

Risk Managed ESG

OBJECTIVE

- ESG with capital appreciation and downside protection

METHOD

- Environment, Social and Governance data integrated into Niemann's 26yr proven [proprietary analytics](#)
- Sustainability data analytics and rankings provided by TruValue Labs
- Quantitative security selection
- Trend following process

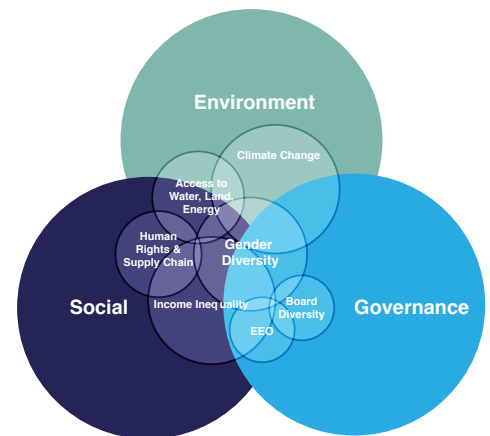
STRUCTURE

- Separately Managed Account (SMA)
- Active management
- Global equities (40-50 stocks) (long only)
- Can go up to 100% cash to protect assets

STRATEGY DESCRIPTION

The Risk Managed ESG portfolio integrates environmental, social and governance analysis with Niemann's proprietary security selection process. The strategy will invest from a global universe of companies that have attractive ESG scores. The portfolio will invest in top-ranked stocks in the universe using Niemann's proprietary quantitative methodology. Quantitative scores are updated weekly. When stock market risk is excessive, Niemann's risk-managed overlay system has the ability to go up to 100% cash to protect investor assets. Market risk is monitored daily.

SUSTAINABILITY INVESTING NEXUS



Source: Croatan Institute

TOP 5 SAMPLE HOLDINGS

- MSFT – Microsoft
- NVDA – Nvidia
- PCLN – The Priceline Group
- MJN – Mead Johnson Nutrition
- SRE – Sempra Energy

MSCI ESG Key Issue Hierarchy - Source MSCI

3 Pillars	10 Themes	37 ESG Key Issues	
Environment	Climate Change	Carbon Emissions*, Energy Efficiency, Product Carbon Footprint	Financing Environmental Impact, Climate Change Vulnerability
	Natural Resources	Water Stress*, Biodiversity & Land Use	Raw Material Sourcing
	Pollution & Waste	Toxic Emissions & Waste*, Packaging Material & Waste	Electronic Waste
	Environmental Opportunities	Opportunities in Clean Tech and in Green Building	Opp's in Renewable Energy
Social	Human Capital	Labor Management*, Health & Safety*	Human Capital Development, Supply Chain Labor Standards
	Product Liability	Product Safety & Quality, Chemical Safety, Financial Product Safety	Privacy & Data Security, Responsible Investment, Health & Demographic Risk
	Stakeholder Opposition	Controversial Sourcing	
	Social Opportunities	Access to Communications, Access to Finance	Access to Health Care, Opp's in Nutrition & Health
Governance	Corporate Governance*	Board**, Pay**	Ownership**, Accounting**
	Corporate Behavior	Business Ethics*, Anti-Competitive Practices*	Corruption & Instability, Financial System Instability

* indicates "universal" issues assessed for all companies in MSCI World

** Board, Pay, Ownership, and Accounting carry weight in the ESG Rating model for all companies.

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