



Frequently Asked Questions: SRI in the Rockies

1. What is SRI in the Rockies?

SRI in the Rockies is the premier annual gathering of sustainable and responsible investment (SRI) industry practitioners and related organizations in North America. The conference is designed to inform, inspire, and serve the needs of investment professionals, as well as institutional and high net worth investors.

2. What is the goal of the Conference?

A professional conference, [SRI in the Rockies](#) is a gathering place for people and organizations directing investment capital in more positive, healthy, life-affirming, and transformative ways. SRI in the Rockies offers attendees many opportunities to meet and learn from passionate, creative, socially conscious people from all corners of the SRI industry in the United States and around the world.

3. When and where will the Conference be held?

The 21st annual SRI in the Rockies Conference will be November 18–21, 2010 at the [JW Marriott Hill Country Resort & Spa](#) in San Antonio, Texas.

4. Who hosts and produces SRI in the Rockies?

The Conference is produced by [First Affirmative Financial Network](#) an SRI industry leader, in collaboration with a number of SRI industry organizations including the Social Investment Forum.

5. Who attends SRI in the Rockies?

About one-third of the 650-plus participants will be licensed investment professionals serving investor clients; about one-third will be representatives of SRI mutual fund companies, asset managers, social research organizations, and other product/service providers to the industry; and about one-third will represent non-profit organizations, community development banks and credit unions, faith-based organizations, and other groups that work with the SRI industry on various social change initiatives, as well as investors.

6. What's on the agenda? Who will be speaking?

Each year, SRI in the Rockies offers a Professional Education Track focused on investment and practice management issues, and a Social Issues Track, which presents expert commentary and interactive dialogue on various timely social issues, shareholder advocacy strategies, and community investment opportunities. SRI in the Rockies expects to provide 6-8 hours of CE credit for Certified Financial Planners.

7. Will presentations be recorded?

Yes. The conference content is so rich that all presentations are recorded. Audio recordings of all conference presentations will be posted to the website immediately after the conference adjourns (www.SRIintheRockies.com).

8. Are there opportunities for small groups to gather around a topic of special interest?

Yes. "Topic Tables" are conversation circles that provide an informal opportunity for participants to share ideas on topics of mutual interest. Topic Tables are scheduled during lunch on Friday, November 19th.

9. What is SRI?

Socially responsible investing, or sustainable and responsible investing (both "SRI"), is the process of integrating personal values, societal concerns, and/or institutional mission into investment decision-making. SRI is an investment process that considers the social and environmental consequences of investments, both positive and negative, within the context of rigorous financial analysis. SRI portfolios seek to invest in companies with the best demonstrated performance in the areas of environmental, social, and corporate governance issues (commonly referred to as "ESG"). It is also sometimes known as "green", "values-based", or "sustainable" investing.

10. What are the approaches investors typically utilize in SRI?

Generally, social investors seek to own profitable companies that make positive contributions to society. "Buy lists" may include enterprises with good employer-employee relations, strong environmental practices, products that are safe and useful, and operations that respect human rights around the world.

11. How many assets are involved in SRI?

It is reported that \$2.7 trillion under professional management in the U.S. is involved in one or more of the three primary socially responsible investment strategies—social screening, shareholder advocacy, and community investing. These assets now account for one out of every nine dollars under professional management in the U.S., according to the Social Investment Forum's *2007 Report on Investing Trends in the United States*.

12. How many SRI funds are in the marketplace?

There are more than 250 socially screened mutual fund products in the U.S., up from just 55 SRI funds in 1995. Prominent SRI mutual fund providers include Calvert, Domini Social Investments, and Pax World Funds. For a more complete list of funds and asset managers, see the SRI in the Rockies Conference sponsors list at <http://www.sriintherockies.com/sponsors.jsp> or the Social Investment Forum's mutual fund performance chart at <http://www.socialinvest.org/resources/mfpc/>.

13. How do SRI portfolios perform?

An impressive body of academic evidence and real-world results has effectively refuted the stale notion that social screening (non-financial analysis) automatically results in underperformance. One example, over 19 years, from inception on 05/01/1990 through 12/31/2009, the FTSE KLD 400 Social Index had an annualized return of 9.27% versus the S&P 500's 8.42% for the same period.

Past performance is no guarantee of future results. There can be no assurance that any investment strategy will generate profitable results. Indexes are unmanaged lists of common stocks. Index performance does not include the impact of cash, fees, or transaction costs. Investors cannot invest directly in either the FTSE KLD 400 Social Index or the S&P 500, but can purchase mutual funds designed to track the performance of these indexes. For more information on the performance of the FTSE KLD 400 Social Index, go to <http://www.kld.com/indexes/ds400index/performance.html>.

14. What is 'Screening'?

Screening is the practice of qualitatively analyzing investments based on environmental, social, and/or corporate governance factors (ESG criteria). Screening can be either positive (screening in) or negative (screening out). Qualitative screening combined with a traditional quantitative analysis of profit potential, provides the basis for designing investment portfolios aligned with an investor's values and social priorities, while producing the returns needed to achieve the investor's financial goals.

15. What is 'Shareholder Advocacy'?

Shareholder advocacy efforts include engaging in dialogue with companies and submitting and voting on proxy resolutions. Action is focused on positively influencing corporate behavior. Socially conscious investors often work cooperatively to steer company management on a course that they believe will improve financial performance over time and enhance shareholder value.

16. What is 'Community Investing'?

Many socially conscious investors earmark a percentage of their investment portfolios to community development financial institutions (CDFIs) that work to alleviate poverty, create jobs, provide affordable housing, and finance small business development in disadvantaged communities which tend to have very limited access to investment capital, or no access to capital.

17. What is First Affirmative Financial Network?

[First Affirmative](#) is an independent Registered Investment Advisor (RIA firm) offering Sustainable Investment Solutions™. Since 1987, First Affirmative has been offering consulting and investment management services designed to meet the unique needs of socially conscious investors through a nationwide network of investment professionals. First Affirmative has been a member of the Social Investment Forum since inception, and senior management has 24 years of cumulative service as directors of the organization.

18. What is the Social Investment Forum?

The [Social Investment Forum](#) (SIF) is a national non-profit membership association working to advance the concept, practice, and growth of sustainable and responsible investing. SIF membership includes more than 500 social investment industry practitioners and institutions including financial professionals, analysts, portfolio managers, banks, mutual funds, researchers, foundations, community development organizations, and public educators. SIF has been a key collaborator in the production of SRI in the Rockies since 1996.

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