Firm Information

ORGANIZATION

1.1   Please provide basic firm information.

     a.   Firm Name:

     _____

     b.   Address:

     _____

     c.   Business Entity Type:

     _____

     d.   Primary Market:

     _____

     e.   Primary Strategy/Product Types

     _____

     f.   Primary Contact Name and Information

     _____

1.2   Please provide a brief history of your firm including ownership structure and firm/organizational chart.

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1.3   Please respond to the following questions regarding diversity, equity and inclusion of your firm.

     a.   Ownership: What percentage of the firm's ownership identify as women, trans, and/or gender non-conforming? Black and Indigenous People of Color (BIPOC)?

     _____

     _____

b. Hiring & Staff Development: What hiring policies or practices does your firm have in place to attract, retain, and train women, trans, and/or gender non-conforming folks? BIPOC folks?

_____

_____

c. Vendors and Service Providers: Do you have a policy or practice that prioritizes using women, trans, gender non-conforming, and/or BIPOC-owned businesses as core vendors or service providers (e.g., brokerage firms, law firms, accountants, etc.)?

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1.4 What are your goals around the firm's ownership and leadership as they relate to social justice issues, such as racial, gender, and economic justice? What is your current progress towards those goals?

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1.5 Please list the names, titles and relevant licenses of the key professionals (i.e., analysts, portfolio managers, relationship managers, etc.) in the firm.

Name	Title	License(s)

1.6 What is the minimum asset level required for your firm to become or remain profitable? If you haven't yet reached profitability, when do you expect to?

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1.7 Please provide a brief description of your firm's plans for growth, such as total asset growth, personnel growth, succession planning, over the next three to five years.

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1.8 Describe any joint ventures or affiliations, including any ownership your firm or any entity under your control may hold in partnerships and/or other investment firms.

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COMPLIANCE & OPERATIONS

1.9 Is your firm currently registered with any regulatory agency, such as the SEC, CFTC, FINRA or any state agencies? If so, provide agency name, registration type, and registration number or other identifier.

Business Name *(include official and "Doing Business As" dba names)*	Regulatory Agency *(e.g., SEC, CFTC, FINRA, State of California, etc.)*	Registration Type *(e.g., registered investment advisor, etc.)*	Registration Number *(or other identifier)*

1.10 What is the size and extent of your operations team? Please note if it is in-house or out-sourced. If out-sourced, please provide names of your strategic partners and a brief description of their roles and responsibilities.

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1.11 Do you have an internal, dedicated compliance officer? Does your compliance officer serve other roles within the firm? If so, please describe.

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1.12 Has the firm adopted a formal compliance policy and/or a code of ethics for employees?

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1.13 Describe the firm's security environment. Specifically cover the physical, digital security, and policy measure safeguards that you have put in place to control access to portfolio reporting systems and client account information. Please include the approach to securing email and web communications and defending against cyber attacks.

     a. Has your firm had a data security breach in the last five years? If so, please describe the incident as well as the corrective actions.

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     b. Please describe your firm's disaster recovery and business continuity plans.

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1.14 Are you currently or have you been in the last 5 years fined or censured in one or more compliance requirements by the DOL, SEC, or any other regulatory agency? If yes, please explain thoroughly.

_____

_____

1.15 When was your last audit (please be specific by month and year) by the SEC, DOL or any regulatory agency? Has your firm been audited by the SEC, DOL, or any regulatory agency in the past 5 years? If so, what was the result?

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1.16 Provide a description of any material litigation involving the firm, any of its principals, or registered advisors during the last ten years, including the nature of the litigation, the parties, the court, case number, and the current status.

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SUPPLEMENTARY INFORMATION

1.17 Is there anything else that you would like to share with us regarding your firm that we have not asked?

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ADDITIONAL DOCUMENTS

1.18 Please list the products/strategies attached to this questionnaire.

    a. Product/Strategy A Name:

_____

    b. Product/Strategy B Name:

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    c. Product/Strategy C Name:

_____

    d. Product/Strategy D Name:

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1.19 Please attach the following documents for your firm *(where applicable)*

    a. Form ADV (or alternative regulatory filing)

    b. Proof of errors and omissions (E&O) insurance coverage

    c. Compliance Policy and/or Code of Ethics

    d. Personal Trading Policy *(including procedures for violations and details on any violations within the past months)*