



Responsible Investments. Responsible Disruption.

2017 Responsible Investing Survey



**San Francisco | Tuesday, December 5
2:00 – 3:30pm**

The Four Seasons
757 Market Street
Veranda A
San Francisco, CA 94103

Event Agenda

- 2:00pm Welcome & Introductory Remarks
 - 2:05pm Keynote Speaker
 - 2:25pm 2017 Responsible Investing Survey Results Unveiled
 - 2:35pm Panel Discussion
 - 3:25pm Closing Remarks
 - 3:30pm Event Concludes
- Reception to follow*



Speakers and Panelists



Introductions

Michael Lee, CFA
CEO, President & CIO
RBC Global Asset Management



Moderators

Catherine Banat
Institutional Portfolio Manager
RBC Global Asset Management

Taham Mahimwalla, CFA
Vice President
Institutional Portfolio Manager
RBC Global Asset Management



Keynote

Hendrik Bartel
Chief Executive Officer and Co-Founder
TruValue Labs

Panel



Bernie Nelson
President, North America
Style Research



My-Linh Ngo
Head of ESG Investment Risk
BlueBay Asset Management



Thomas Van Dyck, CIMA®
Managing Director
Financial Advisor
SRI Wealth Management Group
RBC Wealth Management



Wendy Walker, CFA
Managing Director &
Outsourced CIO
Cambridge Associates



Biographies

Catherine Banat

Institutional Portfolio Manager RBC Global Asset Management

Catherine Banat is responsible for servicing the firm's impact investing clients and ensuring that investment solutions are implemented based on each client's customized impact requirements. Catherine is dedicated to impact investing and the importance of investments that serve a social good as well as providing a competitive rate of return. Prior to joining RBC GAM, Catherine managed strategic initiatives, risk and compliance for The New York City Retirement Systems, a \$150 billion public pension plan, where she also researched, developed and implemented the strategic plan for the Economically Targeted Investment (ETI) program. Catherine has dedicated her entire career to the financial services industry and has held senior level positions at various firms including Paloma Partners, Goldman Sachs & Co., C3 Capital and Lehman Brothers. She has worked in the investment industry since 1985. She earned a BA in history and a BSE in management from The University of Pennsylvania and the Wharton School, as well as an MBA in finance from Columbia University. Catherine holds FINRA Series 7 and 63 licenses.

Hendrik Bartel

Chief Executive Officer and Co-Founder TruValue Labs

Hendrik Bartel is the CEO and co-founder of TruValue Labs, the first company to leverage artificial intelligence (AI) to glean timely, objective, and actionable ESG insights for investment decision-making. With a mission to solve the problems of ESG and Intangible Risk data with a technology-first approach, its SaaS and API products offer high scalability, flexibility, and transparency.

With Hendrik's entrepreneurial background in turning complicated technologies into user-friendly products, he has led product development initiatives at companies including Amazon, Pure Digital Technologies acquired by Cisco, and Cyra Inc. acquired by Leica.

Hendrik earned an Engineering Degree from the Hochschule Hannover (University of Applied Sciences in Hannover, Germany) and an MBA in Global Business Management and Social Entrepreneurship from St. Mary's College of California.

Michael T. Lee, CFA

Chief Executive Officer, President & Chief Investment Officer RBC Global Asset Management

Mike Lee oversees US-based investment management teams, as well as service and distribution of all RBC Global Asset Management investment solutions to US-based clients. He is a member of the RBC GAM Executive Committee and serves on the Board of Directors of RBC GAM-US as well as the Business Executive Committee for RBC's overall US businesses. Mike joined RBC GAM-US in 1993, and his industry experience includes nearly 20 years in portfolio management and client service. He has worked in the investment industry since 1990. He earned a BS in economics from DePauw University and an MBA in finance from the University of Minnesota Carlson School of Management. Mike is a CFA charterholder, registered as an Associated Person with the National Futures Association and a member of the CFA Institute. He also serves as an Advisory Board Member for the Carlson Funds Enterprise at the University of Minnesota.

Taham S. Mahimwalla, CFA

Vice President, Institutional Portfolio Manager RBC Global Asset Management

Taham Mahimwalla leads the firm's client service and product management efforts for RBC GAM's Global and International Equity strategies, as well as our US small and mid cap growth strategies. He works closely with the portfolio management teams in the US and London to help ensure the integrity of the investment philosophy and process and adherence to client objectives. Taham is responsible for representing the firm's environmental, social and governance (ESG) efforts in the US. Taham communicates with clients, prospects and consultants on an ongoing basis regarding the investment philosophy and process, strategy, positioning and performance. Taham joined RBC GAM-US in 2013. He was previously an account manager at Wellington Management Company, where he was responsible for developing and managing institutional client relationships. Taham also worked as a fixed income portfolio specialist at Wellington, where he focused on investment grade credit and multi-sector fixed income strategies. Taham began his career in the investment industry in 2006 and earned his MSF/MBA from Northeastern University in Boston and his B.Com from HR College of Commerce and Economics in Mumbai, India. He is a CFA charterholder and a member of the CFA Institute as well as the CFA Society of Chicago. Taham holds FINRA Series 7 and 63 licenses.

Bernie Nelson

President, North America Style Research

Bernie Nelson is President of Style Research North America and is based in Boston, USA.

Prior to joining Style Research, Bernie held positions as Head of Risk and Head of Quantitative Analysis at Scottish Widows Investment Partnership, then the asset management arm of Lloyds TSB and one of Europe's largest asset managers. He was responsible for developing portfolio risk management and integrating quantitative techniques into a fundamentally based investment process. He has also managed structured products and index funds and has financial engineering experience as a derivative products analyst. Bernie has also been a speaker at international investment conferences on Factor Investing, Smart Beta, ESG in portfolios, and Style and Risk Analysis in asset management.

Bernie holds an Honours degree in Mathematics from Edinburgh University. He is an Affiliate of the UK Society of Investment Professionals, a member of the CFA Institute, and a member of the CFA Society Boston.

My-Linh Ngo

Head of ESG Investment Risk BlueBay Asset Management

My-Linh joined BlueBay in July 2014 and leads ESG integration across the firm's global assets. She joined from Schroder Investment Management Ltd where she was an ESG Analyst in the responsible investment department, responsible for ESG analysis and engagement. Prior to this, My-Linh served as an associate director for SRI Research in the sustainable and responsible investment team at Henderson Global Investors. My-Linh holds a Master's degree in Leadership for Sustainable Development from Middlesex University/ Forum for the Future, and both a Master's in Environmental Management Systems & Auditing and a Bachelor's in Environmental Sciences from the University of East Anglia.



Thomas Van Dyck, CIMA®

**Managing Director – Financial Advisor
SRI Wealth Management Group
RBC Wealth Management**

Thomas has been a leader in the field of socially-responsible investing for more than 30 years. As Managing Director – Financial Advisor of the SRI Wealth Management Group at RBC Wealth Management, he consults on \$1.7 billion of ESG-screened assets. In 1992, he founded As You Sow, a shareholder advocacy organization, which engages corporations on environmental, human/labor rights and corporate social responsibility initiatives. In 2014, Thomas was a featured guest on Bill Moyers and Company and discussed the Divest/Invest movement which he helped initiate with his clients. In 2013, he was named one of the Financial Times' Top 400 Financial Advisors. He was also a featured speaker at the TedX Wall Street conference in 2012 and provided his expertise on ESG investing, which incorporates environmental, social and governance factors in institutional/individual client portfolio management to help lower risks and potentially improve returns. Thomas graduated from Duke University in 1980 with a B.A. in Political Science. He is a member of the advisory board at Center for Social Entrepreneurship (CASE) at Duke University's Fuqua Business School. He is a Certified Investment Management Analyst (CIMA®) and holds his Series 7 and Series 66 licenses.

Wendy Walker, CFA

**Managing Director & Outsourced Chief Investment Officer
Cambridge Associates**

Wendy Walker, CFA, is a Managing Director and a Chief Investment Officer in CA Capital Management, Cambridge Associates' outsourced investment office business. Wendy works with endowment & foundation clients and is a member of the firm's Mission-Related Investing group.

Prior to joining Cambridge Associates, Wendy worked on the investment teams at Imprint Capital Advisors, focusing on socially responsible and environmental-themed fund managers, and at Parnassus Investments, integrating environmental, social and governance factors into industry and company-specific research.

Wendy graduated cum laude from Yale University and earned an MBA (with Honors) from the Haas School of Business, UC Berkeley. She is a former vice chair of the Sustainable Investing Committee of the New York Society of Security Analysts and currently serves on the Advisory Committee to the Haas Socially Responsible Investment Fund.

RBC GAM is the asset management division of Royal Bank of Canada (RBC) which includes the following affiliates around the world, all indirect wholly owned subsidiaries of RBC: RBC Global Asset Management Inc. (including Phillips, Hager & North Investment Management), RBC Global Asset Management (U.S.) Inc., RBC Global Asset Management (UK) Limited, BlueBay Asset Management LLP, and BlueBay Asset Management USA LLC and the investment management division of RBC Investment Management (Asia) Limited.



**Global Asset
Management**

RBC Global Asset Management
Minneapolis | Boston | Chicago
800.553.2143 | us.rbcgam.com