



**MATCH-E-BE-NASH-SHE-WISH BAND OF POTTAWATOMI INDIANS**  
**Independent Institutional Investment Advisor**  
**Request for Proposals**  
**June 15, 2018**

**I. INTRODUCTION**

The Match-E-Be-Nash-She-Wish Band of Pottawatomi Indians, also referred to as the Gun Lake Tribe, received Federal recognition on August 23, 1999. The Tribe's Constitution was adopted in 2000 and continues to guide the Tribal Government. The seven-member, popularly-elected Tribal Council has authority over all affairs of the Tribe and its subsidiaries. The Tribal Council, through the Tribal Treasurer, is responsible for administering and monitoring the fiscal matters of the Gun Lake Tribe. The Finance Committee is a standing committee of the Tribal Council, established pursuant to section 4(a)(3) of the Tribal Constitution and is chaired by the Tribal Treasurer. The Finance Committee is responsible for, among other things, the establishment of investment policies, the monitoring of investment performance and ensuring compliance with policy.

**II. MISSION STATEMENT**

We, the members of Match-E-Be-Nash-She-Wish Band of Pottawatomi Indians of Michigan, will maintain our elders' vision, integrity, spirituality, culture and economic self-sufficiency by protecting our sovereignty, treaty rights, traditions, land and natural resources for our future generations.

**III. PURPOSE**

The Gun Lake Tribe is seeking an independent advisor(s) with demonstrated institutional investment consulting experience to assist the Finance Committee in evaluating our current investment condition, identifying long-term financial objectives, and developing a strategy to achieve our financial goals. The selected advisor(s) will be responsible for implementation and ongoing management of a comprehensive and coordinated investment program.

**IV. AUDIENCE**

The advisor(s) will directly support the fiduciary and managerial responsibilities of the Finance Committee. Secondary audiences may include Tribal Council, Tribal Staff Members, and Citizens, when appropriate.

**V. SCOPE OF WORK**

- A. Educate the Tribe on fiduciary responsibilities and institutional best practices for investment governance.
- B. Assist the Finance Committee with the development of bylaws and improving the existing charter.
- C. Facilitate discussion around goals and objectives for the different invested funds of the Tribe, including long-term, short-term and employee benefit funds.
- D. Evaluate the Tribe's current portfolios, outlining among other things the expected return and risk profiles for each portfolio combination and identifying areas of concern based on current portfolio positioning, market expectations, manager concerns, *etc.*

- E. Assist in shaping an investment plan for each fund including strategic asset allocation for expected returns and risk tolerance.
- F. Create a holistic investment outlook for all Tribal investment portfolios to assist in budgeting, project prioritization, and goal setting.
- G. Create an expense analysis detailing all of the Gun Lake Tribe’s investment related fees currently being paid; create a fee benchmarking analysis to evaluate the reasonableness of fees for all Gun Lake Tribal investments going forward.
- H. Work with the Finance Committee to draft comprehensive Investment Policy Statements (IPS) for all funds. Such policy statements should reflect relevant funds investment objectives, investment guidelines, clearly define roles and responsibilities for all fund fiduciaries, cash requirements, funding requirements, procedures for selecting money managers, securities guidelines, and procedures for monitoring money managers.
- I. Implement approved changes based on the aforementioned analysis of all portfolios.
- J. Oversee the ongoing management of all assets and ensure continued compliance with both the guidelines defined within the approved IPS and fiduciary best practices.
- K. Provide recurring comprehensive portfolio performance evaluation, update the Finance Committee and Tribal Council on total performance at least a quarterly, and provide an annual open meeting for discussion of the portfolios in the context of expressed tribal priorities and existing and forecast market conditions.

**VI. TIMELINE FOR SELECTION/IMPLEMENTATION**

<b>Step/Services</b>	<b>Deadline</b>
Review the submitted proposals (Finance Committee)	<b>07.09.18</b>
Onsite or phone interview with proposed Financial Advisors	<b>07.23.18</b>
Selection of service contractor	<b>08.31.18</b>

**VII. REQUEST FOR PROPOSAL DOCUMENTS**

The primary contact for this project is Robert Savaglio, Chief Financial Officer, and all questions during the proposal period can be emailed to [Robert.Savaglio@glt-nsn.gov](mailto:Robert.Savaglio@glt-nsn.gov) . Applicants will also be subject to completing a Nondisclosure Agreement (NDA) for any requested information that is sensitive in nature.

**VIII. TERMS OF CONTRACT**

- A. Proposals will be accepted from non-Indian and Indian-owned enterprises or organizations. The Gun Lake Tribe will provide preference to all qualified Indians and Indian-owned economic enterprises or organizations in accordance with applicable Tribal law.
- B. Any bidder seeking Indian Preference must provide evidence that it is not less than fifty-one (51) percent Indian-owned and controlled. If you are seeking Indian Preference, please contact the Chairperson Amanda Sprague of the Indian Preference Committee at (269) 397-1630 to receive a pre-qualification packet.
- C. The Gun Lake Tribe reserves the right to accept or reject any responses, to waive any irregularity and/or informality in any response, and to request and receive additional information from any contractor when such acceptance, rejection, waiver, or request is in the best interest of the Tribe.
- D. The Gun Lake Tribe reserves the right, despite the application of Indian Preference as noted above, to select the contractor with the proposal that the Tribe believes provides the greatest benefit in light of the estimated cost for contract services.
- E. The Gun Lake Tribe reserves the right to decline to select any contractor for this project.

- F. The contract will not create an employment relationship. The individual(s) performing work under the contract will not be employees of the Finance Department or the Gun Lake Tribe.
- G. The costs of travel, if required, will not be reimbursed separately from the fee to be awarded the contractor.

**IX. RANKING CRITERIA**

Award of the contract resulting from this RFP will be based upon the most responsive and responsible company whose offer will be the most advantageous to the Tribe in terms of cost, functionality, and other factors.

**RFP REQUIREMENTS**

All proposals must include the following information:

- X. Letter of Interest: not to exceed 20 pages including supplemental information. Supplemental Information is defined as a brief history of advisor's company, summary of qualifications (including résumés), project experience, description of the proposed methodology, proposed schedule for scope of work (see Section V), and a proposed budget.
- XI. Pricing: Please submit an itemized quotation of the fees to provide the services requested.
- XII. Legal: identify any ongoing legal proceedings or pending legal proceedings, *i.e.*, arbitration, complaint, or court action filed against the contractor(s) company or any individual related to the work of the contractor(s) company for any project.
- XIII. Proposal Due Date: **June 29, 2018, by 5:00 p.m. by email** to [Robert.Savaglio@glt-nsn.gov](mailto:Robert.Savaglio@glt-nsn.gov) . Any proposals received after the specified date/time will not be accepted.

**XIV. FIRM INFORMATION**

- A. Firm name.
- B. Firm headquarters mailing address.
- C. Firm headquarters telephone number.
- D. Name of Primary Contact.
- E. Primary Contact's telephone number(s) and address(es).
- F. Primary Contact's fax number(s).
- G. Primary Contact's e-mail address(es).

**XV. FIRM CLASSIFICATION**

- A. Brief history of firm, including ownership, with an emphasis on any material developments in the past three (3) years. Please include prior names and the length of time your organization has been in business under its present name and ownership.
- B. Name of regulatory body overseeing the firm and the dates of registration, as appropriate.
- C. Firm's fidelity bond and fiduciary liability insurance policies, including coverage amounts.

**XVI. CLIENT SERVICE**

- A. Interested firms must indicate the scope of services that will be provided for this relationship. Respondents must include a description of how client servicing/communication responsibilities

are divided between portfolio managers and client service/marketing personnel and how often advisor meets with clients to review the portfolio.

- B. Interested firms must describe the client-reporting process, including how frequently reports are made available.

**VIII. COMPLIANCE**

- A. Interested firms must describe the compliance assessment process, including the time period covered, testing methods, and frequency.
- B. Is your firm or any affiliate the focus of any pending or ongoing litigation, formal investigation, or administrative proceedings related to money management activities? If yes, please describe.

**IX. GOVERNANCE**

- A. Provide a summary of your firm's internal control structure.
- B. Describe any potential conflicts of interest your firm may have in the management of this account. If there are conflicts, please describe how they are addressed.

**X. PERSONNEL**

Provide a list of all key personnel involved in the management of this relationship. For each individual, please include biographies.

**XI. CLIENTS**

Provide a representative list of tribal clients including at least five tribal client references. For each reference, please include the client's name and the length of the relationship as well as the client's e-mail address and phone number.

**XII. INVESTMENT PHILOSOPHY AND PROCESS**

Briefly describe your firm's investment philosophy. How has it changed over time?

**XIII. PORTFOLIO RISK**

Describe how your firm controls portfolio investment risk.

**XIV. RESEARCH**

Provide an overview of your research process and provide any aspects that are unique to your firm.

**XV. FEES**

List your fee schedule below. Please include any performance-based fees, the basis for those fees, and any other fees that may be applicable to the management of this relationship.

**XVI. QUALIFICATIONS**

- A. Does your firm hold any special Certifications? Please provide copies.
- B. Does your firm provide client specific training? If so, explain content and process.

**QUALIFICATION STATEMENT FOR INDEPENDENT INVESTMENT ADVISORY SERVICES**

General Information	
Date	
Firm Name	
Address	
City	
<b><u>Contact Person 1</u></b>	
Name	
Title	
Telephone	
Email Address	
<b><u>Contact Person 2</u></b>	
Name	
Title	
Telephone	
Email Address	
<b>Type of Organization</b>	
<input type="checkbox"/> Sole Proprietorship (individual)	<input type="checkbox"/> Partnership
<input type="checkbox"/> Professional Corporation	<input type="checkbox"/> Corporation
<input type="checkbox"/> Joint Venture	<input type="checkbox"/> Other _____
<input type="checkbox"/> Native - Owned	
Qualification Statement	
<p>On a separate sheet, in a 100 words or less statement, please describe what makes your firm uniquely qualified to perform services outlined in this RFP including any superior qualities.</p>	
<p><b>THIS PAGE MUST BE RETURNED WITH THE RFP</b></p>	