



## **FIDUCIARY SHIELD™**

**\$15,000\***

SP&H has created a highly structured and thorough fiduciary oversight process called *Fiduciary Shield™*. We designed this service for investment stewards such as Officers, Directors, Trustees, and high net worth individuals. Our process is guided by our philosophy of *Better Valuations Through Research™*.

*Fiduciary Shield™* follows four basic steps, each of which we consider essential to achieving a disciplined, diversified methodology necessary to implement a prudent fiduciary process that reaches the highest standards of care.

### **Step 1 - Organize**

We determine if your investments are being managed in accordance with applicable laws, trust documents, and written Investment Policy Statements. We further ascertain that fiduciaries are not involved in self-dealing, that assets are within the jurisdiction of the courts, and that service agreements and contracts are in writing and do not contain provisions that conflict with fiduciary standards of care. All roles and responsibilities of all involved parties are defined, documented, and acknowledged.

### **Step 2 - Formalize**

Next, we identify your time horizon, risk level, and expected modeled returns to evaluate whether the selected asset classes are consistent with your objectives, implementation, and monitoring constraints.

### **Step 3 - Implement**

After formalizing your objectives, we help you create your process for implementing your investment strategy in compliance with the required level of prudence, by ensuring that applicable “Safe Harbor” provisions are followed, that investment vehicles are appropriate for the size of the *corpus*, and that a due diligence process is followed in selecting service providers.

### **Step 4 - Monitor**

We create a process for periodic reports that compare investment performance against appropriate benchmarks and Investment Policy Statements and for periodic reviews of qualitative and organizational changes of investment decision makers. We make sure there is a process to periodically review the organization’s effectiveness in meeting its fiduciary responsibilities.

\* For entities with up to \$30M in assets/corpus.

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