

Socially Responsible Investing

Policy Questionnaire

For the issues below that matter to you, please select a priority (high, medium, low) to indicate how important each is to your investment decisions, and describe your position on the issue in the blank field provided. For example, if you indicate that Military issues are important to you, please indicate whether you favor companies with more or less involvement when compared to other companies. Also indicate any specific criteria you may have for excluding or highlighting companies. If you omit a category it will not be factored into how the company is rated.

Name: _____

Date: _____

| <i>Importance</i> | <i>Issue Category</i> | <i>Describe your position on this issue. Favor/Exclude companies if they...</i> |
|---|---|---|
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Alcohol Ratings evaluate whether a company has more or less involvement in the alcohol industry. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Adult Entertainment Ratings evaluate whether a company has more or less involvement in the adult entertainment industry. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Animal Testing Ratings evaluate whether or not a company uses animals in testing pharmaceutical and/or non-pharmaceutical products. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Bioethics Ratings evaluate if a company has more or less involvement in genetics and biotechnology research/product development. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Diversity Ratings evaluate whether a company has more or less women and minority board members. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Environmental Ratings evaluate whether a company has strong or weak environmental performance and trends. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Firearms Ratings evaluate whether a company has more or less involvement in firearms and ammunition manufacturing. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Gambling Ratings evaluate whether a company has more or less involvement in the gambling industry. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Human rights Ratings evaluate the human rights practices of a U.S.-based company's international operations. | |

SRI Continued...

| <i>Importance</i> | <i>Issue Category</i> | <i>Describe your position on this issue. Exclude/Favor companies if they...</i> |
|---|---|---|
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Labor relations Ratings evaluate whether a company has a better or worse relationship with organized labor and its strike record. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Life/Choice Ratings evaluate if a company has more or less involvement in contraceptives, abortifacients, or abortion services. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Military Ratings evaluate if a company has more or less involvement in weapons and non-weapons contracting with the U.S. DOD | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Nuclear power Ratings evaluate whether a company has more or less involvement in the nuclear power industry. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Recognition Ratings evaluate if a company has been recognized for encouraging diversity and creating a positive workplace. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Sexual orientation Ratings evaluate whether or not a company supports gay and lesbian employees in their employment practices. | |
| High Med Low <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | Tobacco Ratings evaluate whether a company has more or less involvement in the tobacco industry. | |
| Notes: | <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> | |