

PERIODIC TABLE

of GLOBAL FIDUCIARY PRACTICES

for INVESTMENT STEWARDS

PRACTICE

1.1

The Investment Steward demonstrates an awareness of fiduciary duties and responsibilities.

PRACTICE

1.2

Investments and investment services under the oversight of the Investment Steward are consistent with applicable governing documents.

PRACTICE

1.4

The Investment Steward identifies conflicts of interest and addresses conflicts in a manner consistent with the duty of loyalty.

PRACTICE

1.6

Portfolio assets are protected from theft and embezzlement.

PRACTICE

4.1

Periodic reports are used to compare investment performance against appropriate index, peer group, and investment policy statement objectives.

PRACTICE

4.2

Periodic reviews are made of qualitative and/or organizational changes of Investment Advisors, Investment Managers, and other service providers.

PRACTICE

4.4

Periodic reviews are conducted to ensure that investment-related fees, compensation, and expenses are fair and reasonable for the services provided.

PRACTICE

1.3

The roles and responsibilities of all involved parties (fiduciaries and non-fiduciaries) are defined and documented.

PRACTICE

1.5

The Investment Steward requires agreements with service providers to be in writing and consistent with fiduciary standards of care.

PRACTICE

2.1

An investment time horizon has been identified for each investment portfolio.

PRACTICE

2.3

An expected return to meet each investment objective for the portfolio has been identified.

PRACTICE

2.5

Selected asset classes are consistent with implementation and monitoring constraints.

PRACTICE

2.7

The investment policy statement contains sufficient detail to define, implement, and monitor the portfolio's investment strategy.

PRACTICE

2.1

An appropriate risk level has been identified for the portfolio.

PRACTICE

2.3

Selected asset classes are consistent with the portfolio's time horizon and risk and return objectives.

PRACTICE

2.5

The investment policy statement contains sufficient detail to define, implement, and monitor the portfolio's investment strategy.

PRACTICE

2.7

When socially responsible investment strategies are elected, the strategies are structured appropriately.

PRACTICE

3.1

A reasonable due diligence process is followed to select each service provider in a manner consistent with obligations of care.

PRACTICE

3.2

Decisions regarding investment strategies and types of investments are documented and made in accordance with fiduciary obligations of care.

PRACTICE

3.3

When statutory or regulatory investment safe harbors are elected, each investment strategy is implemented in compliance with the applicable provisions.

