



NORTH CAROLINA
MASONIC
FOUNDATION

The North Carolina Masonic Foundation is a 501(c)3 non-profit charitable organization dedicated to the financial support of the Masonic Home for Children at Oxford; WhiteStone: A Masonic and Eastern Star Home in Greensboro; and various other Masonic bodies and programs. The NCMF seeks an investment advisor and invites your expression of interest. Please complete the form below and email it to NCMF President Mike Faulkenbury at mfaulkenbury@yahoo.com no later than 4 p.m. on Sept. 15, 2017.

For your reference and background, attached is our 2015 Form 990 and audited Common Funds statements form 2015 and 2016

FIRM PROFILE

1. Please provide a summary of your firm. Include the location of your firm's offices, the year formed, number of employees, and ownership structure. Provide the contact information for the investment advisors who will service our account. Additionally, provide a synopsis description, by client type, of the assets and number of clients that are under your advisement.
2. Describe your firm's core mission, vision and values.
3. Please provide an explanation of the structure of your firm. Provide biographies of key individuals in your firm who will have greatest contact with the Foundation.
4. Is your firm a registered investment advisor under the Investment Advisors Act of 1940? (If so, please provide latest Form ADV). Can your firm provide fiduciary services to its clients?
5. Within the past five years, has your organization or an officer or principal been involved with any business litigation or other legal proceedings relating to your consulting activities? Please provide details with respect to the current status or disposition?

INVESTMENT ADVISORY SERVICES

1. Please provide your firm's investment philosophy.
2. Explain your philosophy toward utilizing index funds / ETFs.
3. What is your process for assessing risk in any portfolio?
4. Please describe your current client base and identify the number of clients served.

5. Please describe in detail what you view as your company's competitive advantages.

6. Please provide a full list of the consulting services offered by your firm.

RESEARCH / DATABASE / MANAGER SEARCH

1. Provide a general description of your research department. If no separate department exists, describe how this function is performed.

2. Describe your investment manager database. Provide a detailed description of your firm's investment manager evaluation process. How many investment managers do you actively track?

3. Describe the process you will use to conduct manager searches for our organization.

4. Describe your monitoring process.

5. Describe the circumstances under which you would terminate an investment manager.

MEASUREMENT AND PERFORMANCE

1. Describe your firm's performance reporting and evaluation services.

2. Describe the performance measurement software your firm uses. Is this software proprietary, or does our firm utilize the software of an outside vendor? If your firm uses non-proprietary software, do you have the ability to influence changes to the software to meet the demands of the marketplace?

3. How soon after the quarter-end are your reports typically available?

4. Please provide a sample of a comprehensive client quarterly report.

CONFLICTS OF INTEREST

1. How does your firm identify and manage conflicts of interest?

2. Are there any potential conflicts of interest issues your firm would have in servicing the Foundation? If so, please describe them.

3. Are there any circumstances which your firm, or any individuals in your firm receives compensation, finder's fees or any other benefit from Investment managers or third parties? If yes, describe them.

MISCELLANEOUS

1. Describe how a new client would transition to your services.

2. Provide four client references that we may contact. Please include contact name, title, address, telephone, and email.

FEES AND FEE STRUCTURE

Please outline your fee structure and any changes that might be made over the next five years.

2921 Glenwood Avenue / Raleigh, North Carolina 27608 / 919.787.2021 / www.ncmf.org