Separate Account Managers in Sustainable and Responsible Investing

Walden Small Cap Equity

About This Strategy

Assets Under Management (AUM): $1854M (in US$ millions)

Required Minimum: $5 million

Benchmark used: Russell 2000

Strategy type: Equity Mid-Small Cap

Strategy description: The Walden Small Cap strategy is an actively managed, broadly diversified strategy investing in reasonably valued stocks of higher quality, small capitalization companies with sustainable business models. The strategy’s objectives are to generate competitive returns with less risk than the benchmark over full market cycles, and to provide diversified exposure to the U.S. small cap market.

Strategy web link: --

About The Company

Institution Name:
Walden Asset Management

Approach to Sustainable & Responsible Investment: Since 1975, Walden Asset Management has specialized in managing portfolios for institutional and individual clients with a dual investment mandate: competitive financial returns and positive social and environmental impact. Walden is an industry leader in integrating ESG analysis into investment decision-making and company engagement to strengthen ESG performance, transparency and accountability. Walden is a division of Boston Trust & Investment Management Company, a PRI signatory.

Total AUM in SRI: $2593M (in US$ millions)

Research conducted: Internally

Researcher name: Walden staff

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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

**Social**

• **Community Development**: Combination of Positive and Restricted/Exclusionary Strategies
• **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**: Combination of Positive and Restricted/Exclusionary Strategies

**Governance**

• **Board Issues**: Combination of Positive and Restricted/Exclusionary Strategies
• **Executive Pay**: Combination of Positive and Restricted/Exclusionary Strategies

**Products**

• **Alcohol**: Restricted/Exclusionary Investment
• **Animal Welfare**: Combination of Positive and Restricted/Exclusionary Strategies
• **Defense/Weapons**: Restricted/Exclusionary Investment
• **Gambling**: Restricted/Exclusionary Investment
• **Tobacco**: Restricted/Exclusionary Investment

**Other**

• **Shareholder Engagement - Shareholder Resolutions**: Filed or co-filed with companies on environmental, social or governance issues
• **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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