



Investment Management Services RFP 2019-8

APPENDIX B- Other Information (to be supplied)

Please insert comments for the following question(s) in the space provided. The respondent is free to expand on their comments in the space provided as necessary, however, we request any and all responses not exceed 250 words to the particular question.

- 7.12 Describe the management team that would be assigned to this portfolio and how it would function. Please provide brief background profiles, required certifications and/or licenses for those key individuals, including relationship manager assigned to the university's account.
- 7.13 How has your firm operationalized the reporting and control elements raised by the Sarbanes Oxley Act of 2002?
- 7.14 Explain your firm's investment decision-making process. Specifically identify any tools or economic models utilized in buy/sell/hold decisions.
- 7.15 How do you measure and control risk? How do you measure performance?
- 7.16 Does your firm utilize index funds and/or ETFs as strategic investment options ? What are the relative percentages of each in relation to the endowment managed portfolios. Are there any fee savings for their use?

- 7.17 Describe your firm's experience and involvement in "Socially Responsible Investing" (SRI) models. Please identify and expand upon your firm's philosophy and management approach to such investment options for your higher education clients.
- 7.18 As shown in the enclosed university investment policy (specifically involving investment in fossil fuel and alternative investment strategies) please address how such strategies would impact your investment approach.
- 7.19 Please describe your firm's philanthropic and community involvement.
- 7.20 The university at present does not have an established "draw" percentage or dollar amount. As such any withdrawal will be the result of trustee actions and/or communication to the manager thru university management. Please describe your investment approach under such operating procedures.
- 7.21 Please comment on the university's investment policy and any recommendations you would consider making to improve investment performance.
- 7.22 Please provide three (3) references with whom you are currently doing business that are comparable in financial characteristics to the university.
- 7.23 Please provide three (3) references from former clients including the primary client contact, assets managed, investment product, year that relationship began and ended.