Separate Account Managers in Sustainable and Responsible Investing

Strategy Profile:
Loring Ward Global Portfolio Series SRI Capital Appreciation

About This Strategy
Assets Under Management (AUM): $3.48M (in US$ millions)
Required Minimum: --
Benchmark used: Blend: S&P500, MSCI EAFE, BofA ML US Trsy/Agcs AAA 1-3Yr
Strategy type: Balanced Strategies
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 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.

About The Company
Institution Name: LWI Financial Inc. (d/b/a Loring Ward)
Approach to Sustainable & Responsible Investment: LWI Financial Inc. (d/b/a 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 production 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.