**Application Information**

1. Please specify the mandate(s) you would propose (including country or region, market cap and/or sector focus).
2. Please specify date of your completion of this questionnaire.

**Firm Information**

1. Please fill in the following list of contacts:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Contact Details | | | | | |
|  | Name | Phone | E-Mail | Address | Country |
| Main Contact |  |  |  |  |  |
| Backup Contact |  |  |  |  |  |
| Chief Executive Officer |  |  |  |  |  |
| Chief Investment Officer |  |  |  |  |  |
| Head of Equities |  |  |  |  |  |
| Portfolio Manager |  |  |  |  |  |
| Head of Research |  |  |  |  |  |
| Head of Trading |  |  |  |  |  |
| Head of Compliance |  |  |  |  |  |
| Head of Operation |  |  |  |  |  |
| Operational Contact |  |  |  |  |  |
| Legal Contact |  |  |  |  |  |

1. Please give a brief history of your organisation. Describe the current ownership.   
   Please specify the share of the firm owned by the investment professionals.
2. Please specify what licenses to carry out its investment business the company holds, as well as any changes to such licenses the last 24 months.
3. Have there ever been any regulatory or legal actions, proceedings or investigations against the Company, any affiliate of the Company or employee of the firm? If yes, please detail.
4. Please list total firm-wide assets by asset class, divided by equity/fixed income and mutual fund/segregated accounts, in USD.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Firmwide Assets USD M | | | | | | |
| Asset Class | Hedge Funds | Mutual Funds | Segregated Account (institutional) | Segregated Account (private) | Other | Total (USD) |
| Equity |  |  |  |  |  |  |
| Fixed Income |  |  |  |  |  |  |
| Mixed/Balanced |  |  |  |  |  |  |
| PE/Venture |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |

1. Please list all equity portfolio managers in the firm, detailing strategies managed and total assets under management.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| List all equity portfolio managers and products | | | | |
| Portfolio Manager | Location (city) | Strategies managed | Num portf/mandates | Total AUM (USD) |
|  |  |  |  |  |

Please indicate who would have direct responsibility for our portfolio.

**Strategy Information**

1. Please provide a brief description (max 300 words) of the product’s investment universe, underlying investment philosophy, competitive edge and organisation of research efforts. Please attach your standard marketing presentation.
2. Please describe who makes investment decisions for the product.
3. If you have an investment committee, who are the members and what is the role of the committee?
4. Does the portfolio manager(s) and/or principals invest in the product?   
   Is the holding significant (as a share of the strategy, and as share of his/her total assets)?  
   Is there a requirement for investment professionals to invest in the strategy?
5. Please provide portfolio holdings in a separate Excel Spreadsheet “Portfolio Holdings Q13”, as of latest date available, half a year and one year prior to that date, in the following column order:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Date | Sedol or ISIN | Stock Name | # of shares | USD Value | % portfolio |

1. Please describe any regulatory, mandate, or internal limits that affect the portfolio construction of the above portfolio.
2. Please specify the total AUM (in USD) for the portfolio above and portfolios managed according to the same strategy. Please specify the benchmark used for this portfolio, if any.
3. Please detail the total AUM managed by the relevant portfolio manager(s), split by strategy:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| List all equity portfolio managers and products | | | | |
| Portfolio Manager | Strategy | Num port/mandts | Name of largest Portfolio | Total AUM (USD) |
|  |  |  |  |  |

1. Please provide the following information regarding your largest portfolios relevant for the mandate applied for:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Largest portfolios for strategy applied for | | | | | |
|  | **Largest** | **Second Largest** | **Third Largest** | Other relev. portf. | Total |
| Name of portfolio/product |  |  |  |  |  |
| Name of portfolio manager |  |  |  |  |  |
| Type (Mutual fund, Segregated) |  |  |  |  |  |
| Benchmark (if relevant) |  |  |  |  |  |
| Long/short, long only, other |  |  |  |  |  |
| Size of portfolio/product (USD) |  |  |  |  |  |
| Turnover (average last 3 years) |  |  |  |  |  |

1. Who do you consider your most competent peers for this mandate?
   1. Please list top 3 peers (PM and firm name) in large investment institutions
   2. Please list top 3 peers (PM and firm name) in small organisations (boutiques/hedge funds)

**Team Information**

1. Please provide an overview of all your investment professionals involved in the mandate applied for, including portfolio managers, analysts and traders, using the following table:

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Portfolio Managers, Analysts and Traders | | | | | | | | | |
| Name | Position | Location (city) | Region covered | Sector Covered | Focus (SC, EM etc) | Years in industry | Years in firm | Years position | Key for mandate (Y/N) |
|  |  |  |  |  |  |  |  |  |  |

1. Please detail all hires and departures of equity investment professionals during the last 24 months, using the following table:

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Hires and departures (please make separate table for each) | | | | | | | | | |
| Name | Position | Location (city) | Region covered | Sector Covered | Focus (SC, EM etc) | Years in industry | Years in firm | Years position | Previous / New employer |
|  |  |  |  |  |  |  |  |  |  |

1. What is the projected headcount growth within the team over the coming year?
2. Please explain how the Fund Manager(s) and his/her team are remunerated.   
   On what criteria are any bonus payments calculated?   
   What is the share of the bonus in total compensation?
3. Please provide a brief biography of the investment professionals with direct involvement for this product.