



FERGUSON WELLMAN

CAPITAL MANAGEMENT

Sample Request for Investment Management Services Proposal

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I. Organization and Services:

- A. Please provide a summary of your firm. Include the location of you organization's headquarters, depth of professional and support staff, year formed, ownership structure and primary contact person for this relationship.**
- B. Has there been any ownership or structural changes of consequence in the last two years?**
- C. Please provide a list and description of the investment services offered by your firm.**
- D. Please breakdown the total assets and accounts currently under management by client type. Specify the average size of your firm's non-profit clients.**

Type of Account	Assets (\$ Millions)	# Accounts
Corporate		
Public		
Non-Profit/Foundation		
Other		
Total		

II. Service Provision:

- A. Describe your role as an investment manager. Indicate the specific services you will provide to the Foundation.**

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- B. Please provide information about the individuals that would be assigned long-term responsibility for the service of our account. This should include:
- title and role
 - tenure with the firm and in the industry
 - professional credentials
 - education background
 - dedicated staff

III. Investment Policy and Guidelines:

- A. Describe your investment process.
- B. Describe the process you will use to assist the Foundation in the development of its investment policy, spending policies, objectives and guidelines for our investments.
- C. How do you see the role of the Foundation's Executive Director or other executive officers and accounting staff or investment committee in this process?
- D. Outline your fiduciary responsibility in managing the Foundation's assets. How would you assist Foundation Board members in meeting their fiduciary responsibilities?
- E. What risk management strategies do you routinely employ for institutional accounts? Describe the background and experience of those involved in the decision making process for risk management.
- F. Comment on your process for analyzing a client's portfolio structure and for recommending modifications. Additionally, how active is your management approach towards this portfolio?
- G. What process would you use to recommend an asset allocation strategy? What data are used in your asset allocation model?
- H. Discuss the philosophy of diversifying assets according to different investment styles.

IV. Performance Measurement:

- A. Comment on your ability to provide performance measurement reports versus benchmarks and peer group. How frequently do you provide investment performance measurement reports? Please provide examples.
- B. What other types of exhibits would you include in a detailed analysis of performance

V. Cost Structure and Fees

- A. Please provide the compensation schedule you would require for the services proposed. Break out hard and/or soft dollar fees. Do you bill separately for spontaneous service requests, telephone conversations, etc?

VI. Communication and Education

1. What is your philosophy and practice regarding ongoing communication and reporting to the management and governance bodies of the foundation? How often are you willing to meet with clients? Please submit samples for all statements to be provided to the Foundation and describe any internet-based information or reporting capabilities you offer.
2. Describe any investment education and/or forecasting that your firm provides, if any.

VII. Additional Information

- A. Have you or any member of your team within the past five years been sued in a court of law for breach of fiduciary responsibility or for errors and omissions in the handling of client affairs? If so, please explain.
- B. State what you believe distinguishes your investment management services apart from your competitors.

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