

**Request for Proposal (RFP)  
RFP 074 25000000009**



**Request for Proposal  
RFP 074 25000000009**

**INVESTMENT MANAGEMENT SERVICES**

Questions and response submissions related to this RFP are to be addressed to:

Everette Johnson, Executive Director  
Alabama Crime Victims Compensation Commission  
Email: [everette.johnson@acvcc.alabama.gov](mailto:everette.johnson@acvcc.alabama.gov)

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**EMAIL ALL QUESTIONS AND PROPOSALS TO: [everette.johnson@acvcc.alabama.gov](mailto:everette.johnson@acvcc.alabama.gov)**

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**Proposals must be received no later than 4:00 p.m. CST on June 5, 2025  
It is required that each supplier clearly note the RFP number & Supplier Name in the  
subject line and email to: [everette.johnson@acvcc.alabama.gov](mailto:everette.johnson@acvcc.alabama.gov)**

**The proposal package must contain the following and be submitted electronically.**

1. The proposal must be signed by an official authorized to legally bind the supplier to the information provided.
2. The supplier must be currently registered with The Alabama Department of Finance, Division of Procurement as a State Vendor and provide vendor number.  
<http://www.purchasing.alabama.gov>

**Pursuant to Alabama Administrative Code 355-4-3.03(12), proposal openings are not  
open to the public**

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**Section 1.00 Administrative Overview**

**1.1 Purpose and Background**

**Purpose:**

The Alabama Crime Victims Compensation Commission (“ACVCC”) wishes to obtain investment management services for Alabama Crime Victims Compensation Fund portfolio for the period of October 1, 2025, through September 30, 2027, with the option of three (1) year renewal periods. Please consider this document as an invitation to submit a proposal concerning your firm’s investment management and consulting services. The Alabama Crime Victims Compensation Fund currently has approximately \$5,700,000 invested in a balanced portfolio as of December 31, 2024. Please present a proposal that includes services you would provide, and costs associated with these services.

This RFP is not an offer to contract but seeks the submission of proposals from qualified, professional respondents that may form the basis for negotiation of a contract or agreement. Specific terms and requirements in this RFP may be waived or modified by the ACVCC as it deems necessary and appropriate. The ACVCC has no liability for any costs incurred by a prospective provider for the preparation and production of a proposal or for any work performed prior to the issuance of a contract. The ACVCC reserves the right to reject any or all proposals and to solicit additional proposals if that is determined to be in the best interests of the State of Alabama.

**Background:**

ACVCC is a state of Alabama agency which was created by the Legislature to provide financial compensation to innocent victims of violent crime. ACVCC is funded by fines, fees, and restitution from Alabama’s criminal court systems. The Legislature has granted ACVCC the authority to invest a portion of these funds for the purpose of providing compensation benefits to victims of violent crime. Please see Appendix “C” for the current Investment Policy Statement.

**1.2 Anticipated Time Table**

May 27, 2025	Question Submission Deadline.
May 28, 2025	Question Responses Due.
June 5, 2025	Proposal Submission Deadline.

NOTE: All Questions must be emailed to Everette Johnson ([everette.johnson@acvcc.alabama.gov](mailto:everette.johnson@acvcc.alabama.gov)) by the deadline noted above. All Q & A will be posted in STAARS and ACVCC’s website <https://acvcc.alabama.gov/> on the designated date noted above.

June 19, 2025 (tentative date)	Commission hears supplier presentations (if necessary).
July 10, 2025	Commission selects supplier.

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**1.3 Proposal Evaluation**

The ACVCC will review the proposals and make a recommendation. The criteria listed below will be used to evaluate the proposals for the purpose of ranking them in relative position based on how fully each proposal meets the requirements of this RFP.

Evaluation Criteria:

Related experience in providing all requested services	25 Points
Investment management and technical abilities, performance and services	25 Points
Abilities and commitment to client services	15 Points
Cost Proposal	35 Points

**Minimum Qualifications:**

To be considered for selection, each supplier must provide Appendix B, as documented proof that the following minimum qualifications are met. The supplier has a continuing obligation to disclose information throughout the RFP process should any qualifications or situations change that might render the supplier as an unqualified candidate.

1. The supplier is duly registered with the Securities & Exchange Commission pursuant to the Investment Advisors Act of 1940, as amended, and the registration is current.
2. The supplier selected shall qualify with the Secretary of State to conduct business in the State of Alabama and must keep current.(To download the form for a "Certificate of Existence", access [www.sos.alabama.gov](http://www.sos.alabama.gov) Business Services | Business Forms | Certificate of Existence.)
3. The Senior Advisor assigned to the account has had direct experience performing the services described in this RFP for at least three (3) years and the supplier currently provides investment management services for Public Funds in excess of \$50 million as of December 31, 2024.
4. The supplier and its personnel have all authorizations, permits, licenses, and certifications as may be required under federal, state, or local law to perform the services specified in this RFP at the time it submits a response to the RFP.
5. The supplier will carry errors and omissions insurance or comparable instrument to cover all negligent acts or omissions.
6. The supplier maintains sufficient procedures and capabilities to ensure the timely and accurate backup and full recovery for all computers and other data storage systems related to the Alabama Crime Victims Compensation Fund.
7. The supplier has a company policy and practice of equal employment opportunity and non-discrimination based on race, creed, or gender.
8. The supplier will comply with *The Beason-Hammon Alabama Taxpayer and Citizen Protection Act*.

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**Best and Final Offers:**

The ACVCC may either accept a supplier's initial proposal by award of a contract or enter into discussions with suppliers whose proposals are deemed to be reasonably acceptable consideration for award. After discussions are concluded, a supplier may be allowed to submit a "Best and Final Offer" for consideration in a manner and method prescribed by the ACVCC. By submitting a proposal each supplier accepts and agrees to all conditions and requirements herein.

The ACVCC will make all decisions regarding evaluation of the proposal. The ACVCC reserves the right to judge and determine whether a request is compliant with and has satisfactorily met the requirements of the RFP. The ACVCC reserves the right to waive technical and other defects if, in its judgment, the interest of the ACVCC so requires. Any further information disclosed about the RFP during this process will be provided to all suppliers in a manner and method prescribed by the ACVCC.

**Rejection of Proposal:**

The ACVCC reserves the right to reject any or all proposals which are deemed to be non-responsive, late in submission, or unsatisfactory in any way. The ACVCC shall have no obligation to award a contract for work, goods and/or services as a result of this RFP.

**Qualified offerors aggrieved in connection with the solicitation of a contract may protest to the Chief Procurement Officer. See generally State of Alabama Department of Finance Administrative Code Regulations at**

**<https://finance.alabama.gov/media/rnii4ga1/administrative-code-355-4-1-01-thru-06.pdf>.**

**Confidentiality:**

All information contained in the RFP is considered to be the exclusive property of ACVCC. Recipients of this RFP are not to disclose any information contained within the RFP unless such information is publicly available. This RFP is provided for the sole purpose of allowing Suppliers to respond to these specifications.

**Selection Process:**

The RFP will be posted on the Alabama Department of Finance Comptroller's website at: [www.rfp.alabama.gov](http://www.rfp.alabama.gov).

STAARS	Vendor	Self	Service:
<a href="https://procurement.staars.alabama.gov/PRDVSS1X1/AltSelfService">https://procurement.staars.alabama.gov/PRDVSS1X1/AltSelfService</a>			

All proposals received before the deadline will be reviewed to ascertain that minimum requirements have been met. The ACVCC reserves the right to conduct discussions with potential suppliers to clarify information contained in their proposals, but the ACVCC has no obligation to do so. After review and evaluation of the proposals, the ACVCC may request a presentation of top finalists for final scoring. Finalists chosen for presentations, if necessary, will be notified. The presentations may be in person or virtual. The ACVCC will select the supplier it determines, in its sole discretion, to be fully qualified, best suited and most advantageous among those submitting proposals to meet the needs of the ACVCC in a cost-effective and service-based manner. The ACVCC reserves the right to request a best and final offer for fees.

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Unless provided by law, nothing in this RFP shall be construed to create any legal obligation on the part of ACVCC or any respondents. ACVCC reserves the right, in its sole discretion, to amend, suspend, terminate, or reissue the RFP in whole or in part, at any stage. In no event shall ACVCC be liable to respondents for any cost or damages incurred in connection with the RFP process, including, but not limited to, any and all costs of preparing a response to this RFP or any other costs incurred in reliance on this RFP. No respondent shall be entitled to repayment from ACVCC for any costs, expenses, or fees related to the RFP. All supporting documentation submitted in response to the RFP will become the property of the ACVCC. Respondents may also withdraw their interest in the RFP, in writing, at any point in time, as more information becomes known. If, within the confines of this RFP, the supplier provides intellectual property be it understood that all RFP contents are subject to Open Records Act laws and thus are subsequently in the public domain.

**Intent to Award**

The Division of Procurement will send out an intent to award to participating suppliers, defining the protest period. The CPO, Chief Procurement Officer, is the awarding authority and as such is a signatory on the agreement/contract.

**Disclaimer Notice:**

The ACVCC shall not be liable for any costs associated with the preparation of proposals or negotiations of a contract incurred by any party.

**Availability of Funds:**

It is expressly understood and agreed that the obligations of the ACVCC to proceed is conditioned upon the continued availability of funds that may be expended for these purposes.

**1.4 Conditions and Terms**

**Contract Terms:**

The ACVCC intends to execute an initial contract with supplier for a period of up to two (2) years, with up to three (3) one-year renewal options, pending written agreement of the supplier and ACVCC, dependent upon required state approvals and at the full discretion of the ACVCC. The contract will commence pending CPO signature, and Governor's signature on October 1, 2025. Each contract renewal will be presented to the CPO and Governor for signature.

The supplier shall be fully prepared to commence work after full execution of the contract by the parties and the receipt of required governmental approvals.

Proposals should reference each element in the RFP by number on the cover of each copy and be arranged in the same sequence. All fees and costs are to be stated in United States currency. Suppliers must reply to each element of the RFP.

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**Section 2.00 Scope**

**2.1 Scope of Work - Statutory Guidance**

All investment practices must meet prescribed legal guidelines. Section 15-23-16 of the Code of Alabama (1995) provides the following guidance for the investment of the Commission's funds:

**Alabama Crime Victims Compensation Fund; created; purposes; composition; administered or managed by commission.**

(a) There is hereby established a special fund to be known as the Alabama Crime Victims Compensation Fund.

(b) The fund shall be placed under the management or administration of the Alabama Crime Victims Compensation Commission for purposes of providing compensation or other benefits to crime victims and for purposes of implementing this article.

(c) The fund shall consist of all moneys collected or received by the Alabama Crime Victims Compensation Commission from any source.

(d) The commission shall have control of the funds not inconsistent with this article and with the laws of Alabama.

(e) All moneys of the commission shall be covered into the State Treasury or deposited in a special trust account and may be withdrawn therefrom by vouchers or check signed by the chair of the commission pursuant to authorization given by the commissioner. All investments of moneys in the fund shall be either deposited with the State Treasurer for safekeeping upon receipt of the State Treasurer therefor or deposited with the bank in a custodial account. The commission shall have authority to expend moneys in the fund in accordance with this article and to invest any moneys so received pending other needs therefor in any investments which are legal investments for insurance companies under the laws of the state.

(f) No member of the commission shall have any interest in the investments or receive any commission with respect thereto.

(g) It shall be the duty of the commission to keep detailed permanent records of all expenditures and disbursements from the fund.

(h) The commission is authorized to accept and use funds available to it from all sources, such as grants, appropriations, gifts, donations, and other sources for purposes of implementing this article.

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(l) The commission may not award any moneys for the six months immediately following passage of this article.

(j) The commission may not award or promise to award more moneys than are available in the fund.

(k) The commission shall not spend more than 25 percent of its funds for administrative costs.

**2.2 Scope of Supplier's Work and Responsibilities**

The ACVCC will consider the following factors and criteria in the selection process:

- The Fixed Income portion of the Fund is expected to exceed the average annual return of the Bloomberg A+ US Government/Credit Index over a full market cycle. The equity portion of the Fund is desired to exceed the annual performance of the S&P Composite 1500 Stock Index. Please provide trailing performance data, both in gross and net of fees, for your Fixed Income Composite and Equity Portfolio described in your proposal for the periods 1 year, 3 years, 5 years, and 10 years ending December 31, 2024.
- Please describe the investment style and discipline of your fixed income and equity portfolios.
- Please indicate the total number of clients and dollars for which your firm is currently providing investment management services. Please provide a list of Institutional clients, (i.e. State Agencies, public sector, and others) for whom you provide investment management services.
- The ACVCC requires monthly statements, monthly performance reports, and the Senior Portfolio Advisor to attend quarterly meetings and any called meetings.
- The supplier shall provide reporting, to include monthly valuation, monthly performance reports, and significant changes in corporate structure, and other data to the ACVCC.
- The supplier must be able to liquidate an amount certain (as determined by the Commission) that will be available to the Commission within twenty-four hours.
- The supplier must be available to answer questions in a timely fashion.



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**Section 3.00 General Requirements**

**3.1 Requirements of Proposal**

The supplier must provide the following mandatory information. **Failure to provide this information may be cause for the proposal to be rejected.**

**Part I**

**Signed Cover Letter:**

The cover letter shall serve as the first page of the supplier's proposal. The supplier shall complete the cover letter and include it with the proposal in response to the RFP. The cover letter must be signed by an official authorized to legally bind the supplier. It will state that the supplier is a legal entity that will meet the specifications. The cover letter must accompany the submitted proposal. The letter accompanying the proposal must include contact numbers and e-mail addresses for the authorized official signing the letters.

**Part II**

**Appendix B: Minimum Qualifications and Miscellaneous Information**

Supplier shall provide a completed Appendix B.

**Part III**

**Supplier Qualification and Experience:**

Supplier shall provide satisfactory evidence of the supplier's capability to provide the services described in the RFP. Special attention should be given to the discussion of qualifications. The discussion shall include a description of the supplier's background and relevant experience as related to the required activities in the RFP.

**Part IV**

Supplier shall provide a detailed plan describing how the services will be performed to meet the requirements of the RFP. The response must be prepared and organized in a clear and concise manner that is easily understandable.

**Executive Summary:**

An executive summary is required. This summary will condense and highlight the contents of the supplier's proposal.

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**Part V**

**Cost Proposal:**

The supplier shall be entitled to deduct compensation (fees) in arrears quarterly from the Alabama Crime Victims Compensation Fund. Fees shall be payable based upon the fair market value on the last business day of each quarter. The proposal must state the supplier fees charged for this service assuming an initial \$5.7 million diversified portfolio.

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**Section 4.00 General Terms and Conditions**

**4.1 Governance**

This RFP and its terms shall be governed and construed according to the laws of the State of Alabama. Any dispute arising out of this RFP shall be brought in the State of Alabama, with venue in Montgomery County, Alabama. Suppliers agree to comply with all applicable federal and state laws and regulations.

Per the current FPPM: Non-appropriation and Proration (Section 41-4-144(c)).

<https://comptroller.alabama.gov/fiscal-policy-procedures/>

When funds are not appropriated or otherwise made available to support continuation of performance in a subsequent fiscal period, the contract shall be cancelled, and, to the extent permissible by law, the supplier shall be reimbursed for the reasonable value of any non-recurring costs incurred but not amortized in the price of the supplies or services delivered under the contract. To the extent permissible by law, this cost of cancellation may be paid from any appropriations available for that purpose.

In the event that proration of appropriated funds from which the State is to pay the supplier is declared by the Governor pursuant to Section 41-4-90 of the Code of Alabama, the contractor shall have the option, in addition to the other remedies of the contract, of renegotiating the contract to extend or change payment terms or amounts, or terminating the contract. In all circumstances, it is agreed that the terms and commitments of this contract shall not constitute a debt of the State of Alabama in violation of Section 213 of the Constitution of Alabama, as amended.”

**4.2 Immigration**

The proposal must contain a statement that the supplier is aware of and in compliance with the requirements of the Beason-Hammon Alabama Taxpayer and Citizen Protection Act and a statement that the supplier is enrolled in the E-Verify as required by Section 31-13-9 (b), Code of Alabama 1975, as amended:

**BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT**

**COMPLIANCE**

**The Beason-Hammon Alabama Taxpayer and Citizen Protection Act (31-13-1 et seq, Code of Alabama, 1975 as amended by Act 2012-491) regulates illegal immigration in the State of Alabama. All contracts with the State or political subdivision thereof must fully comply with each provision as provided by law.**

A proposal must include a statement that the supplier has knowledge of this law and is in compliance. Before a contract is signed, the supplier awarded the contract must submit a Certificate of Compliance using the form at Appendix A. E-Verify enrollment can be accomplished at the website of the United States Department of Homeland Security at <http://www.uscis.gov>.

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**4.3 Compliance with Act 2023-409, (§41-16-163, Code of Alabama, 1975)**

The supplier attests that it does not and will not engage in economic boycotts based on environmental, social, or ideological criteria during the term of this contract. In compliance with this Act, the contract between the supplier and ACVCC will include the following language:

*"By submitting a bid, the supplier certifies compliance with Alabama Act No. 2023-409. The supplier further verifies that, in accordance with applicable law and regulations, the business does not currently engage in, and will not engage in, an economic boycott during the term of the contract, as defined by the Act."*

**4.4 Conflict of Interest**

The supplier attests that no employee, officer, or agent of the supplier shall participate in the selection, award, or administration of a contract if a real or apparent conflict of interest may be involved. A conflict would arise when the employee, officer, agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein has a financial or other interest in the organization selected for an award. The officers, employees, and agents of the supplier, if selected as the career planning system supplier, shall neither award nor offer gratuities, favors, nor anything of monetary value from suppliers or subcontractors.

**4.5 Compliance with Act 2016-312, §1. (§41-16-5, Code of Alabama, 1975)**

In compliance with this Act, the contract between the supplier and ACVCC will include the following language:

*"The contractor hereby certifies that it is not currently engaged in and will not engage in the boycott of a person or entity based in or doing business with a jurisdiction with Which this state can enjoy open trade."*

**4.6 Discrimination**

**Alabama Non-Discrimination Statement:**

No person shall be denied employment, be excluded from participation in, be denied the benefits of, or be subjected to discrimination in any program or activity on the basis of disability, gender, race, religion, national origin, color, age, genetic information, or any other category protected under the law. Ref: Sec. 1983, Civil Rights Act, 42 U.S.C.; Title VI and VII, Civil Rights Act of 1964; Rehabilitation Act of 1973, Sec. 504; Age Discrimination in Employment Act; the Americans with Disabilities Act of 1990 and the Americans with Disabilities Act Amendments Act of 2008; Equal Pay Act of 1963; Title IX of the Education Amendment of 1972; Title II of the Genetic Information Nondiscrimination Act of 2008. Title IX Coordinator, P.O. Box 302101, Montgomery, Alabama 36130-2101 or call (334) 694-4717.

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**APPENDIX "A"**

State of \_\_\_\_\_)  
County of \_\_\_\_\_)

**CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND  
CITIZEN PROTECTION ACT (ACT 2011-535, as amended by ACT 2012-491)**

DATE: \_\_\_\_\_

RE Contract/Grant/Incentive (describe by number or subject):

\_\_\_\_\_ by and between  
\_\_\_\_\_ (Contractor/Grantee) and  
\_\_\_\_\_ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of \_\_\_\_\_ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by ACT 2012-491) which is described herein as "the Act."
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

**BUSINESS ENTITY.** Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit.

a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, and foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.

b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

**EMPLOYER.** Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

\_\_\_ (a) The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

\_\_\_ (b) The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, the Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;

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4. The Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

\_\_\_\_\_  
Name of Contractor/Grantee/Recipient

By: \_\_\_\_\_

Its \_\_\_\_\_

The above Certification was signed in my presence by the person whose name appears above,  
on  
this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

WITNESS: \_\_\_\_\_

\_\_\_\_\_  
Printed Name of Witness

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**APPENDIX "B"**

**MINIMUM QUALIFICATIONS and MISCELLANEOUS INFORMATION**

1. Information Regarding Company:

Name:

Address:

Phone Number:

Fax Number:

2. My Company is duly registered with the Securities & Exchange Commission pursuant to the Investment Advisors Act of 1940, as amended, and the registration is current.

Yes              No

3. My Company is fully licensed and registered with the Alabama Securities Commission.

Yes              No

4. My Company is qualified with the Secretary of State to conduct business in the State of Alabama.

Yes              No

5. The portfolio manager assigned to the Commission's account has managed fixed income portfolios and equities for at least three (3) years, as of December 31, 2024.

Yes              No

6. My Company has managed fixed income portfolios and equities for at least three (3) years, as of December 31, 2024.

Yes              No

7. My Company manages at least \$50,000,000 in fixed income portfolios and equities as of December 31, 2024.

Yes              No

8. My Company and its personnel have all authorizations, permits, licenses, and certifications as may be required under federal, state or local law to perform the services specified in this Request for Proposal (RFP) at the time it submits a response to the RFP.

Yes              No

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9. My Company will carry errors and omissions insurance or comparable instrument to cover negligent acts or omissions.

Yes                  No

10. My Company complies with all applicable AIMR performance presentation standards.

Yes                  No

11. My Company maintains sufficient procedures and capabilities to ensure the timely and accurate backup and full recovery for all computers and other data storage systems related to the Commission's account.

Yes                  No

12. My Company has a company policy and practice of equal employment opportunity and non-discrimination based on race, creed, or gender.

Yes                  No

13. Primary Contact Concerning the Proposal:

Name:

Address:

Phone Number:

Email:



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Appendix "C"

## Investment Policy Statement

### For ALABAMA CRIME VICTIMS'

#### Included Accounts

Following accounts are included from this Investment Profile document:

Name: ALABAMA CRIME VICTIMS'  
Number:  
Objective: Balanced  
Type: Institutional - Agent  
Service Type: Discretionary IM

#### Account Asset Allocation

##### ALABAMA CRIME VICTIMS'

ASSET CLASS	PERCENTAGE	RANGE
Cash and Equivalents	0%	0-10%
Equity	50%	40-60%
Fixed Income	50%	40-60%
<b>Total Assets</b>	<b>100%</b>	

#### Risk Profile: Moderate

Risk involves the chance that an investment's actual return will differ from the expected return and uncertainty about the future benefits to be realized from an investment. All investments involve risks including possible loss of principal.

Investing should be viewed as a trade-off between risk and reward; the greater the risk you are willing to take, the higher the return you have the opportunity to make. Please note that there is no guarantee that this potential return will be achieved. The opposite is also true; the less risk you take, the less reward you will usually receive. Your outlook for risk in effect tells us how willing and able you are to take the risk that you could lose money, on the understanding that taking that risk is often the only way that you can have the opportunity to make a better return than can be achieved with bank deposits.

Asset allocation may be one of the most important decisions an investor will make, as it can determine both the return and risk characteristics for an investment portfolio. The portfolio's allocation amongst equities, fixed income, alternative investments and cash can drive long-term financial success. The goal of our asset allocation process is to establish a strategic asset mix

that maximizes the probability of the portfolio reaching its long-term investment objectives. The intent of your asset allocation is to capture the maximum amount of return within your appropriate risk tolerance.

#### Moderate

Investor is willing to take a moderate amount of price fluctuation; goal is balancing growth and income.

#### Investment Profile

Based on our discussion, below is what we captured as your investment profile.

Liquidity: 0%-10%

#### Additional Comments

See Client IPS attached to document.

#### Preferences and Restrictions

No data to display.