



Corporate Engagement Update

Sustainable, Responsible and Impact Investing | Bailard Wealth Management

Bailard's approach to corporate engagement focuses on both the shareholder process and supporting other stakeholders working to improve disclosures on important environmental, social, and governance (ESG) issues. Bailard's Sustainable, Responsible and Impact Investing (SRII) group typically focuses its corporate engagement efforts on the following areas:

ENVIRONMENTAL

- Climate change
- Greenhouse gas emissions
- Global water issues
- Biodiversity & habitat protection
- Sustainability reporting
- Renewable energy and decarbonization

SOCIAL

- Human rights
- Diversity, equity, and inclusion
- Social justice
- Supply chain management
- Workplace practices
- Income inequality

GOVERNANCE

- Shareholder rights
- Board structure & independence
- Executive compensation
- Risk management
- Ethical standards
- Policies & procedures on corporate political giving

Recent Activity

- [Bailard submitted a public comment letter to the SEC in support of the SEC's proposed climate-related disclosure rule](#)
- Bailard joined ICCR's new Advancing Worker Justice working group
- [Bailard joined CDP's Non-Disclosure Campaign to engage companies on disclosure of climate change, water use, and deforestation impacts](#)
- [Bailard joined Ceres' Valuing Water Finance Initiative to call on companies to commit to responsible stewardship of water resources](#)
- [Bailard joined CDP's Science-Based Targets Campaign to urge companies to set science-based 1.5°C climate targets](#)
- Bailard signed onto a letter from ICCR to members of the US Chamber of Commerce's Climate Solutions Working Group encouraging them to advocate for strong climate legislation

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Partner Organizations

As You Sow

The goal of As You Sow (AYS) is to create large-scale systemic change by establishing sustainable and equitable corporate practices. Bailard supports the corporate engagement work of AYS, and Bailard's Blaine Townsend (SRII Director) has been collaborating with AYS since 1997.

www.asyousow.org

Ceres

Ceres works with investors specifically to better manage carbon, water and supply chain risks, and to ramp up global investments in clean energy and sustainable food and water systems. Bailard is a member of the Ceres Investor Network.

www.ceres.org

CPA-Zicklin Index

Bailard is a sponsor of the CPA-Zicklin Index, which benchmarks the political disclosure and accountability policies and practices of leading U.S. public companies. It is produced by the Center for Political Accountability in conjunction with the Zicklin Center for Business Ethics Research.

www.politicalaccountability.net

Disclosures

This communication is for informational purposes only and is not a recommendation of, or an offer to sell or solicitation of an offer to buy, any particular security, strategy or investment product. This communication does not take into account the particular investment objectives, financial situations or needs of individual clients. References to specific stocks are of illustrative purposes only and are not intended to represent any past, present or future investment recommendations. Certain of Bailard's clients may hold shares of specific securities referenced. All investments have the risk of loss. The application of various environmental, social and governance screens as part of a socially responsible investment strategy may result in the exclusion of securities that might otherwise merit investment, potentially resulting in higher or lower returns than a similar investment strategy without such screens. There is no assurance Bailard or any of its investment strategies can achieve their investment objectives. **Past performance is no guarantee of future results.** This communication contains the current opinion of its author and such opinions are subject to change without notice. Information contained herein has been obtained from sources believed to be reliable but is not guaranteed. Bailard cannot provide investment advice in any jurisdiction where it is prohibited from doing so.

CDP

CDP is a nonprofit that runs the global disclosure system for investors, companies, cities, states and regions to manage their environmental impacts, with a focus on disclosure of carbon emissions, water use and deforestation. Bailard is a CDP Investor Signatory.

www.cdp.net

Climate Action 100+

Climate Action 100+ is an investor-led initiative organized to ensure that the world's largest corporate greenhouse gas emitters make clear commitments to cut emissions, improve governance and strengthen climate-related financial disclosures. Bailard is a signatory of Climate Action 100+.

www.climateaction100.org

PRI

The PRI seeks to build a sustainable global financial system by encouraging adoption and implementation of the six Principles for Responsible Investment. Bailard is a signatory of the Principles for Responsible Investment. The PRI is supported by, but not part of, the United Nations.

www.unpri.org

ICCR

Bailard is an affiliate members of the Interfaith Center for Corporate Responsibility (ICCR) - a membership organization of over 300 faith and values-based organizations, which engage hundreds of large multi-national corporations each year on social and environmental issues.

www.iccr.org

Moskowitz Prize

Bailard is a sponsor of the Moskowitz Prize, the premier global prize for research in sustainable and responsible finance. The prize is currently presented by Northwestern University's Kellogg School of Management.

www.kellogg.northwestern.edu/social-impact/academics/moskowitz-prize.aspx

“Disclosure on environmental and social performance is increasingly the expectation rather than the exception.”

– Ceres

Published July 2022

For more information, please call (650) 571 5800 or visit www.bailard.com.

Bailard Wealth Management
950 Tower Lane, Suite 1900
Foster City, California 94404

Bailard
Wealth Management