Separate Account Managers in Sustainable and Responsible Investing

Strategy Profile:
1919 Investment Counsel SRI Core Balanced

About This Strategy

Assets Under Management (AUM): $526.7M (in US$ millions)

Required Minimum: 1 million

Benchmark used: 5% Citigroup 3-month T-bill index, 35% Barclays Intermediate Aggregate Bond Index, 60% S&P 500 Index

Strategy type: Balanced Strategies

Strategy description: The SRI Core Balanced strategy reflects the belief that there is a direct correlation between companies that demonstrate an acute awareness of their impact on the society within which they operate and companies that offer attractive long-term investment potential. Addressing social issues in a positive manner can translate into sound business. The strategy seeks a high total return through a socially responsive portfolio by identifying undervalued securities and then focusing on whether those issuers are conducting business in a socially responsive manner. The strategy is supported by 1919's proprietary research. Our equity analysts strive to identify companies with superior characteristics including solid long-term earnings growth, high sustainable profitability, quality management, sound capital structure, strong cash flows and reasonable valuation. The credit analysts utilize fundamental analysis and an assessment of relative value within the context of current market conditions, future movements in interest rates, changes in the shape of the yield curve, and changes in sector spreads are forecasted to derive portfolio strategy. The team of social research analysts conducts proprietary social research on domestic and international companies and issues.

Strategy web link: --

About The Company

Institution Name:
1919 Investment Counsel

Approach to Sustainable & Responsible Investment: 1919 Investment Counsel works with socially aware investors including individuals, businesses, schools, foundations, religious institutions, and other nonprofit organizations. With more than 35 years of experience, the firm partners with clients to create customized investment solutions. The firm's equity and fixed income strategies help clients achieve sustainable financial success in harmony with their values.

Total AUM in SRI: $1180.0M (in US$ millions)

Research conducted: Both internally and externally

Researcher name: Internal social research team

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Specific Screening Information by Category

Environment

- **Climate / Clean Technology**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Pollution / Toxics**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Other Environmental**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.

Social

- **Community Development**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Diversity & Equal Employment Opportunity**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Human Rights**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Labor Relations**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Conflict Risk**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.

Governance

- **Board Issues**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Executive Pay**: *Combination of Positive and Restricted/Exclusionary Strategies* - The selection and application of this criteria is based on a client's ethical investing goals.

Products

- **Alcohol**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Animal Welfare**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Defense/Weapons**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Gambling**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.
- **Tobacco**: *Restricted/Exclusionary Investment* - The selection and application of this criteria is based on a client's ethical investing goals.

Other

- **Other/Qualitative**: Other client-specific criteria available upon consultation.
- **Shareholder Engagement - Private Dialogue**: Conducted with companies on environmental, social or governance issues
- **Proxy Voting**: Actively voted by my institution for this investment strategy in support of environmental, social or governance issues in accordance with formal guidelines

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