



The Forum for Sustainable and Responsible Investment

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Sustainable, Responsible and Impact Mutual Fund and ETF Chart

Fund Profile:

Gabelli ESG Fund Inc AAA

General Fund Information

Ticker: ESGGX

Assets under management (AUM): \$35.48M (in US\$ millions)

General Fund Type: All Cap

Specific Sizes or Types of Investments: \$1000 regular; \$250 retirement

Financial Objective: Capital Appreciation

Specific ESG Focus: --

To invest, call: 800-422-3554

Fund Institution Information

Institution Name:

Gabelli Funds

Mutual Funds Description: The Gabelli SRI Fund (SRIGX) is an open-end mutual fund focusing on companies around the world that meet the Fund's socially responsible investment guidelines involving social as well as environmental criteria. These screens include fossil fuels, alcohol, gambling, tobacco, defense, and abortion.

Contact info:

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Account Minimums

Minimum Account: \$1,000

Minimum IRA: \$250

Methodology

Screening Venue: In-house and outside

Screening Party: Internal Team

Screening Database Used: MSCI ESG Research

Screening Process: Our social screening process has been developed and refined over the past twenty years. We utilize both our internal research of 30+ analysts who are broken up by industry and follow their companies around the world as well as an external service from MSCI ESG Research, which allows us real time access, via the web, to their database on relevant ESG issues.

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* - The Fund does not invest in publicly traded fossil fuel companies.

Social

Governance

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

Products

- **Alcohol:** *Restricted/Exclusionary Investment* - Excludes firms that generate more than 5% revenues from manufacturing alcoholic beverages.
- **Defense/Weapons:** *Restricted/Exclusionary Investment* - Excludes top 50 defense contractors.
- **Gambling:** *Restricted/Exclusionary Investment* - Excludes firms that generate more than 5% revenues from gambling services.
- **Tobacco:** *Restricted/Exclusionary Investment* - Excludes firms that generate more than 5% revenues from manufacturing tobacco products.

Other

Performance Data

Data provided by: Bloomberg - Information current as of January 31, 2020

Year-to-date rate of return: -9.12%

1-year rate of return: 2.33%

3-year rate of return: 1.69%

5-year rate of return: 2.86%

10-year rate of return: 6.87%

Previous year rate of return: 25.83%

Management fee: 1%

Expense ratio: 1.25%

Standard deviation: 21.03%

Benchmark used: S&P 500 Composite Total Return | [External link](#)

Disclaimer: Investors should carefully consider the investment objectives, risks, charges, and expenses of the Fund before investing. The prospectus contains more information about this and other matters and should be read carefully before investing. Please contact Gabelli & Company, the Distributor of the Fund, at 1-800-GABELLI (800-422-3554) for The Gabelli ESG Fund Inc. prospectus. The Fund's share price will fluctuate with the changes in the market value of the Fund's portfolio securities. Stocks are subject to market, economic, and business risks that cause their prices to fluctuate. When you sell shares they may be worth less than what you paid for them, consequently you can lose money by investing in the Fund.

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