**Application Information**

1. Please provide details of your firm, including main contact person, address, e-mail, and phone number.
2. Please specify the mandate(s) you would propose (including country or region, market cap and/or sector focus).
3. Please specify date of your completion of this questionnaire.
4. Please confirm that a mandate will not involve any indirect or direct fee to agents or third parties.

**Firm Information**

1. Please fill in the following list of contacts:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Name | Phone | E-Mail | Address | Country |
| Main 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 list total firm-wide assets by asset class, divided by equity/fixed income and mutual fund/segregated accounts, in USD.

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

1. 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.
2. 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.
3. Please list all equity portfolio managers in the firm, detailing strategies managed and total assets under management.

|  |  |  |  |
| --- | --- | --- | --- |
| Portfolio Manager | Location (city) | Strategies managed | Total AUM (USD) |
|  |  |  |  |

Please indicate who would have direct responsibility for our portfolio.

**Strategy Information**

1. Please describe the investment universe of the product.
2. Please provide a brief description (max 300 words) of the product’s underlying investment philosophy, competitive edge and organisation of research efforts. Please attach your standard marketing presentation.
3. Please describe who makes investment decisions for the product.
4. If you have an investment committee, who are the members and what is the role of the committee?
5. Please provide the following information regarding your largest portfolios relevant for the mandate applied for:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Largest** | **Second Largest** | **Third Largest** | Other relevant 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. Does the portfolio manager(s) and/or principals invest in the product?   
   Is the holding significant (as a share of the fund, and as share of his/her total assets)?
2. Please provide portfolio holdings in a separate Excel Spreadsheet “Portfolio Holdings Q17”, 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 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.
2. Please describe any regulatory, mandate, or internal limits that affect the portfolio construction of the above portfolio.
3. Please detail the total AUM managed by the relevant portfolio manager(s), split by strategy:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Portfolio Manager | Strategy | Number of portfolios/mandates | Name of largest portfolio | Total AUM (USD) |
|  |  |  |  |  |

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 this product including portfolio managers, analysts and traders, using the following table:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | Location (city) | Position | Industries covered | Regions covered | Years industry | Years firm | Years position |

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

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | Location (city) | Position | Industries covered | Regions covered | Years industry | Years firm | Years position | Departure date |

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.