**APPENDIX A**

**MINIMUM QUALIFICATION REQUIREMENTS AND CERTIFICATION**

Responder must satisfy each of the following minimum qualifications for this RFP, in order to be given further consideration by the Board of Trustees. Failure to satisfy each of the requirements will result in the immediate rejection of the proposal. Failure to provide complete information will result in the rejection of the proposal. Please answer “YES” or “NO” where indicated. If evidence is requested, please provide complete documentation.

1. The proposing firm must have a minimum firm-level asset-under-management of $1 billion as of 12/31/2019. Qualified Women, Minority, or Disabled Owned Businesses are exempt and will be evaluated for further consideration at SURS’ discretion. (Yes/No):\_\_\_\_\_\_\_\_\_\_
2. The responder must be willing to enter into a most favored nation clause certifying that the fees, costs, or pricing charged to SURS do not exceed the fees, costs, or pricing charged by the responder to any of its clients for the same or similar level of services. (Yes/No):\_\_\_\_\_\_\_\_\_\_
3. Proposing firm must be registered as an investment adviser under the Investment Advisers Act of 1940, be a “bank” as defined in the Investment Advisers Act of 1940, or be exempt from registration with the nature of the exemption provided. The firm will promptly advise SURS if it, at any time, is not so registered. The firm must submit its full Form ADV (Parts I and II). (Yes/No) :\_\_\_\_\_\_\_\_\_\_
4. Responder and its proposed team must have all authorizations, permits, licenses and certifications required by federal and state laws and regulations to perform the services specified in this RFP at the time responder submits a response to the RFP. Responder’s audited financial statements must be made available for review. (Yes/No):\_\_\_\_\_\_\_\_\_\_
5. Responder will comply with all legislation, applicable State fiduciary, ethics, and diversity laws, including any additional disclosure requirements. (Yes/No):\_\_\_\_\_\_\_\_\_\_

IF RESPONDER PROVIDED A “NO” RESPONSE TO ANY OF THE MINIMUM QUALIFICATION REQUIREMENTS ABOVE, RESPONDER SHOULD NOT SUBMIT A PROPOSAL TO SURS.

PLEASE CERTIFY THE RESPONDER’S SATISFACTION OF THE MINIMUM QUALIFICATIONS BY PROVIDING THE RESPONDER’S AUTHORIZED SIGNATURE BELOW.

Authorized Signer Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Responding Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_