## General Information:

| | |
|---|---|
| Firm Name (two word max.): | |
| Web Address (Ex.: www.abc.com): | |
| Headquarters (Ex.: City, ST): | |
| Phone (Ex.: 3125275500): | |
| Contact Name: | |
| Contact Email: | |
| Year Founded: | |
| Years in Transition Management Business: | |
| Registered Investment Advisor? | |
| E&O Ins. Policy Limit in Mil: | |
| Type of Transition Manager: | |
| SEC, NASD or other Regulatory Body sanction, discipline, or legal proceedings in the last five years? | |
| Does your firm have any business or trading relationship with any hedge funds? | |
| Will your firm act as a fiduciary for transition events as defined by ERISA? | |

## Trading Platforms/Networks:

Please list all trading platforms / networks your firm has direct access to when performing a transition:

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**Data Sheet Completed By:**

**Email Address:**

**Notes:**

## Transitions by Asset Class:

| | # of Events | | | Assets Transitioned (roundtrip US $) | | |
|---|---|---|---|---|---|---|
| | 2006 | 2007 | 2008 | 2006 | 2007 | 2008 |
| US Fixed Income | | | | | | |
| US Large-Cap | | | | | | |
| US Mid-Cap | | | | | | |
| US Small-Cap | | | | | | |
| International Equity | | | | | | |

## 2006 Transitions by Asset Class:

(US $)

| | Average Transition | Median Transition | Largest Transition | Smallest Transition |
|---|---|---|---|---|
| US Fixed Income | | | | |
| US Large-Cap | | | | |
| US Mid-Cap | | | | |
| US Small-Cap | | | | |
| International Equity | | | | |

## Liquidity Sources:

**List the top 3 liquidity sources your firm uses for the following asset classes, along with the percentage of usage over the last calendar year for the following asset classes.**

| | Source 1 | Percentage | Source 2 | Percentage | Source 3 | Percentage |
|---|---|---|---|---|---|---|
| US Fixed Income | | | | | | |
| US Large-Cap | | | | | | |
| US Mid-Cap | | | | | | |
| US Small-Cap | | | | | | |
| International Equity | | | | | | |

## Pre-Trade Estimate vs. Post-Trade

| | Standard Deviation in bps | Mean Difference in bps |
|---|---|---|
| All Transitions | | |
| Fixed Income → Fixed Income | | |
| Large-Cap → Large-Cap | | |
| Mid-Cap → Mid-Cap | | |
| Small-Cap → Small-Cap | | |
| International Equity → International Equity | | |
| Fixed Income → Large-Cap | | |
| Fixed Income → Mid-Cap | | |
| Fixed Income → Small-Cap | | |
| Fixed Income → International Equity | | |
| Large-Cap → Mid-Cap | | |
| Large-Cap → Small-Cap | | |
| Large-Cap → International Equity | | |
| Mid-Cap → Small-Cap | | |
| Mid-Cap → International Equity | | |
| Small-Cap → International Equity | | |

Pre-Trade Estimate vs. Post-Trade: **"Standard Deviation in bps"** - The mean standard deviation of pre-trade implementation shortfall estimates for transition events matching the asset class descriptions; **"Mean Difference in bps"** - The ***difference*** between the mean of pre-trade implementation shortfall estimate and the post-trade implementation shortfall matching the asset class descriptions