Outside Manager Due Diligence Questionnaire

Please respond to the following items using an end-date of MM/DD/YYYY.

For the Yes/No questions, please make your answer bold

Date:
Firm Name (the "Firm"):

Office Address:

Firm Contact:

Title(s):
Phone:
Email:

Jurisdiction(s) Firm is regulated by:

1. Describe any plans to change or expand your Firm (entering/exiting business lines, office locations, etc.) over the next 5 years.

2. Have you been examined or audited by the SEC (or State regulatory body) in the past 12 months? **(Yes/No)**
    a. If Yes, please describe any material findings:

3. Has the Firm. any of its affiliates, or any of its current principal executive officers ever filed for bankruptcy? **(Yes/No)**

4. Describe any pending or ongoing litigation/investigation against the Firm, its affiliates, and/or its current principal executive officers.

5. What types of insurance coverage does the Firm maintain (ie: fidelity bond insurance, errors and omission insurance, directors' and officers' insurance)? Have there been any material claims made against these policies in the last 5 years?

6. If any of the Firm's current principal executive officers conduct outside business activities that are expected to take up significant (25% or more) amount of time, please describe here:

7. Please list the firm's Investment Committee members:

8. Does the Firm have a written policy on the handling and safeguarding of any material, non-public information? **(Yes/No)**

9. Has the Firm adopted a Code of Ethics? **(Yes/No)**

10. How are the Firm's policies and procedures communicated to employees?

11. Have there been any criminal or administrative proceedings or investigations against the Firm, its affiliates (if any), or any of its current or former principal executive officers?

12. Do you distribute any advertisements containing portfolio performance statistics? **(Yes/No)**

13. List and briefly describe any software the Firm uses for business functions like portfolio management, trade order management, and risk assessment.