



# Investment Values Statement

Prepared for Amy Smith

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## Overview

I believe that my investments should be made in ways that align with my values.

This Investment Values Statement is intended to serve as guidance for the sustainable investing strategies, topics, and criteria that I value for my retirement investments.

I request that our investment advisor integrate these requirements to the greatest extent possible while helping me achieve my personal financial goals.

## Sustainable Investing Values

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After careful consideration I have identified and assessed my values related to the sustainability and environmental, social, and governance (ESG) issues of my investments.

The following sections of this Statement articulate the issues that I highly value action on. I would like to align my investments with these issues for the following topics:

- + Protecting Our Environment
- + Creating Positive Social Impacts
- + Strengthening Corporate Governance

## Protecting Our Environment

Companies can play an important role in fighting climate change, including through the development of technologies in alternative energy, energy efficiency, and green building.

### Fighting Climate Change

I highly value the following actions that help fight climate change and reduce air pollution:

- **Cleaner Energy:** Generating cleaner energy from renewables like solar and wind
- **Energy Efficiency:** Making our buildings and vehicles more efficient to reduce their energy usage

It is important for me to have the option to invest in funds and companies that are working to fight climate change.

It is also important for me to have the option to avoid investing in funds and companies that are part of the fossil fuel industry.



## Preferred Strategies

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To the extent possible, I am interested in utilizing the following strategies to help implement this statement and effectively integrate my aforementioned sustainable investing values:

- + Exclusionary Screening
- + ESG Integration
- + Shareholder Advocacy

## Exclusionary Screening

I want to avoid investments in funds and/or companies that are part of industries that do not align with my values.

Industries I would prefer not to invest in include the following:

- Adult entertainment
- Civilian firearms
- Military weapons
- Nuclear power
- Nuclear weapons
- Predatory lending

In addition, I would prefer not to invest in the following companies because they do not align with my values:

- Equifax
- DuPont



## Survey Data Summary

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The following data summarizes Amy Smith's responses to select portions of the Invested Values survey.

### Investor Profile

Amy currently has approximately \$825,000 saved and is investing approximately \$9,000 per month for retirement. Amy is planning to retire at age 65.



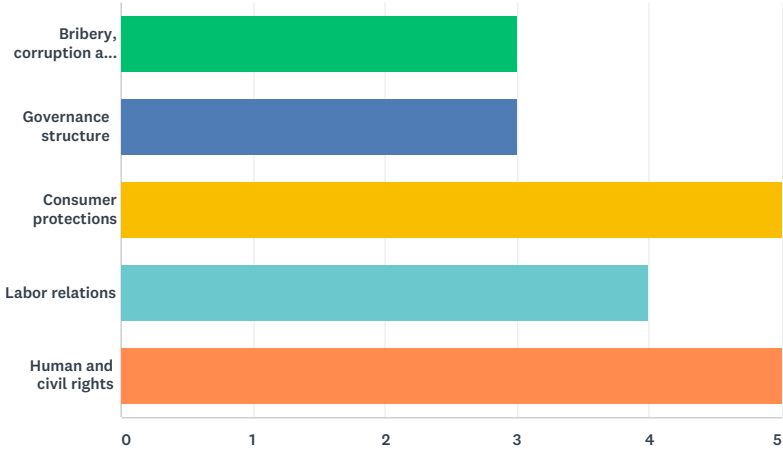
# Sustainability/ESG Topics

## Strengthening corporate governance value comparison chart

Investor Values Survey

Q17 How much do you value the following actions that strengthen corporate governance?

Answered: 1 Skipped: 0



	NOT VALUED	LESS VALUED	SOMEWHAT VALUED	VALUED	HIGHLY VALUED	TOTAL	WEIGHTED AVERAGE
Bribery, corruption and ethics	0.00% 0	0.00% 0	100.00% 1	0.00% 0	0.00% 0	1	3.00
Governance structure	0.00% 0	0.00% 0	100.00% 1	0.00% 0	0.00% 0	1	3.00
Consumer protections	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 1	1	5.00
Labor relations	0.00% 0	0.00% 0	0.00% 0	100.00% 1	0.00% 0	1	4.00
Human and civil rights	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 1	1	5.00

## Advisor Summary

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### Sustainability Topics & Issues

The following table summarizes Amy's values related to sustainability topics and issues and ESG criteria that should be integrated into investment decisions.

<b>Sustainability Topic</b>	<b>Client Value</b>
<b>Protecting Our Environment</b>	Yes
+ Cleaner Energy	X
+ Energy Efficiency	X
+ Providing Clean Water	X
+ Preventing Pollution	X
+ Managing Healthy Forests	
+ Sustainable Agriculture Practices	
<b>Creating Positive Social Impacts</b>	Yes
+ Promoting Human Well-Being	X
+ Empowering People	
+ Creating Safe & Fair Workplaces	X
+ Supporting Resilient Communities	X
<b>Strengthening Corporate Governance</b>	Yes
+ Ethical Business Practices	
+ Better Governance Structures	
+ Providing Consumer Protections	X
+ Improving Labor Relations	
+ Protecting Human & Civil Rights	X



# Advisor Summary

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## Investment Option Alignment

The following list summarizes the Amy's preferences for having investment options that align with their values related to sustainability.

- + Divestment from companies in the fossil fuel industry
- + Avoiding investments in Equifax
- + Avoiding investments in DuPont

## Values Prioritization

While Amy highly values action on all of the aforementioned topics and issues, to help prioritize these for purposes of aligning her investments with her values she most values **protecting our environment**.

Amy still prefers to address all of these sustainability topics and issues to the greatest extent possible in her investments.

## Advisor Summary

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### Investment Strategies

The following table summarizes the Amy's interests in using common investment strategies to implement her values related to sustainability topics and issues.

<b>Investment Strategy</b>	<b>Client Interest</b>
<b>Exclusionary Screening</b>	Yes
+ Avoiding Adult Entertainment	X
+ Avoiding Animal Testing	
+ Avoiding Civilian Firearms	X
+ Avoiding Gambling	
+ Avoiding Military Weapons	X
+ Avoiding Nuclear Power	X
+ Avoiding Nuclear Weapons	X
+ Avoiding Predatory Lending	X
+ Avoiding Tobacco	
<b>ESG Integration</b>	Yes
<b>Shareholder Advocacy</b>	Yes
<b>Impact Investing</b>	No