



INDIVIDUALLY MANAGED FUND PROGRAM Request for Information

Advisor Name _____

Financial Institution Name _____

Custodian _____

1. Classify your organization as one of the following and provide applicable documentation:

Registered Investment Adviser (“RIA”) as defined under the Investment Advisors Act of 1940 – Organizations classified as RIAs (“Registered Investment Advisers”) must provide a current Form ADV, Parts 1, 2A & 2B. Current is defined as the latest annual update (i.e., as of March 31 of each calendar year) or material change filing.

Brokerage Firm supervised by the SEC and FINRA. – Brokerage firms must furnish a current Form CRS (“Customer Relationship Summary”) and must formally acknowledge compliance with SEC Regulation BI (“Best Interest”) Current is defined as the latest annual update or material change filing.

Trust Company or the Trust division of a Commercial Bank – A Trust Company or Trust division of a commercial bank, subject to regulatory supervision by the FDIC, OCC, and/or state banking authorities, must submit all relevant and current regulatory filings. Current is defined as the latest annual update or material change filing.

2. Please provide a brief history of your organization including how long your investment firm has been in business under its present name and ownership. Have there been any changes in the structure of the firm during the past three years or under consideration in the next two?

3. What is the total Assets Under Management (AUM) of your organization?

Less than \$100 million

\$100 – \$250 million

More than \$250 million

What is the percentage of AUM that is discretionary? %

4. How many institutional clients does your organization have?

5. Is your organization registered with or subject to any regulatory agency? No Yes, please describe.

6. Within the past five years, have you or a member of your organization been subject to any regulatory proceedings or pending regulatory action against the firm or any of its officers, directors, principals or investment personnel? If so, provide an explanation and indicate the current status.

7. Within the last five years, have you or a member of your organization been involved in any material business litigation or other legal proceedings relating to firm business activities? If yes, please explain the current status or disposition.

8. Has your organization lost a significant (20% or more) number of clients or assets under management in the last three years? If yes, please explain.

9. Provide a bio for each named Advisor, Registered Representative, or Trust Officer including tenure with the firm including professional designations (e.g. CFA; CIMA; CAIA).

10. In the past three years have there been any material departures or additions to the firm's investment staff that could impact the proposed portfolio? No Yes, please describe.

11. The proposed advisory relationship(s) will be: Discretionary Non-discretionary

12. Do you consider yourself a fiduciary? Yes No

13. Provide proof of insurance coverage. Types of coverage included, but are not limited to, Errors & Omissions; Fiduciary Liability; General Business; and a Financial Institutions Bond. Coverage information should include:

- a. Policy period
- b. Limit of liability
- c. Deductible amount
- d. Carrier name and rating

14. Describe the investment process for establishing the asset allocation strategy, including the role of the Advisor and the firm.

15. Describe the investment process for selecting third party investment managers, products, securities, etc. to invest the portfolio including the roles of the-Advisor and the firm.

16. Describe your rebalancing strategy?

17. Describe your sell discipline or termination philosophy for managers, products, etc.

18. If the Advisor engages in individual security selection, provide a written description of your investment philosophy, strategy and process and a relevant performance composite, if applicable.

19. Describe, in detail, any conflicts of interest or potential conflicts of interest.