Sustainable, Responsible and Impact Mutual Fund and ETF Chart

Fund Profile:
Trillium Small/Mid Cap Mutual Fund

General Fund Information

Ticker: TSMDX

Assets under management (AUM): $14.84M (in US$ millions)

General Fund Type: Equity Mid-Small Cap

Specific Sizes or Types of Investments: U.S. Small / Mid Capitalization Equity

Financial Objective: Invests in small and mid cap stocks that are well-diversified across economic sectors and meet Trillium’s sustainability criteria.

Specific ESG Focus: Trillium’s ESG research is primarily focused on selecting companies that are meeting positive thresholds of performance for ESG issues, such as strong workplace practices, a demonstrated record of producing safe products for consumers, protecting the environment, fair compensation for employees and executives, and respecting and upholding human rights.

To invest, call: 800-853-1311

Fund Institution Information

Institution Name:
Portfolio 21

Mutual Funds Description: Portfolio 21 Investments has been a pioneer in the field of social and environmental investing since 1982. Our concerns about the ecological crisis began three decades ago, and we continue to critically examine our assumptions and approach every day. We designed Portfolio 21 Investments to address the ecological risks and opportunities of the investment process in the 21st century. We recognize environmental sustainability as a fundamental human challenge and a tremendous business opportunity.

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Account Minimums

Minimum Account: Trillium’s Small / Mid Cap Fund (TSMDX) is available as an institutional share class and has minimum investment of $100,000. Advisors have the ability to aggregate accounts to meet the minimum.

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Methodology

Screening Venue: In-house and outside

Screening Party: --

Screening Database Used: --

Screening Process: Fundamental equity analysts, who divide coverage by sector, are responsible for providing in-depth analysis of companies and generating new buy ideas consistent with the strategy’s high quality approach, including a rigorous integrated review of financial and Environmental, Social and Governance (ESG) factors. The Investment Management Committee, comprised of portfolio managers and analysts, meets periodically to review and approve recommendations to the buy-list recommended by the analysts.

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: 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

- Diversity & Equal Employment Opportunity: Combination of Positive and Restricted/Exclusionary Strategies
- Human Rights: Combination of Positive and Restricted/Exclusionary Strategies
- Labor Relations: Combination of Positive and Restricted/Exclusionary Strategies
- Conflict Risk: Combination of Positive and Restricted/Exclusionary Strategies

Governance

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

Products

- Alcohol: No Screens
- Animal Welfare: Combination of Positive and Restricted/Exclusionary Strategies
- Defense/Weapons: Combination of Positive and Restricted/Exclusionary Strategies
- Gambling: Combination of Positive and Restricted/Exclusionary Strategies
- Tobacco: No Investment

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 March 31, 2020

Year-to-date rate of return: -28.79%

1-year rate of return: -21.88%

3-year rate of return: -3.38%

5-year rate of return: --

10-year rate of return: --

Previous year rate of return: 25.06%

Management fee: 0.75%

Expense ratio: 1%

Standard deviation: 26.94%

Benchmark used: S&P 1000 | External link

Disclaimer: Trillium’s Small / Mid Cap Fund may invest in foreign securities, which are subject to the risks of currency fluctuations, political and economic instability and differences in accounting methods. Investing in foreign securities is riskier than investing in domestic securities. The Fund invests in smaller and medium companies, which involve additional risks such as limited liquidity and greater volatility. Trillium’s Small / Mid Cap Fund environmental policy could cause it to make or avoid investments that could result in the portfolio underperforming similar funds that do not have an environmental policy. There are no assurances that the fund will achieve its objective and/or strategy. Short term performance, in particular, is not a good indication of the fund’s future performance, and an investment should not be made based solely on returns. Diversification does not assure a profit or protect against a loss in a declining market. Trillium’s Small / Mid Cap Fund is distributed by Quasar Distributors, LLC. Trillium Asset Management is the advisor to the Funds.