

Socially Responsible Investing Questionnaire

The purpose of this questionnaire is to identify the issues that matter to you so they can be factored into an investment strategy that is in alignment with your values. The following table lists a variety of ESG issue categories and potential policies held by companies. Please check the box to denote the importance of each issue to you and whether to include or exclude it in your portfolio.

Investor Name _____ Date _____

ENVIRONMENT			
Importance	Issue Category	✓ Include	Notes to Advisor
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Alternative Energies & Innovation: Involvement in alternative energy, sustainability or green technology		Example: I want to support wind energy.
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Avoids Detrimental Products & Hazardous Waste: Avoids products, processes or services that are damaging to the environment are not used		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Climate Change: Manages carbon footprint and usage of fossil fuels		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Fossil Fuel Free: Eliminates the use of fossil fuels		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Positive Environmental Policies & Disclosures: Proactive development and reporting of protective environmental policies		

SOCIAL			
Importance	Issue Category	✓ Include	Notes to Advisor
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Diversity & Inclusion: Organizes workforce and boards with inclusive gender and racial representation		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Employee Relations: Promotes fair and consistent relationships with employees and organized labor		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Protects and Respects Human Rights: Human rights policies and practices are endorsed and ties to repressive policies or regimes are avoided		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Sexual Orientation: Creates policies related to gender identity and sexual orientation		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Reproductive Rights: Creates policies related to family planning, contraceptives and women's health		

NOTES

Continued on reverse side

SOCIAL

Importance	Issue Category	✓ Exclude	Notes to Advisor
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Abortion Products & Services: Involved in contraceptives, abortifacients or abortion services		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Adult Entertainment: Produces or hosts pornographic or mature material, or is involved in sexually explicit performances		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Alcohol: Manufactures or distributes alcoholic beverages		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Animal Testing: Uses animals to test products		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Firearms: Manufactures non-military civilian firearms or ammunition		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Gambling: Owns or operates gaming operations		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Genetic Engineering: Involved in producing, using or distributing genetically modified organisms (GMOs)		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Military & Defense: Supplies militaries with weapons or non-weapon support		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Nuclear Power: Generates or sells electricity produced from nuclear power		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Stem Cell Research: Conducts stem cell research		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Tobacco: Processes, distributes or manufactures tobacco products		

GOVERNANCE

Importance	Issue Category	✓ Include	Notes to Advisor
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Board Composition: The attributes of the people who make up a company's board show diversity of talent		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Board Independence: Non-executive leaders control the board		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	Board Oversight & Structures: Follows ethical governance practices and assumes responsibility for following policies		
High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input type="checkbox"/>	CEO Compensation: Compensation structures appear appropriate		