



The Forum for Sustainable and Responsible Investment

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## Sustainable, Responsible and Impact Mutual Fund and ETF Chart

**Fund Profile:**

### Walden SMID Cap Innovations Fund

#### General Fund Information

**Ticker:** WASMX

**Assets under management (AUM):** \$52.11M (in US\$ millions)

**General Fund Type:** Equity Mid-Small Cap

**Specific Sizes or Types of Investments:** --

**Financial Objective:** The Walden SMID Cap Innovations Fund seeks long-term capital growth through an actively managed portfolio of equity stocks of smaller capitalization companies.

**Specific ESG Focus:** --

**To invest, call:** Lindsey Abbey, Consultant Relations & Marketing Coordinator at 617-726-7257

#### Fund Institution Information

**Institution Name:**

Walden Asset Management

**Contact info:**

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Boston, MA 02108

United States

Phone: 6177267257

Email: [llane@bostontrust.com](mailto:llane@bostontrust.com)

Web: <http://www.waldenassetmgmt.com>

#### Account Minimums

**Minimum Account:** \$100,000

**Minimum IRA:** --

#### Methodology

**Screening Venue:** In-house

**Screening Party:** --

**Screening Database Used:** --

**Screening Process:** <http://www.waldenassetmgmt.com/Investing-for-Change/esg-research>

## Proxy Voting Information

Proxy Voting Guidelines or Policies: [Open external link in new window](#)

Proxy Voting Records: [Open external link in new window](#)

## Specific Screening Information by Category

### Environment

- **Climate / Clean Technology:** *Positive Investment* - Walden Asset Management shares our clients'™ deep concern regarding climate change. To achieve the global emissions reduction required to avoid catastrophic climate change, we believe that priority number one is to develop, enact, and enforce strong public policies that place a price on carbon. Since U.S. and global economic growth remain inextricably linked to fossil fuel use during the transition to a more carbon-constrained environment, the Walden mutual funds pursue a multi-pronged approach that integrates climate change risk in investment decision-making, corporate engagement, and public policy advocacy. Walden favors investment in companies with products and processes promoting energy efficiency and natural resource conservation; strong and transparent greenhouse gas reduction policies, goals, programs, and results; and supportive and consistent public policy positions. More proactively, Walden looks for opportunities to invest in companies with innovative, solutions-oriented technologies such as energy and fuel efficiency, carbon sequestration or renewable energy development. Walden's™ investment approach results in portfolios with favorable carbon footprints relative to those of comparable benchmarks.
- **Pollution / Toxics:** *Positive Investment* - Proactively seeks companies with innovative products, services or processes with respect to investment themes such as energy solutions, resource efficiency and waste reduction.
- **Other Environmental:** *Positive Investment* - Proactively seeks companies with innovative products, services or processes with respect to investment themes such as energy solutions, resource efficiency and waste reduction.

### Social

- **Community Development:** *Positive Investment* - Proactively seeks companies that address the unique demands of specific markets, communities and geographic areas in underserved markets.
- **Diversity & Equal Employment Opportunity:** *Positive Investment* - Proactively seeks companies with superior workplace practices such as comprehensive benefits and work-life programs.
- **Human Rights:** *Restricted/Exclusionary Investment* - Avoid companies believed to have significant complicity in serious violations of human rights.
- **Labor Relations:** *Positive Investment* - Proactively seeks companies with superior workplace practices such as comprehensive benefits and work-life programs.

### Governance

#### Products

- **Alcohol:** *Restricted/Exclusionary Investment* - Avoid companies that derive significant revenues from the manufacture of alcoholic beverages.
- **Animal Welfare:** *Combination of Positive and Restricted/Exclusionary Strategies* - Avoid companies with significant substandard performances on animal testing (inadequate policies on humane treatment, minimizing use, support of alternative testing).
- **Defense/Weapons:** *Restricted/Exclusionary Investment* - Avoid companies that derive significant revenues from the manufacture of weapons.
- **Gambling:** *Restricted/Exclusionary Investment* - Avoid companies that derive significant revenues from gaming activities.
- **Tobacco:** *Restricted/Exclusionary Investment* - Avoid companies that derive significant revenues from the manufacture of tobacco products.

### Other

- **Shareholder Engagement - Shareholder Resolutions:** Filed or co-filed with companies on environmental, social or governance issues

- **Shareholder Engagement - Private Dialogue:** Conducted with companies on environmental, social or governance issues

## Performance Data

**Data provided by:** Bloomberg - Information current as of June 30, 2020

**Year-to-date rate of return:** -11.33%

**1-year rate of return:** -5.85%

**3-year rate of return:** 4.84%

**5-year rate of return:** 6.83%

**10-year rate of return:** --

**Previous year rate of return:** 26.12%

**Management fee:** 0.75%

**Expense ratio:** 1%

**Standard deviation:** 24.64%

**Benchmark used:** Russell 2500

**Disclaimer:** Equity securities (stocks) are generally more volatile and carry more risk than fixed income securities (bonds) and money market investments. The net asset value per share of this Fund will fluctuate as the value of the securities in the portfolio changes. Common stocks, and funds investing in common stocks, generally provide greater returns over long time periods than fixed income securities. Foreign investing involves risks not typically associated with U.S. investments, including adverse political, social and economic developments and differing auditing and legal standards. Smaller capitalization stocks typically carry additional risk, since smaller companies generally have a higher risk of failure, and historically have experienced a greater degree of volatility. Please see the Fund's prospectus for additional information.

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