**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**