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## Tri-State CRI Active Ownership Services

The Tri-State Coalition for Responsible Investment (CRI) supports institutional investors in carrying out their commitment to align the power of their portfolio with the mission of the organization. Tri-State CRI believes that socially responsible investors can have a catalytic role to make markets more just and sustainable. We will work with you to carry out your Socially Responsible Investing (SRI) priorities in any of the following areas.

### Shareholder Engagement

Institutional investors may engage the Tri-State CRI to facilitate your shareholder advocacy with corporations in your portfolio. We can identify strategic opportunities to join or initiate engagements based on institutional priorities and areas of concern, implement the strategy, and provide regular reporting. We conduct corporate engagement on behalf of investors in priority areas of concern, meeting with companies and filing shareholder resolutions according to our strategic approach.

#### *Services include:*

- Develop a Shareholder Engagement Work Plan
  - Assess institutional holdings and identify opportunities to engage with corporations among key areas of interest (e.g. Human Rights, Climate Change, Financial Practices, Water)
  - Create a focus list of companies and issues for engagement
  - Work with clients' investment committees and other key decision makers to ensure institutional support for proposed work plan
  - Report outputs and outcomes of engagement plan on a regular basis
- Corporate Dialogues
  - Represent institution's portfolio in corporate dialogues with company executives on identified issues
  - Support client participation in meetings as interested
  - Conduct outreach to impacted stakeholders to inform our engagement
- File Shareholder Resolutions
  - Draft shareholder proposals on priority issues with company targets
  - Prepare shareholder resolution filing or co-filing materials
  - Serve as a liaison between corporate executives and filers
  - Develop and disseminate resources to increase the vote and impact of shareholder resolutions among investor networks (ICCR, Ceres)

## Proxy Voting

Informed proxy voting is essential to maintaining a comprehensive socially responsible investment strategy. Voting proxies allows shareholders to have a say in how a company addresses governance items, such as board diversity and executive compensation, as well as environmental and social concerns raised by investors.

### *Services include:*

- Conduct voting of selected domestic and international proxies applying Tri-CRI's voting guidelines to ensure votes are aligned with client's mission and SRI priorities
- Conduct research and due diligence on all votes
- Provide reporting of votes cast

## Investment Guidelines and Investment Committee Support

The Tri-State CRI can help institutional investors ensure they have the tools in place to define, align, and implement the institution's socially responsible investing priorities, through investment guidelines, investment committee materials, and resources for engaging with external managers.

### *Services include:*

- Develop or revise Investment Guidelines
- Develop or revise Proxy Voting Guidelines
- Participate in Investment Committee Meetings to educate committee members on themes or specific SRI issues (e.g. Climate Finance, Community Investing, Trends in SRI, Monitoring ESG Integration)

## About the Tri-State Coalition for Responsible Investment

*Founded in 1975, the Tri-State Coalition for Responsible Investment (Tri-State CRI) is a membership organization composed of Roman Catholic religious orders, dioceses and institutions primarily in the New York Tri-State area. Believing that investors' fiduciary duty goes beyond achieving financial results, our members strive to align the mission of their investments with Catholic Social Teaching to create a more just and sustainable world. Through collaboration with the Interfaith Center on Corporate Responsibility, a coalition of 300 institutional investors, Tri-State CRI members are empowered to use their voice as shareholders to engage corporations on social, environmental and governance issues and promote corporate social responsibility.*

To learn more about our services and discuss pricing, contact:

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