



The Forum for Sustainable and Responsible Investment

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## Separate Account Managers in Sustainable and Responsible Investing

### Strategy Profile:

### Loring Ward Global Portfolio Series SRI Defensive

#### About This Strategy

**Assets Under Management (AUM):** \$1.87M (in US\$ millions)

**Required Minimum:** --

**Benchmark used:** Blend: S&P500, MSCI EAFE, BofA ML US Trsy/Agcs AAA 1-3Yr

**Strategy type:** Balanced Strategys

**Strategy description:** Loring Ward's™ Socially Responsible Investing (SRI) Global Portfolio Series is designed to meet the needs of investors looking for investments that serve their values and beliefs. The SRI portfolios invest in the DFA US Social Core Equity 2 fund, DFA International Social Core Equity fund, and the DFA Emerging Markets Social Core Equity fund. The social screens are validated through the use of MSGI ESG Research, formerly KLD Research and Analytics.

The DFA Funds are sponsored by Dimensional Fund Advisors and distributed by DFA Securities LLC. Consider the investment objectives, risks, charges and expenses of the DFA Funds carefully before investing. The prospectus and if available, summary prospectus, contain this and other information about the DFA Funds. To obtain a prospectus, summary prospectus, additional information about the DFA Funds, or performance data current to the most recent month-end, please call Dimensional Fund Advisors collect at 512-306-7400. Please read the prospectus and summary prospectus carefully before investing.

**Strategy web link:** [External Link](#)

#### About The Company

##### Institution Name:

LWI Financial Inc. (Loring Ward)

**Approach to Sustainable & Responsible Investment:** LWI Financial Inc. (Loring Ward) is an investment adviser registered with the Securities and Exchange Commission. Securities transactions are offered through its affiliate, Loring Ward Securities Inc., member FINRA/SIPC. IRN B 13-064 (Exp 6/15)

**Total AUM in SRI:** \$5.2M (in US\$ millions)

**Research conducted:** Externally

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#### Specific Screening Information by Category

##### Environment

##### Social

- **Human Rights:** *Restricted/Exclusionary Investment* - Exclude companies that directly participate in abortions. Exclude companies that manufacture pharmaceuticals, abortive agents, or contraceptives.
- **Labor Relations:** *Restricted/Exclusionary Investment* - Exclude companies that have had major recent controversies relating to child labor infractions in the U.S. or abroad.
- **Conflict Risk:** *Restricted/Exclusionary Investment* - Exclude companies that are engaged in certain for profit business activities in or with the Republic of the Sudan.

##### Governance

##### Products

- **Alcohol:** *Restricted/Exclusionary Investment* - Exclude companies that earn at least 15% of their total business revenue through the production and/or sale of tobacco or alcohol products.
- **Defense/Weapons:** *Restricted/Exclusionary Investment* - Exclude companies that earn at least 20% of their total business revenue through the productions and/or sale of military weapons and/or weapons of mass destruction.
- **Gambling:** *Restricted/Exclusionary Investment* - Exclude companies that earn at least 20% of their total business revenue from gambling activities.

##### Other

- **Other/Qualitative:** *Exclude companies that earn at least 15% of their total business revenue from publishing or selling pornographic materials. Exclude companies that are for-profit health care providers.*