Emerging Fixed Income Manager Request for Proposal

Request for Proposal

Emerging Domestic Fixed Income Manager

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Emerging Domestic Fixed Income Manager Questionnaire

NOTE: Please do not alter or modify this form in any fashion. Any changes to the existing text may lead to confusion and could interfere with our ability to fully evaluate your submission.

Name of Firm:

____

Firm History: **(one paragraph)**

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____

Structure:

Year Founded:	
Type of Firm:	
Ownership:	
Describe any changes in firm structure over the last five years:	
Minority- or Female-Owned (give percentages)	
Succession Plans:	
Any Organizational Changes in the near future:	
Current or Past Litigation (Yes or No) If Yes, please attach details	
Locations of other offices?	
If multiple locations, where are investment decisions made?	
Errors and Emissions Insurance:	
In Compliance with SEC & DOL:	
Utilized Affiliated Broker/Dealer (Yes or No)	

Contact:

Name:

Address:

Phone:

Fax:

E-mail:

Key Professionals:

Name & Title	Month/Year Joined Firm	Years with Company	Years in Current Position	Years of Industry Experience

Provide biographies of Key Professionals as an attachment.

Investment Professionals Turnover in Last Five (5) Years

Function	Name/Title	Date Joined Firm	Date Departed Firm	Reason for Departure
Portfolio Manager				
Analyst				
Administration				
Systems				

Employee Structure: (number assigned to each category)

Position	Number (Firm/Product)
Administration	
Client Services/Marketing	
Credit Analysts	
MBS / ABS Analysts	
Risk / Quantitative Analysts	
Portfolio Managers	
System/Information Technology	
Trader	
Total	

Total Asset Structure

Asset Type	$(mm)	Percentage
U.S. Tax Exempt		
U.S. Taxable		
Total		

Tax-Exempt Separate/Commingled Assets

Asset Class	$(mm)	Percentage
Domestic Broad Equity		
Domestic Broad Fixed Income		
Domestic Balanced		
Int'l/Global Equity		
Int'l/Global Fixed Income		
Total		

Client Type	$(mm)
Tax Exempt Corporate	
Tax Exempt Endowment/Foundation	
Tax Exempt Multi-Employer	
Tax Exempt Public	
Total	

Total Asset Growth

Assets Under Management	$(mm) (Firm/Product)
2008 (through June 30)	
2007	
2006	
2005	
2004	
2003	
2002	
2001	
2000	
1999	
1998	

Client Account Turnover In Last Five (5) Years

Function	Gained ($/Number)	Lost ($/Number)
Firm		
Product / Strategy		

Client List

Please provide a representative client list.

References

Please provide the name of at least two references

Documentation

1. Does your firm have a dedicated compliance officer? Does your firm have a compliance policy? If so, please attach.
2. Does your firm have a Code of Ethics for Employees. If so, please attach.
3. Please provide a Form ADV (Parts I & II) with this response and the date that it was last updated.

Product Highlights: Domestic Fixed Income

Product Strategy Name:

Preferred Benchmark:	
Account Minimum: **(If waived, please indicate)**	
Proposed Investment Vehicle: **(Provide ticker if mutual fund)**	
Lead Portfolio Manager:	
Manager Tenure (Years): **(Firm/Product)**	
Discussion of Investment Philosophy:	
Research Process:	
Security Selection:	
Portfolio Construction:	
Sell Discipline:	
Risk Management:	

Are any derivative securities used in the management of this strategy? If so, to what extent?

Investment Process:

Please list to what extent each style adds value to the overall management of the portfolio:

Credit Quality (%):	
Duration Management (%):	
Industry/Sector Allocation (%):	
Security Selection (%):	
Yield Curve Management (%):	
Other (%):	
Total (%):	100%

	6/30/08	12/31/07	12/31/06	12/31/05	12/31/04	12/31/03
Portfolio Characteristics:						
Yield to Maturity						
Average Quality						
Average Maturity						
Effective Duration						
Average Coupon						
Portfolio Quality:						
% in AAA bonds						
% in AA bonds						
% in A bonds						
% in BBB bonds						
% below Investment Grade						

	6/30/08	12/31/07	12/31/06	12/31/05	12/31/04	12/31/03
Portfolio Sector Exposure (%):						
U.S. Treasuries						
U.S. Agencies						
MBS						
ABS						
U.S. Investment Grade Corporates						
U.S. High Yield						
CMBS						
Municipals						
Cash						
Emerging Market Debt						
Non-Dollar Sovereign						
Non-Dollar Corporates:						
Yield Curve Allocation:						
1.0 Years and Under						
1.1 - 3.0 Years						
3.1 - 5.0 Years						
5.1 – 7.0 Years						
7.1 – 10.0 Years						
10.1 – 15.0 Years						
15.1 – 20.0 Years						
20.1 Years and Over						

Fee Schedule:

Account Size	$(mm)	Fee (%)

Minimum Fee:

Performance Composite:

Assets in Composite ($mm):	
Number of Accounts in Composite:	
GIPS Methodology:	
GIPS Compliant:	
Has the Composite been Certified?	
Name of Certification Firm:	

Quarterly Rates of Return Gross of Fees

Firm Name: ____

Investment Product: ______________________________________

Quarter	Total Return
Third Quarter, 2001	
Fourth Quarter, 2001	
First Quarter, 2002	
Second Quarter, 2002	
Third Quarter, 2002	
Fourth Quarter, 2002	
First Quarter, 2003	
Second Quarter, 2003	
Third Quarter, 2003	
Fourth Quarter, 2003	
First Quarter, 2004	
Second Quarter, 2004	
Third Quarter, 2004	
Fourth Quarter, 2004	
First Quarter, 2005	
Second Quarter, 2005	
Third Quarter, 2005	
Fourth Quarter, 2005	
First Quarter, 2006	
Second Quarter, 2006	
Third Quarter, 2006	
Fourth Quarter, 2006	
First Quarter, 2007	
Second Quarter, 2007	
Third Quarter, 2007	
Fourth Quarter, 2007	
First Quarter, 2008	
Second Quarter, 2008	

Quarterly Rates of Return Net of Fees

Firm Name: ______________________________

Investment Product: ______________________________

Quarter	Total Return
Third Quarter, 2001	
Fourth Quarter, 2001	
First Quarter, 2002	
Second Quarter, 2002	
Third Quarter, 2002	
Fourth Quarter, 2002	
First Quarter, 2003	
Second Quarter, 2003	
Third Quarter, 2003	
Fourth Quarter, 2003	
First Quarter, 2004	
Second Quarter, 2004	
Third Quarter, 2004	
Fourth Quarter, 2004	
First Quarter, 2005	
Second Quarter, 2005	
Third Quarter, 2005	
Fourth Quarter, 2005	
First Quarter, 2006	
Second Quarter, 2006	
Third Quarter, 2006	
Fourth Quarter, 2006	
First Quarter, 2007	
Second Quarter, 2007	
Third Quarter, 2007	
Fourth Quarter, 2007	
First Quarter, 2008	
Second Quarter, 2008	