

VALUES-BASED INVESTOR QUESTIONNAIRE

When it comes to aligning your values with your mission, we understand the importance of open communication and asking tough questions.

This questionnaire helps us gain an understanding of your financial and non-financial goals; it shall serve as a guide and is not to be considered a mandate for investment managers.

SECTION 1: INVESTOR PROFILE

Name: _____

Institution (if applicable): _____

Phone number: _____

Mission statement (optional): _____

Investment size (optional)

- < \$25 million
- \$25-50 million
- \$50 – 100 million
- \$100 - \$250 million
- > \$250 million

Do you have guidelines for Socially Responsible Investing (SRI) or Environmental, Social, and Governance (ESG) principles?

- Yes
- No
- Not sure

Sustainable investing focuses on companies that demonstrate adherence to environmental, social and corporate governance principles, among other values. There is no assurance that social impact investing can be an effective strategy under all market conditions. Different investment styles tend to shift in and out of favor. In addition, a [strategy's] [fund's] social policy could cause it to forgo opportunities to gain exposure to certain industries, companies, sectors or regions of the economy which could cause it to underperform similar portfolios that do not have a social policy.

Investment and Insurance Products are: • Not Insured by the FDIC or Any Federal Government Agency • Not a Deposit or Other Obligation of, or Guaranteed by, the Bank or Any Bank Affiliate • Subject to Investment Risks, Including Possible Loss of the Principal Amount Invested

How involved are you (your investment committee, i.e.) in selecting and/ or evaluating your investment managers?

- Very
- Minimal
- Not at all

Comment: _____

Engagement

How do you currently vote proxies? (check all that apply)

- Vote internally
- Investment Managers vote
- Outsource to third party
- N/A

Do you engage companies directly on issues important to you/ your organization? (check all that apply)

- Yes, we attend shareholder meetings
- Yes, we contact companies directly
- Yes, we file/ co-file shareholder proposals
- We contact companies in coalition with like-organizations (such as Seventh Generation)
- No; we hope to improve in this area.

Notes: _____

What are your preferred **approaches** to make an impact (check all that apply)?

- Do no harm
- Active ownership
- ESG/Impact integration
- Impactful voting
- Thematic planet and people
- Best in class ESG

What are your preferred **causes** that are important to you (check all that apply)?

- Climate action
- Gender equality
- Diversity and inclusion
- Peace and justice
- Education quality
- Health and well-being
- Governance
- Green innovation

Priorities for Goals and Performance Objectives

In our opinion, you may not have to sacrifice performance to meet your impact objectives *over longer periods of time*; however you may be wise to anticipate that performance may vary from a benchmark *during certain periods*. Please check the boxes that most apply to your *relative* performance objectives.

- Outperform a reference benchmark and integrate my E.S.G./ impact objectives
- Match market returns and integrate my ESG/impact objectives
- Concessionary returns if ESG/impact objectives are met
- ESG/impact focus first

SECTION 2: LOOKING “UNDER THE HOOD” (Ideally of an electric vehicle)

Reviewing sectors and industries helps gain a glimpse into areas you may wish to **exclude (NO!)** or **Seek out (YES!)**.

Key:

No! = you wish to *exclude* from purchase

“OK if Best in Class” = purchase can be made if the company compares favorably to peers in ESG issues.

YES! SEEK OUT = you wish to *seek out* companies or industries that are making a positive impact

	NO! Exclude	OK, IF BEST IN CLASS	YES! Seek out:
Environment			
Emissions -committed to lower carbon footprint	●	●	<input type="checkbox"/>
Emissions -not committed to lower carbon footprint	<input type="checkbox"/>	<input type="checkbox"/>	●
Intensive farming	<input type="checkbox"/>	<input type="checkbox"/>	●
Deforestation/ land use	<input type="checkbox"/>	<input type="checkbox"/>	●
Animal welfare	<input type="checkbox"/>	<input type="checkbox"/>	●
Oil – exploration and production	<input type="checkbox"/>	<input type="checkbox"/>	●
Gas – exploration and production	<input type="checkbox"/>	<input type="checkbox"/>	●
Nuclear Power	<input type="checkbox"/>	<input type="checkbox"/>	●
Vehicles - internal combustion engines (ICE)	<input type="checkbox"/>	<input type="checkbox"/>	●
Environmentally friendly food production	●	●	<input type="checkbox"/>
Organic/ Healthier Products	●	●	<input type="checkbox"/>
Electric Vehicles	●	●	<input type="checkbox"/>
Hydrogen Vehicles	●	●	<input type="checkbox"/>
Air & water quality	●	●	<input type="checkbox"/>
Carbon credit trading	●	●	<input type="checkbox"/>
Energy efficiency	●	●	<input type="checkbox"/>
Energy storage (batteries etc)	●	●	<input type="checkbox"/>
Renewable energy	●	●	<input type="checkbox"/>
Resource management & Recycling	●	●	<input type="checkbox"/>
Sustainable forestry	●	●	<input type="checkbox"/>
Sustainable products (plastics solutions etc)	●	●	<input type="checkbox"/>
Infrastructure (low carbon solutions)	●	●	<input type="checkbox"/>
Sustainable Transportation	●	●	<input type="checkbox"/>

Waste Management	●	●	□
Recycling/ Efficiency	●	●	□

Social and Health

Abortion (development/ manufacturing)	□	□	●
Abortion (distribution)	□	□	●
Adult Entertainment	□	□	●
Alcohol production	□	□	●
Armaments (harmful devices/equipment)	□	□	●
Contraceptives	□	□	●
Defense (non-harmful devices/equipment)	□	□	●
Fitness & well being	●	●	□
Gambling	□	□	●
Oppressive regimes	□	□	●
Tobacco production	□	□	●

Corporate Governance

Poor labor management	□	□	●
Aggressive tax practices	□	□	●
Excessive board level remuneration	□	□	●
Diversity, Equity & Inclusion	●	●	□
Supply Chain & Human Rights	●	●	□
Gender inclusive Boards and Executives	●	●	□
Banks –ethical lending	●	●	□
Sustainable & Inclusive Finance	●	●	□
Social Media	●	●	□
Data Security	●	●	□
Affordable housing	●	●	□

THE FITZPATRICK GROUP
of Wells Fargo Advisors

Edward Fitzpatrick, CFP®
Senior Vice President – Investments
(262) 657-2547
www.fitzpatrickgrp.com
edward.fitzpatrick@fitzpatrickgrp.com

Investment products and services are offered through Wells Fargo Advisors. Wells Fargo Advisors is a trade name used by Wells Fargo Clearing Services, LLC (WFCS) and Wells Fargo Advisors Financial Network, LLC, Members SIPC, separate registered broker-dealers and non-bank affiliates of Wells Fargo & Company.