

APPENDIX E: SAMPLE COMPLIANCE QUESTIONNAIRE

For the period ended [date]:

Have you made material changes to your compliance policies or procedures?

☐ YES ☐ NO

Comment:

Has there been any new material litigation or change in status of existing litigation?

☐ YES ☐ NO

Comment:

Have you experienced losses of key personnel or made additions of key personnel? Please describe individuals involved and areas of responsibility.

☐ YES ☐ NO

Comment:

Have there been changes in the organizational structure or ownership of your company? If so, please describe the changes.

☐ YES ☐ NO

Comment:

Have you automated key compliance processes? Please describe.

☐ YES ☐ NO

Comment:

Have you replaced key systems and/or vendors that relate to or support the investment and/or compliance process? Please describe.

☐ YES ☐ NO

Comment:

Have there been regulatory inquiries or examinations? Please explain.

☐ YES ☐ NO

Comment:

Have you made changes to your ADV filing? If so, please describe the changes.

☐ YES ☐ NO

Comment:

Have there been issues that have had a significant impact on your financials during the past quarter? If so, please describe and provide updated financial statements.

☐ YES ☐ NO

Comment:

Are there any new activities by your firm or by any vendors to your firm that relate to the services being provided to the fund? Please describe.

☐ YES ☐ NO

Comment:

Have there been any new products launched by your firm that could impact the way in which you allocate or aggregate trades or investment opportunities?

☐ YES ☐ NO

Comment:

Have there been any material compliance matters that require reporting to [Principal Adviser]? If so, please provide an explanation and back-up.

☐ YES ☐ NO

Comment:

Has any bonding company paid out, denied, or revoked a bond on you? Have you filed for reimbursement under your errors and omissions policy? If so, please explain.

☐ YES ☐ NO

Comment:

Are you entering into any new commission sharing arrangements? If so, please provide documents describing them.

☐ YES ☐ NO

Comment: