  |
|  China |  |  |
|  India |  |  |
|  Indonesia |  |  |
|  Korea |  |  |
|  Malaysia |  |  |
|  Pakistan |  |  |
|  Philippines |  |  |
|  Taiwan |  |  |
|  Thailand |  |  |
| **Other (specify)** |  |  |
| **TOTAL** |  |  |

 |

|  |  |
| --- | --- |
| **24) Please list the database(s) that your firm updates, the frequency and information provided (eVestment, Morningstar etc.).** |  |

**Attachments**

**A) Please provide a copy of the firm’s Form ADV Parts 1 and 2.**

**B) Please provide an Excel spreadsheet with monthly returns (gross of fees) since inception for the composite and any other vehicles managed under this strategy, *only if you do not already submit this in eVestment***

**C) Please provide a copy of your most recent marketing book**