Sustainable, Responsible and Impact Mutual Fund and ETF Chart

Fund Profile:
Kennedy Capital ESG SMID Cap Fund

General Fund Information
Ticker: KESGX
Assets under management (AUM): $1.36M (in US$ millions)
General Fund Type: Equity Mid-Small Cap
Specific Sizes or Types of Investments: Equities
Financial Objective: The Fund investment objective is capital appreciation.
Specific ESG Focus: ESG variables are considered on both an inclusionary and exclusionary basis. Portfolios are actively managed using a bottom-up investment approach and best of breed data for ESG assessment not reliant upon third party scoring. Portfolios position focused on ESG variables that are measurable and comparable. Directly interact with company management to gain better understanding of ESG-related advantages. Portfolio exposure across the investment spectrum, from deep value to aggressive growth.

To invest, call: (833) 737-7788

Fund Institution Information

Institution Name:
Kennedy Capital Management, Inc.

Mutual Funds Description: Kennedy Capital Management is a boutique investment firm that has focused on a goal of generating superior returns in the small and mid-cap domestic equity markets for our clients for 40 years.

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Account Minimums
Minimum Account: $50,000 initial; $100 automatic investment
Minimum IRA: $2,500 initial; $100 automatic investment

Methodology
Screening Venue: In-house

Screening Party: --

Screening Database Used: ISS, MSCI Carbon Metrics

Screening Process: KCM utilizes a fundamental, bottom-up research process that relies on internal resources to generate buy candidates, monitor existing positions, and support sell discipline. The firm employs a large team of research analysts that 1) seek to become experts in their given industries, and 2) are charged with identifying the most attractive equities within each sector. ESG research is closely integrated with traditional fundamental analysis. In addition, the firm has developed screening tools that complement the research process. These screens are based on broad set of corporate performance metrics and focus on traditional fundamentals and ESG criteria. For each security under consideration in the portfolio, the portfolio manager assesses corporate performance, competitive positioning, systematic effects on the business, and the intrinsic value of the business. This process is independent, time-consuming, and labor-intensive. The portfolio manager and research analysts work in close collaboration on idea generation and throughout the investment process.

Proxy Voting Information

Proxy Voting Guidelines or Policies: We have the capability to execute a proactive voting policy based on ESG or sustainability issues. This policy relies on the portfolio manager to review every proxy and to vote in alignment with the desired approach on ESG/sustainability-related items.

Proxy Voting Records: --

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
- 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: Restricted/Exclusionary Investment

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: No Screens
- Defense/Weapons: No Screens
- Gambling: No Screens
- Tobacco: Restricted/Exclusionary Investment

Other

- 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: -1.84%

1-year rate of return: --

3-year rate of return: --

5-year rate of return: --

10-year rate of return: --

Previous year rate of return: --

Management fee: 0.75%

Expense ratio: 0.82%

Standard deviation: --

Benchmark used: Russell 2500 | External link

Disclaimer: The performance data quoted represents past performance and is no guarantee of future results. Investment return and principal value of an investment will fluctuate so that an investor's shares, when redeemed, may be worth more or less than their original cost. Current performance may be lower or higher than the performance data quoted. For the most recent month-end performance, please call (833) 737-7788. The Fund has been in existence for less than one year; cumulative performance may not be indicative of the Fund's long-term potential. The Fund returns will fluctuate over long and short-term period. Periods over one year are annualized. *Expense ratio as of most recent prospectus is 1.36% (gross) / 0.82% (net). Net expense ratio reflects the contractual agreement to waive fees and/or pay operating expenses until June 30, 2020. Net expense ratio ensures total annual fund operating expenses do not exceed 0.82% (exclusions exist) until June 30, 2020. Investors should consider the Fund's investment objectives, risks, charges and expenses carefully before investing. This and other important information is contained in the fund's full prospectus and summary prospectus, which can be obtained by calling (833) 737-7788. Please read carefully before investing.

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