Sustainable, Responsible and Impact Mutual Fund and ETF Chart

Fund Profile:

Appleseed Fund Institutional

General Fund Information

Ticker: APPIX

Assets under management (AUM): $150.76M (in US$ millions)

General Fund Type: International, Global, Foreign

Specific Sizes or Types of Investments: --

Financial Objective: Outperform the MSCI World Index

Specific ESG Focus: The Appleseed Fund excludes companies that derive material revenues from tobacco products, alcoholic beverages, gambling, weapon systems, pornography or 'Too-Big-to-Fail' Banking. At Appleseed, we examine a company's Environmental, Social, and Governance (ESG) factors when we evaluate an investment, when we communicate with management, and when we vote on shareholder initiatives.

To invest, call: 312-896-9660

Fund Institution Information

Institution Name:
Appleseed Capital

Mutual Funds Description: Appleseed Capital is an independent wealth and investment management firm that focuses on outstanding research and disciplined impact investing strategies. Appleseed Capital strategies employ a go-anywhere value approach that integrates environmental, social and corporate governance (ESG) criteria to identify high quality investments which are also undervalued.

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Account Minimums

Minimum Account: 100000

Minimum IRA: 100000
Methodology

Screening Venue: In-house and outside

Screening Party: Appleseed Fund portfolio managers and analysts

Screening Database Used: RiskMetrics Group and TrustSimon

Screening Process: We apply both negative and positive ESG screens to potential investments. We apply negative screens to avoid investment in companies with material (> 5%) revenues in tobacco products, alcoholic beverages, gambling, weapons, and pornography. We then apply positive screens measuring company performance related to the environment, human rights, and human health. In addition, we allocate at least 1% of portfolio investments to community investing. When applying our ESG screens, we rely on external research (MSCI) and on our own analysts. We apply our ESG screens at the same time we apply our valuation screens. Only companies that meet both our ESG and valuation criteria qualify for inclusion in the Appleseed Fund.

Proxy Voting Information

Proxy Voting Guidelines or Policies: Call 800-470-1029

Proxy Voting Records: Call 800-470-1029

Specific Screening Information by Category

Environment

- Climate / Clean Technology: Combination of Positive and Restricted/Exclusionary Strategies
- Pollution / Toxics: Combination of Positive and Restricted/Exclusionary Strategies
- Other Environmental: Combination of Positive and Restricted/Exclusionary Strategies

Social

- Community Development: Positive Investment
- Human Rights: Positive Investment
- Labor Relations: Positive Investment
- Conflict Risk: No Investment

Governance

- Board Issues: Combination of Positive and Restricted/Exclusionary Strategies
- Executive Pay: Combination of Positive and Restricted/Exclusionary Strategies

Products

- Alcohol: No Investment - Excludes companies with more than 5% of revenues derived from alcohol.
- Animal Welfare: Combination of Positive and Restricted/Exclusionary Strategies
- Defense/Weapons: Restricted/Exclusionary Investment - Excludes companies with more than 5% of revenues derived from weapon systems.
- Gambling: No Investment - Excludes companies with more than 5% of revenues derived from gambling.
- Tobacco: No Investment - Excludes companies with more than 5% of revenues derived from tobacco.

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 January 31, 2020

Year-to-date rate of return: -4.17%

1-year rate of return: 5.4%
3-year rate of return: 6.78%
5-year rate of return: 4.8%
10-year rate of return: --
Previous year rate of return: 15.85%

Management fee: 0.85%
Expense ratio: 1.06%
Standard deviation: 15.17%
Benchmark used: MSCI World

Disclaimer: --