

SPSCC FOUNDATION 2025 INVESTMENT MANAGEMENT QUESTIONNAIRE

Instructions

Respondents must provide answers (in numbered order) to all of the questions listed below. If you are not able to provide an answer to a question, please provide an explanation of why. Omissions, inaccuracy or misstatements may be sufficient cause for rejection of the proposal.

Questions and requests for clarification and/or explanation regarding any aspect of this RFP, should be addressed to **Kelly Green**, Vice President for Advancement, at **kgreen@spscc.edu** prior to Sep. 3, 2025, at 5:00 p.m. Questions asked that apply to the whole will be supplied to all potential respondents by Sep. 8, 2025.

Questionnaire

1. ORGANIZATIONAL BACKGROUND (10% of total score)

- a) Firm Name and Address
- b) Primary Contact for RFP Communications
- c) Provide a brief history of your firm and qualifications and experience relevant to our Foundation.
- d) Provide an outline of your firm's organizational structure and information on the team that would most likely be assigned to serve the SPSCC Foundation.
- e) Please list all active registrations with regulatory bodies.
- f) Describe any material development or changes over the past three years or planned changes to the ownership or corporate structure (such as acquisitions, joint ventures, mergers, etc).
- g) Has your firm, its principals or affiliates ever been the focus of a non-routine SEC inquiry or investigation or similar inquiry, an investigation from a federal state or self-regulatory organizations, or been party to any litigation concerning fiduciary responsibility or other investment-related matters? If yes to any of the above, please provide details.

2. ASSET AND CLIENT OVERVIEW (25% of total score)

- a) What is your firm's total assets under management?
- b) How many clients do you serve and what is the range of assets under management for your clients?
- c) How many nonprofit clients do you presently serve, if any, and what is the range of assets under management for those clients?
- d) How many college foundation clients do you presently serve, if any, and what is the range of assets under management for those clients?
- e) Do you have any client or account size limitations or minimums for your investment services?

3. CLIENT MANAGEMENT (25% of total score)

- a) Outline the services provided by your firm and your client service model.
- b) Describe your firm's approach to potential conflicts of interest. Does your firm or any of its affiliates derive any economic benefit from any managers, mutual funds, or other investment entities that you might recommend?
- c) Describe how you transition a new client to your services.
- d) Describe the importance of client relationships to your firm and how you build and maintain trusting relationships. If we were your client, what could we expect in terms of availability, service, and overall relationship?

4. INVESTMENT SERVICES (25% of total score)

- a) Describe your approach and philosophy in managing a non-profit organization's investment portfolio, including any specialized strengths that your firm offers.
- b) Briefly describe your ongoing portfolio monitoring and performance measurement processes.
- c) Describe your firm's approach to investment analysis and research.
- d) Do you offer proprietary products? If so, are those the only investment options you offer your clients?
- e) Based on your review of the SPSCC Foundation's Investment Policy, would your firm's proposed service deviate in any way from the guidelines in the policy?

5. REFERENCES (5% of total score)

- a) Provide contact information for up to three (3) references that we may contact as part of this process. Ideal references should be in a similar industry as the SPSCC Foundation and/or have a similarly-sized portfolio.

6. FEE SCHEDULE (10% of total score)

- a) Provide a schedule for all fees, both direct and indirect, for your services. Include any “pass through” fees (brokerage or other fees) which will result from any related investment activity.