



## Confidential Survey: Mutual Fund Chief Compliance Officer (CCO) Compensation

Management Practice Inc. each year prepares the Annual Survey of Mutual Fund CCO Compensation and Organizational Practices. We appreciate your participation this year. We guarantee confidentiality of all data, and as consideration for your participation we will provide you with a summary of results of the survey.

If you wish you may omit your name. Please submit your questionnaire by mail or email (see below), and include an email address where you would like the results delivered.

**More information can be found at [www.mpiweb.com](http://www.mpiweb.com)**

<b>CCO Name (optional)</b>		<b>Fund Complex</b>	
<b>Date Completed:</b>		<b>For Calendar Year Ended:</b>	
<b>Metrics of Job</b>		<b>Structure of Job</b>	
Aggregate mutual fund assets overseen (\$b)	\$	Full or Part Time (F/PT)	
Other (non mutual fund) assets overseen (\$b)	\$	1099 or Salaried (1099/Sal)	
# of Trusts/Complexes		Who do you report to, other than the board? (If applicable -CEO, GC, etc.)	
# of Funds/Portfolios		% of Compensation Paid by Fund(s)	%
<b>Additional Duties</b>		<b>Components of Compensation</b>	
CCO for Advisor (Y/N)		Base Compensation	\$
% of Time Spent on Funds/Advisor	% / %	Bonus	\$
Legal Support (Y/N)		Restricted Stock (approx.annual value)	\$
Risk Management Support (Y/N)		Stock Options (approx.annual value)	\$
Internal Audit Support (Y/N)		Retirement Comp: employer contribution	\$
Global Responsibilities (Y/N)		Total Comp. (incl. anything missing above)	\$
Board Support Beyond CCO Duties (Y/N)		Defined Benefit Pension (Y/N)	
Time Spent as add'l Board Support	%	Deferred Compensation (Y/N)	
<b>Scope of Job</b>		Perqs. for Equiv. Pay Grade (Y/N)	
Ann. Compliance Budget (excl. CCO comp.)	\$	Retirement Health Benefits (Y/N)	
% of Budget paid by Funds vs. Mgmt.	% / %	Current Health Benefits (Y/N)	
# of Direct Staff		Vacation for Equiv. Pay Grade (Y/N)	
# of Indirect Staff		<b>Basis of Bonus</b>	
# of Subadvisors Overseen		Fund Performance (Y/N)	
# of Auditors Overseen		Company Performance (Y/N)	
# of Pricing Services Overseen		CCO Workplan (Y/N)	
# of Other Svc. Providers Overseen		Board Discretion (Y/N)	
<b>Methods to Establish CCO Comp.</b>		Management Discretion (Y/N)	
Corporate Grade Comparability (Y/N)		<b>Other relevant info./comments, including other positions held, if any:</b>	
External Benchmark (Y/N)			
Compensation Consultant (Y/N)			
<b>Personal Background</b>		<b>Your Email Address:</b>	
Age		<b>Your Mailing Address:</b>	
CPA (Y/N)			
Lawyer (Y/N)			
Securities Lic. (NASD 6,7 etc.)			

(revised 4/22)



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Other Qualifications (MBA/CFA/CFP)	
SEC/Other Regulatory Experience?	