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**Medallion Partner Request for Proposal**

1. **Please answer this questionnaire to be considered for Medallion Partner status with the Scranton Area Foundation. You are welcome to attach responses on a separate document.**

 **2. For performance related questions, use June 30, 2016 as the end date**

 **3. Attach a copy of your most current ADV**

 **4. Return via email as a Microsoft Word document or PDF**

 **5. Information will be reviewed by the Scranton Area Foundation’s Investment Committee**

**Contact Information:**

**Organization name:**

**Address:**

**Primary Contact:**

**Phone:**

**Email:**

**Is your firm registered as an investment or management adviser with the SEC?**

**A. Organization**

**1. Describe your organization.**

**2. What are the total number of investment clients your organization serves and the total assets of those clients?**

**3. What are your custodial arrangements?**

**4. To what degree does your organization function as a fiduciary?**

**5. Has your organization or any employee ever been involved in litigation relating to investment activities, or have they otherwise been involved with the SEC or any other federal, state, or local regulatory agency for any violation of applicable law? If yes, please summarize and indicate the status of the proceedings.**

**6. Please disclose any conflicts of interests in serving as a Medallion Investment Advisor.**

**7. Please disclose Audit firm/frequency and any material weaknesses disclosed in prior three audits.**

**8. Do you use the Electra system to transmit data? If no, please provide the name of the electronic communication system your organization uses to transmit financial data.**

**9. Please list and provide a written explanation for any disclosure events associated with your name, organization, or franchise office.**

**B. Investment Policy Development/Asset Allocation/ Investment Advisory**

**1. Provide a brief summary of your firm’s investment philosophy.**

**C. Selection and Evaluation**

**1. Describe the methods for analyzing the performance of the clients’ investment managers.**

**2. Provide a sample of a Quarterly Performance Report and a Custodial Statement**

**D. Advisor Services**

**1. Provide a sample of your periodic reporting package.**

**E. Fees**

**1. How are your fees determined?**

**Additional Information**

**Limitation of Liability:**

*1. Issuance of proposal does not commit the Foundation to pay any costs incurred in its preparation and submission, nor does it imply an obligation to enter into a contractual Contract with the Vendor.*

**Confidentiality:**

*1. Any proprietary data contained in the Vendor’s proposal will be safeguarded with the same*

*degree of protection the Foundation exercises with our own proprietary data. All such*

*proprietary information contained in the proposal must be clearly identified.*

**Terms of the Proposal:**

*1. Vendor agrees that a proposal submitted will remain valid for a period of ninety (90) days*

*from the date received by the Foundation.*