



# Corporate Engagement Update

Sustainable, Responsible and Impact Investing | Bailard

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 (SRI) 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

### Stakeholder Engagement

- Discussion with CA 100+ ConocoPhillips investor group and Carbon Tracker regarding best practices for climate resiliency models and scenario analysis planning
- CA 100+ ConocoPhillips investor group sent a letter to the company to request a meeting with three independent directors to better understand the Board’s governance regarding climate risks and opportunities for ConocoPhillips
- Reached out to Enphase to engage the company on its corporate political spending policies and disclosures

### Thought Leadership

- Bailard’s official B Corp™ announcement: [Bailard Achieves B Corp Certification, Recognizing Commitment to Values-Driven Practices](#)
- 2024 Best Places to Work: [Bailard Wins First in Its Category for InvestmentNews’ Best Places to Work for Financial Advisors](#)

This award does not evaluate the quality of services provided to clients and are not indicative of Bailard’s future performance. Best Companies Group imposes a \$499 data sharing fee, but there was no cost for Bailard to be considered for the award program. There were 75 firms on the 2024 list; 25 were recognized in Bailard’s category of 50+ employees, where Bailard ranked #1. Visit <https://lnkd.in/gnyW8CX> for important disclosures. Bailard does not endorse or control, either expressly or implicitly, the content posted by any third party and disclaims all comments made or information provided by non-Bailard employees.



## 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](http://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](http://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](http://www.politicalaccountability.net)

### 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](http://www.cdp.net)

### 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](http://www.unpri.org)

### ICCR

Bailard is an affiliate member 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](http://www.iccr.org)

### Moskowitz Prize

Bailard is a sponsor of the Moskowitz Prize, a 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](http://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*

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