



Social Issues Questionnaire

The purpose of this questionnaire is to help us to understand your social and environmental concerns and interests so they may be reflected in your portfolio. We use this information to design a social policy within the Investment Policy Statement.

Please Note: All information will be held in the utmost confidentiality. It will not be shared except as may be authorized by you, or as required by law.

Client Name(s): _____

Instructions: For the following issues you wish to be considered in your portfolio, please mark an “X” once for low level of importance, twice for more importance, and three times for highest level of importance. Leave an item blank if it is not of interest to you.

I. TOTAL AVOIDANCE

Stay Away From the Following Activities:

- _____ Alcohol: Manufacture or marketing
 - _____ Animal Cruelty: Product testing for pharmaceutical or non-pharmaceutical uses or listed as “do test” by PETA or the USDA
 - _____ Gambling: Casino, racetrack or lottery operations, or gaming or lottery equipment manufacturing
 - _____ Global Warming: Oil and natural gas production
 - _____ Nuclear Power: Generating or deriving electricity from nuclear power
 - _____ Tobacco: Manufacture of tobacco products
 - _____ Weapons & the Military: Any revenues from Dept. of Defense contracts
 - _____ Pornography: Produce sexually explicit materials or offer explicit services
 - _____ Other Issues: _____
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II. PARTIAL AVOIDANCE

If you wish to make exceptions to the Total Avoidance exclusions on Page 1, please mark the criteria in each category you wish to be excluded. Marking the main industry or practice on the left means you want the entire category excluded.

- | | |
|---|--|
| <input type="checkbox"/> Alcohol | <input type="checkbox"/> Manufacture of any alcohol products |
| | <input type="checkbox"/> Marketing of alcohol products under their own brand names |
| | <input type="checkbox"/> Revenue from alcohol is a minority percentage of total revenue |
| <input type="checkbox"/> Animal Cruelty | <input type="checkbox"/> Product testing for pharmaceutical uses |
| | <input type="checkbox"/> Product testing for non-pharmaceutical uses |
| | <input type="checkbox"/> Listed as "does test" by PETA |
| | <input type="checkbox"/> Listed as "does test" by the USDA |
| | <input type="checkbox"/> Has an official anti-animal testing policy in place |
| <input type="checkbox"/> Gambling | <input type="checkbox"/> Casino, racetrack or lottery operations, or equipment manufacturing |
| | <input type="checkbox"/> Revenue was generated by gaming activities in most recent year |
| <input type="checkbox"/> Environment | <input type="checkbox"/> Oil and chemical spills |
| | <input type="checkbox"/> Six-year spills trends |
| | <input type="checkbox"/> EPA Superfund sites |
| | <input type="checkbox"/> Toxic emissions releases |
| | <input type="checkbox"/> Six-year toxic releases trend |
| | <input type="checkbox"/> Fines for environmental violations |
| | <input type="checkbox"/> Six-year fines trend |
| | <input type="checkbox"/> Amount of waste generated in previous year |
| | <input type="checkbox"/> Six-year waste trend |
| | <input type="checkbox"/> Have not signed the Ceres Principles, a universally accepted set of environmental conduct standards |

- _____ Nuclear Power
 - _____ Generate electricity from nuclear power
 - _____ Generate, market, or sell electricity from nuclear power as a minority percentage of the company's operations
 - _____ Provide goods and services designed for specific use in the nuclear energy industry

_____ Weapons & the Military

- _____ Manufacture firearms/ammunition for non-military use
- _____ Derive any revenue from Dept. of Defense contracts
- _____ Derive any revenue from Dept. of Defense nuclear weapons contracts
- _____ Derive less than 10% of annual revenue from Defense contracts
- _____ Is among the Top 100 defense contractors

_____ International Human Rights

- _____ Business dealings in China
- _____ Business in Sudan, Libya, Myanmar, and other countries identified as oppressive by universally accepted standards
- _____ Operate Mexican maquiladoras on the border with the U.S. in order to skirt U.S. labor and environmental laws
- _____ Have not signed the Global Sullivan Principles, a universally accepted set of corporate citizenship standards
- _____ Engaged in child labor or inhumane working conditions

_____ Labor Issues

- _____ Included on the American Federation of Labor-Congress of Industrial Organizations' (AFL-CIO) "Do Not Buy" boycott list
- _____ Companies of over 100 employees that have been subject to a significant work stoppage or strike in the last six months
- _____ Less than half of their workforce unionized
- _____ History of National Labor Relations Board determinations
- _____ Excessive executive pay schedules or bonuses
- _____ Patterns of workplace safety negligence

_____ Indigenous Peoples Issues

_____ Do not respect the lands and rights of indigenous peoples, and have direct ongoing conflicts with indigenous communities regarding livelihoods, cultures, habitat, and environment

_____ Extract biological resources without sharing the economic benefits with resident indigenous peoples

_____ Promote negative images of indigenous peoples through advertising, marketing, labeling, and the use of offensive names

_____ Governance

_____ Poor compliance records with respect to bribery and corruption, or which have poor governance ratings combined with illegal or questionable activities such as fraud

_____ Respond inadequately to reports of unsafe products, engage in deceptive marketing practices or consumer fraud, or use offensive images in product labeling or marketing

_____ Unwillingness to disclose political contributions

_____ Lack of diversity in management and the Board of Directors

_____ Excessive executive compensation and exit buyouts

_____ Lack of responsiveness to shareholder concerns

Specific Companies I/We Wish to Avoid: _____

III. AFFIRMATIVE SCREENS

Seek Out Companies That Support These Industries:

_____ Clean and Public Transportation

_____ Energy Conservation

_____ Environmental Cleanup

_____ Natural/Biodegradable Products

_____ Organic/Health Food

_____ Recycling or Recycled Products or Services

- _____ Renewable Energy
 - _____ Sustainable Agriculture
 - _____ Sustainable Forestry
 - _____ Responsible Real Estate
 - _____ Clean Technology
 - _____ Other Issues: _____
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Seek Out Companies That Support These Practices:

- _____ Hiring and Workplace
 - _____ Non-discrimination policy which includes pay, promotion, tenure, benefits, and training with regard to race, gender, age, religion, national origin, ethnicity, sexual orientation, HIV/AIDS status, and mental and physical ability
 - _____ Healthcare benefits for same-sex relationships
 - _____ Companies that treat their gay, lesbian, bisexual and transgender employees, consumers and investors equitably according to the Human Rights Campaign Corporate Equality Index
 - _____ Listed in Diversity Inc.'s "Top 50 companies for Diversity"
 - _____ Listed in Hispanic Magazine's "Top 100" Employers
 - _____ Among Fortune 50 as "Best Companies for Minorities"
 - _____ Listed in Working Mother Magazine "Top 100" companies
 - _____ Among Fortune 100 as "Best Companies To Work For"
 - _____ Fair wages at all levels
 - _____ Strong workplace safety record
 - _____ Workplace policies, programs and benefits aimed at increasing employee morale, workplace productivity, and worker development

- ___ Board Policies
- ___ Minimum Board percentage of minorities: _____%
- ___ Minimum Board percentage of women: _____%
- ___ Independence of company Board and management
- ___ Independence of accountants and auditors
- ___ Conflict of interest policy
- ___ Transparency of financial, environmental, and social information
- ___ Allow and encourage shareholder participation in policymaking

___ Environmental Preservation

- ___ Conduct and publish sustainability reports in conjunction with standards of the Global Reporting Initiative

___ Cultural Preservation

- ___ Protection of indigenous people's rights in countries in which a company does business
- ___ Avoid ongoing conflicts with indigenous communities regarding livelihoods, cultures, habitat, and environment

___ International Human Rights

- ___ Adopt the conventions of the International Labor Organization (ILO): freedom of association and protection of the right to organize; right to bargain collectively; a minimum age for the employment of children; a prohibition against forced labor; lack of discrimination; and equal compensation

Specific Companies I Wish to Support: _____

Specific Companies I Wish to Learn More About: _____

IV. SHAREHOLDER ADVOCACY

If you have an interest in owning specific shares of individual stocks for the purpose of sponsoring or supporting shareholder resolutions that influence corporate policies and practices, or in writing letters to government regulatory agencies or elected officials to encourage responsible practices, please indicate the companies and/or issues of interest from the above screening section:

V. COMMUNITY INVESTING

Please indicate your level of interest in the following focus areas of community investing. Please mark an "X" once for a low level of importance, twice for more importance, and three times for the highest level of importance. Leave an item blank if it is not of interest to you.

___ Investing in communities/countries after disasters

___ Minority entrepreneurship

___ Women's entrepreneurship

___ International entrepreneurship

___ Affordable housing

___ Green building

___ Renewable energy

___ Urban redevelopment and community facilities

___ Rural revitalization and community facilities

___ Education

___ Geographic focus: _____

___ Other priorities: _____

VI. AGREEMENT

By completing and signing below I/we acknowledge that I have provided, to the best of my knowledge, an accurate assessment of my current social priorities. I further acknowledge that the NI Social Issues Questionnaire does not make or imply any guarantee of the attainment of my investment objectives, but serves to provide information from which my financial consultant will construct investment recommendations.

_____	_____	_____
Client Signature	Printed Name	Date

_____	_____	_____
Client Signature	Printed Name	Date

By signing below, I acknowledge that I have reviewed this document on behalf of the client.

_____	_____	_____
NI Signature	Printed Name	Date

THANK YOU! *Please use this space (or attach extra pages) to tell us anything else about your environmental and social concerns.*