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| **PART A: QUALIFICATIONS AND EXPERIENCE (250 word limit per question)** |

1. **PROVIDE YOUR FIRM’S:**
   1. Name:
   2. Address:
   3. Contact Information:
2. **MINIMUM QUALIFICATIONS:**
   1. Does the Offeror Firm have a minimum of ten (10) years of experience in providing Financial Consulting Services, including but not limited to pension consulting services? Yes, or No?
   2. Currently and within each of the past ten (10) years, has the firm provided such services to a minimum of three public pension clients each having 20,000 members or more and at least $1B assets under management (“AUM”)? Yes, or No?
   3. If yes, please list three public pension clients, dates of service, assets under management and the name and address of a contact person we can call for a reference. Each of these references must be >$1 billion in assets and have at least 20,000 members.
   4. Insert name, date of service, AUM and name and address of contact person.
   5. Insert name, date of service, AUM and name and address of contact person.
   6. Insert name, date of service, AUM and name and address of contact person.
3. **BUSINESS HISTORY:**
   1. Provide a history of the business including the date established, the type of ownership or legal structure of the business (sole proprietor, partnership, corporation, etc.), the length of time that the firm has been operating as the legal entity and the length of time the firm has been providing the requested services.
   2. Describe any significant developments in your organization such as changes in ownership, restructuring, or personnel reorganizations, within the past five years. Indicate the nature of any prospective changes your firm anticipates in its corporate structure, organization structure, leadership, location, or staff.
   3. Discuss the areas of expertise and resources available both nationally and locally to provide the requested services.
   4. Do you have a Phoenix office? If you do not have an office in the Phoenix area, will you establish a Phoenix office for the key personnel identified in this submittal at no additional cost?
   5. Provide a table showing all shareholders of your firm and their percentage ownership.

|  |  |  |
| --- | --- | --- |
| Shareholder | % Ownership | Comments (if any) |
|  |  |  |
|  |  |  |
|  |  |  |

* 1. Describe the distinct lines of business of your firm and your parent (if any) which are in addition to your investment consulting line of business. Provide the percentage of total firm revenue from each business line.

|  |  |  |
| --- | --- | --- |
| Business Line | Description | % of Total Revenue |
|  |  |  |
|  |  |  |
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* 1. Provide an organizational chart across all offices of the investment consulting portion of your firm’s business. List the number of employees in each office and according to the following functions. Each employee may be counted only once in total.

1. Field Consulting
2. Investment Research
3. Performance Reporting
4. Firm Operations
5. Other Staff
   1. Describe how the firm is governed and managed, including the role and composition of key boards or committees.
   2. What industry organizations is your firm a member of or otherwise involved with?
6. **KEY PERSONNEL:**
   1. Provide an organizational chart across all offices of the investment consulting portion of your firm’s business. Each employee may be counted only once in total. List the number of employees in each office and according to the following functions:

|  |  |
| --- | --- |
| Function | Office Location and Number of Employees |
| Field Consulting |  |
| Investment Research |  |
| Performance Reporting |  |
| Firm Operations |  |
| Other Staff |  |

* 1. For the firm’s key personnel, provide names, titles, office locations, and biographies including educational qualifications, professional affiliations, and years of experience in institutional investment consulting. Key personnel may include, but need not be limited to, the Chief Executive Officer/Managing Partner, Chief Investment Officer, Head of Consulting, Head of Asset Allocation and Head of Manager Research.
  2. For the primary and secondary consultant (and any analyst/support professionals, if applicable) who would be assigned to COPERS, provide names, titles, office locations, and biographies including educational qualifications, professional affiliations, and years of experience in institutional investment consulting. [Limit (2) two pages per resume.]
  3. Have the primary and secondary Consultant listed above performed Financial Consulting Services for public defined benefit plans having more than $1B AUM, 20,000 members for minimum of at least (10) ten years? These cannot be the same plans. If yes, please describe how each primary and secondary consultant meets the minimum requirements:

1. experience
2. the type and size of clients served and
3. the scope and dates of Financial Consulting Services comprising the consultant’s minimum qualifications.
4. List the existing clients of the assigned primary and secondary consultant, including what their role is with each client as well as the client type (e.g. public pension fund) and the AUM for each client.
   1. Describe the firm’s policy on changing staff assigned to a client. Confirm that you will contractually agree not to change primary and secondary consultants without COPERS agreement?
   2. Using the functions listed on the chart in question 4(a) above list all hires and departures over the last five years, including their name, title, and office location. Include their date of hiring or departure. For departures, indicate the reason for departure and their years with the firm.
   3. Attach resumes of the key personnel that will be assigned to these services. Include education, certifications, associations, and training. Resumes shall clearly state any experience specifically related to the Scope of Work and list any similar work successfully completed. [Limit (2) two pages per resume.]
5. **CLIENT RELATIONSHIPS**
   1. List the number of clients and assets under advisement that you provide general consulting services within the following plan-type categories.

|  |  |  |
| --- | --- | --- |
| Plan Type | Number of Clients  Total & >$1 billion in assets | Assets under Advisement ($b) |
| Public Pension (DB) |  |  |
| Taft-Hartley (DB) |  |  |
| Corporate Pension (DB) |  |  |
| Endowment & Foundation |  |  |
| Healthcare |  |  |
| Defined Contribution |  |  |
| Other |  |  |
| Total |  |  |

* 1. Please list the number of public pension clients (defined benefit-only) for which you provide fiduciary financial consulting services on a retainer, (exclude project work) within the following size categories in 2024. Repeat the table for calendar years 2021, 2022, and 2023.

|  |  |
| --- | --- |
| Client Size | Number of Public Pension Clients (DB) / Total |
| <$1 billion |  |
| $1 billion to $5 billion |  |
| $5 billion to $20 billion |  |
| $20 billion to $50 billion |  |
| >$50 billion |  |
| Total |  |

* 1. How many total clients were gained or lost in the following years?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Year | Count | | Assets Under Advisement($b) | |
|  | Gain | Loss | Gain | Loss |
| YTD 2024 |  |  |  |  |
| 2023 |  |  |  |  |
| 2022 |  |  |  |  |
| 2021 |  |  |  |  |
| 2020 |  |  |  |  |
| 2019 |  |  |  |  |
| Total |  |  |  |  |

* 1. How many public pension clients (defined benefit-only) were gained or lost in the following years?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Year | Count | | Assets Under Advisement($b) | |
|  | Gain | Loss | Gain | Loss |
| YTD 2024 |  |  |  |  |
| 2023 |  |  |  |  |
| 2022 |  |  |  |  |
| 2021 |  |  |  |  |
| 2020 |  |  |  |  |
| 2019 |  |  |  |  |
| Total |  |  |  |  |

* 1. Identify and list by name and total assets, clients lost in 2021, 2022, and 2023.
  2. Provide the number of clients and assets under advisement/management that you have for the following specialized services.

|  |  |  |
| --- | --- | --- |
| Type of Relationship | Number of Clients | Assets under Advisement ($b) |
| Private Equity |  |  |
| Real Assets |  |  |
| Hedge Funds |  |  |
| Risk Management |  |  |
| OCIO |  |  |

1. **REGULATORY MATTERS & STANDARDS OF CONDUCT**
   1. Is your firm a registered investment advisor with the Securities and Exchange Commission under the Investment Advisors Act of 1940?
   2. Describe your compliance function and staffing. Does your firm have a written Code of Conduct, Ethics Policy and/or a set of standards for professional behavior? If so, how are they monitored and enforced?
   3. Within the last five years, has your organization or an officer or principal been involved in litigation or other legal proceedings relating to your investment consulting assignments? If so, provide an explanation and indicate the current status.
   4. Has the firm or any of its employees ever been investigated, disciplined, or censured by any regulatory body? If so, describe it.
   5. Describe your firm’s policies or procedures to identify and manage conflicts of interest. Are there any potential conflicts of interest issues your firm would have in servicing COPERS? If so, please describe them.
   6. Does your firm, its parent, affiliates, officers, or employees receive any direct or indirect compensation from investment managers? If so, describe it in detail.
   7. State whether the company is currently involved in any litigation, threatened litigation, investigation, reorganization, receivership, filing, strike, audit, corporate acquisition, unpaid judgments, or other action that could have an adverse impact on your ability to provide the required RFP needs. If so, please describe the nature of the item and its potential impact.
2. **INSURANCE & FIRM OPERATIONS**
   1. Please describe the levels of coverage for error and omissions insurance, general business liability insurance and any fiduciary or professional liability insurance your firm carries. Is the coverage on a per client basis, or is the dollar figure applied to the firm as a whole? List the insurance carriers by category, and their policy limits both aggregate and per client. Explain any issues you would have in obtaining such insurance or a rider at levels competitively comparable to coverage that would be offered by other respondents. Complete the table below.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Coverage Type | Issuer | Rating | Policy Number | Coverage Maximum | Deductible |
| Fidelity |  |  |  |  |  |
| Fiduciary |  |  |  |  |  |
| Errors & Omissions |  |  |  |  |  |
| Directors & Officers |  |  |  |  |  |
| Cyber |  |  |  |  |  |

* 1. What client, investment manager or employee claims have been made to or paid by your insurance carriers in the last five years? Provide an explanation and indicate the current status.
  2. Provide the following as separate attachments: Form ADV, compliance manual, code of ethics, disaster recovery/business continuity plans, cybersecurity controls, regulatory body examination results, allocation policy, and annual financial report.
  3. Has your firm ever experienced a data breach or other cybersecurity event that involved client or confidential information? If so, describe it in detail.