

**Investment Management Services - Statistical and Financial Template  
for Salem State University RFP # 2019-08**

Firm Name:			(1)	(2)	(3)	(4)	(5)	(6)
			Check	Yes (Y)	Dollar (\$)	Number	Percent (%)	
			Box	No (N)	Amount	#	Amount	
					(in millions)	Amount	(one decimal)	Comments
<b>7.01</b>	<b>a.</b>	<b>Company type (choose one):</b>						
		Independent investment advisor *						
		Bank affiliated investment advisor						
		Broker affiliated investment advisor						
		Insurance affiliated investment advisor						
		Holding company subsidiary/affiliate						
		Mutual fund company						
		Other (describe separately in comments section)						
		* Choose only if your firm is not in any way affiliated with banks,						
		brokerage houses, insurance or mutual fund companies, or any other						
		company. Answer in comments section.						
		If you answer is "other", or if your answer needs explanation please						
		provide one in comments section.						
		<b>b. Company Registration</b>						
		Is firm registered under the Investment Advisory Act of 1940 ? (Y or N)						
		Is firm registered with other regulatory agencies ? (Y or N)						
		If you answer "yes", please list the agencies and jurisdictions in comments						
		section.						
	<b>c.</b>	<b>Ownership type:</b>						

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	Publicly owned						
	Employee owned						
	Subsidiary						
	Division						
	Other (please list the legal owners and percentages owned under column 5 in comments section)						
<b>d.</b>	<b>Ownership structure:</b>						
	Corporation						
	Partnership						
	LLC						
	LLP						
	Other (please specify in comment section)						
<b>e.</b>	<b>Percent employee owned:</b>						
	Number of employee equity owners						
	If firm is subsidiary of a parent organization please provide in comment section the full legal name of that entity:						
	Percent of your firm that is minority-owned						
	Percent of your firm that is female-owned						
<b>7.02</b>	<b>Litigation or legal proceedings:</b>						
a.	Over the past five (5) years has your organization or any officer or principal						

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		been involved in any business litigation or other legal proceedings related to your investment activities? (Y or N) If yes, provide a brief explanation and indicate current status in comments section.						
	<b>b.</b>	Is there any past, current or pending litigation against your firm (including parent company) or any of its principals? (Y or N) If yes, provide brief explanation in comments section.						
	<b>c.</b>	Are there any past, current or pending regulatory issues/findings against your firm (including parent company) or any of its principals? (Y or N) (include any and all fines in the comment section)						
	<b>d.</b>	Have any of your firm's professionals who have CFA designation ever been disciplined by the CFAI ? (Y or N)						
		If answer yes to any of the above please provide a detailed explanation in the comments section.						
<b>7.03</b>		<b>Total Assets Under Management</b>						
	a.	Breakdown by total assets and accounts currently under management by client type in millions as of 12/31/18						
		Corporate- total assets and # of clients						

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		Public- total assets and # of clients						
		Endowment/foundation- total assets and # of clients						
		High net-worth/retail- total assets and # of clients						
		Non-US clients- total assets and # of clients						
		Other (please specify in comment section)						
		Total			\$ -	0		
		For firms listed above, please include total dollars and number of non-profit clients.						
	b.	Breakdown by type of investment vehicle with benchmarks used in assets						
		Total separately managed assets and # of clients						
		Total commingled assets and # of clients*						
		*include all mutual funds, group trusts, limited partnerships and other commingled						
		All other assets and # of clients**						
		** describe assets in comment section (i.e. subadvisory, etc.)						
		Total			\$ -	0		
<b>7.04</b>		<b>Firm staffing</b>						
	a.	Provide a breakdown of your firm wide staff into the following categories.						
		Investment Staff						

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		Portfolio manager						
		Economists						
		Analysts						
		Traders						
		Other professionals						
		Total Investment Staff				0		
		Non-Investment Staff						
		Administration						
		Marketing/client services						
		Legal						
		Systems						
		Other staff						
		Total Non-Investment staff				0		
		Grand total of staff				0		
<b>7.05</b>		<b>Investment Performance</b>			<b>Asset Value</b>			
	<b>a.</b>	<b>Total Assets Under Management (Gross of Fees)</b>			<b>in Millions</b>		<b>% Return</b>	
		1 Year for 2018						
		3 Years for 2016- 2018						
		5 Years from 2014-2018						

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	10 Years from 2009-2018						
<b>b.</b>	<b>Total Assets Under Management (Net of Fees)</b>						
	1 Year for 2018						
	3 Years for 2016- 2018						
	5 Years from 2014-2018						
	10 Years from 2009-2018						
<b>c.</b>	<b>Equities Under Management (Gross of Fees)</b>						
	1 Year for 2018						
	3 Years for 2016- 2018						
	5 Years from 2014-2018						
	10 Years from 2009-2018						
<b>d.</b>	<b>Fixed Income Under Managment (Gross of Fees)</b>						
	1 Year for 2018						
	3 Years for 2016- 2018						
	5 Years from 2014-2018						
	10 Years from 2009-2018						
<b>e.</b>	<b>Money Market Under Management (Gross of Fees)</b>						
	1 Year for 2018						
	3 Years for 2016- 2018						

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		5 Years from 2014-2018						
		10 Years from 2009-2018						
<b>7.06</b>		<b>Reporting</b>						
		<b>List of Sample reports provided*</b>						
		<b>* List frequency and purpose of of report in comment section</b>						
		<b>Please provide samples as part of submission.</b>						
<b>7.07</b>		<b>Audited Financial Statements *</b>						
		<b>Year Ending 2018 (in Millions)</b>			<u>In Millions</u>			
		Total Assets						
		Total Liabilities						
		Total Retained Earnings						
		Total Revenues						
		Total Expense Before Taxes						
		Total Taxes						

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			Check	Yes (Y)	Dollar (\$)	Number	Percent (%)	
			Box	No (N)	Amount	#	Amount	
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		Net Profit						
		<b>Year Ending 2017 (in Millions)</b>						
		Total Assets						
		Total Liabilities						
		Total Retained Earnings						
		Total Revenues						
		Total Expense Before Taxes						
		Total Taxes						
		Net Profit						
		<b>Year Ending 2016 (in Millions)</b>						
		Total Assets						
		Total Liabilities						
		Total Retained Earnings						
		Total Revenues						
		Total Expense Before Taxes						
		Total Taxes						
		Net Profit						
		<b>*Please provide audited statements as part of submission.</b>						



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<b>7.08</b>	<b>ADV Filings</b>							
	Eligible to file ADV (Y or N)							
	Date filed (list date filed in comment section)							
<b>7.09</b>	<b>Insurance Information</b>							
	<b>*Please identify types of insurance, coverages, deductibles</b>							
	<b>and other relevant information in comment section. Please</b>							
	<b>expand this section as necessary.</b>							
<b>7.10</b>	<b>Non-Profit experience</b>							
	Percent of clients that are Non-Profit							
	Percent of firm assets that are for non-profits							
				<u>In Millions</u>				
	Aggregate value of non-profit assets under firm management							
<b>7.11</b>	<b>Fee Schedule</b>							

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		Calculation for total fees assuming \$15.9 M portfolio			<u>In full \$ Value</u>			
		Calculation of fee (Basis Points) *						
		* Explain methodolgy for calculation in comment section						