

**SECTION III: INFORMATION TO BE PROVIDED**

**PART A: QUESTIONNAIRE**

**Fiduciary Experience**

11. What expertise does the Proposer(s) and proposing firm have regarding the [Global Standards of Fiduciary Excellence](#)? Are there any specific Criteria for which your firm is willing to take responsibility? Are there any specific Criteria for which your firm does not take responsibility?
12. Are any of the Proposer’s 401(k) clients CEFEX certified? If so, how many?
13. How would you suggest that **insert company name** measure and evaluate the potential performance of a proposer as a fiduciary investment manager under ERISA 3(38)?
14. Please provide a breakdown of the Proposer’s current client relationships for which it acts in a fiduciary capacity to include total number of plans, AUM, the number for which the firm acts in a discretionary fiduciary capacity, and the average length of those relationships.

Type of Fiduciary Client	# of plans	AUM	Discretionary	Years
ERISA DB plans				
ERISA DC plans				
ERISA DC plans, serving as a 402(a) “named fiduciary.”				
ERISA DC plans, serving as a 3(38) “investment manager”				

27. How many client relationships were terminated within the last three years?
  - (a) Why was the relationship terminated?
  - (b) What was the total value of those assets?