

**Lighthouse Of Broward**  
**Request for Proposal for Investment Advisory and Management Services**

Please answer the following questions in this document in the table format provided. This document should then be returned to the Lighthouse as a Microsoft Word document.

**Organization Description:**

Year firm established	Ownership Structure	Number of years firm has managed investment portfolios	Current primary source of revenues	Number of employees	Brief history of firm	History of working with nonprofit organizations

**Personnel:**

Management Structure	Key Personnel	Describe how portfolio managers and analysts that you employ or engage are compensated	Who compensates the portfolio managers and analysts that you employ or engage?	Identify personnel that will be assigned to this account and include certifications currently held by these individuals

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**References (two current client references and one former client):**

Current Client Reference #1	Current Client Reference #2	Former Client Reference

**Compliance:**

Describe the nature of any current compliance issues or compliance issues that were resolved in the last three years.

**Investment Policy:**

Describe the process and tools used to identify a client's Investment Objectives:	Describe the process and tools used to assess a client's Investment Risk Tolerance:	Describe the processes and tools used to help clients develop or review their Investment Policy:	Describe methodology used to monitor compliance with the Investment Policy.

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**Portfolio Management:**

Describe method and approach your firm uses to recommend an asset allocation strategy.	What asset allocation changes have your firm recommended over the past three years?	Discuss methodology used for asset allocation modeling, including linkage to asset/liability modeling and funding.	Describe your firm's process for identifying, evaluating, and selecting investment managers.	How are managers monitored for consistency of performance, faithfulness to style, and ability to exceed established benchmarks?	What is the basis for terminating an investment manager and who in your firm is responsible for this decision?

**Performance Measurement:**

Describe how you report portfolio performance.	Describe the methods and sources of data for analyzing the performance of your client's investment managers.	Does your firm measure performance in-house or through a third party?	Describe the process for recommending portfolio rebalancing.

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**Reporting:**

Provide an overview of reporting provided by your firm, as Investment Advisor, Manager, and Custodian (include type of reporting available).	Can performance monitoring reports be modified by the client?	Can the reports be accessed over the internet?	What is the frequency of reporting and how are reports delivered to the client?	How long after a month/quarter end are reports available?

PEASE PROVIDE A SAMPLE CLIENT REPORT.

**Fees:**

What are the account set-up fees?	What are the account termination fees?	What are the account and portfolio management fees?	How frequently is each fee assessed?	What is the accepted method of payment of the fees?