

## Socially and Environmentally Responsible Practices Survey

GKM Newport Pennsylvania Management, V, LLC

**Please note:** As part of our commitment to an open and transparent government, your completed survey will be posted in its entirety in electronic format on Treasury’s Web site at <http://www.patreasury.org>,

### A. Women and Ethnic Minority Query

*Firm Practices*

1. Please detail the employee diversification of your firm, emphasizing executive and management positions that have decision-making responsibilities. Count each employee only once, except owners may be counted both as owners and employees if the owner has significant operational responsibilities. If s/he has multiple roles, count the employee in the category where s/he spends the most time.

*GKM Newport Diversification*

Position	Ethnic Minority	Women	Female Minority	Other	Total
Owners (and % ownership)	0	1 (56%)	0	0	1
Executive Management (e.g. CEO, COO, VP, Directors)	0	2	0	0	2
Investment Decision makers (portfolio managers, traders, etc.)	0	0	0	0	0
Investment Professionals (analysts, compliance officers, etc.)	0	0	0	0	0
All other FTE	0	0	0	0	0
<b>TOTAL</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>2</b>

2. Please describe relevant initiatives and/or policies that assist in recruiting women and minorities to your firm and retaining and promoting those employees in your firm.

*The Firm is committed to a policy of equal employment opportunity. Employment decisions regarding personnel matters (e.g., recruiting, hiring, training, compensation, overtime, promotions, transfers, assignments, benefits, education, social/recreation programs, terminations and re-employment) are made on a totally nondiscriminatory basis. The Firm complies with applicable laws and regulations regarding employment and is committed to providing a workplace that is free from discrimination against any employee or applicant for employment on the basis of age, ancestry, color, disability, gender, national origin, race, religion, sexual orientation or any other legally prohibited basis. In summary, the Firm is committed to providing a workplace free from*

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*discrimination and to taking outreach efforts to encourage protected class members to work at the Firm.*

### *Vendors and Subcontractors*

3. What percentage of your trades utilizes minority/women-owned brokerage firms?

*None. As a private equity Fund-of-Funds, GKM Newport does not utilize brokerage firms.*

4. Do you consider women and minority ownership or makeup when hiring vendors/sub-contractors, consultants, advisors or other professional services? If so, how? If not, please explain why you do not.

*As a woman-owned business itself, GKM Newport strongly discourages discrimination based on any legally prohibited basis, and welcomes the opportunity to utilize minority vendors and subcontractors where they can best serve the interests of GKM Newport and its clients.*

5. Please provide any other information you feel may be relevant or may help Treasury understand your approach to employee and vendor/subcontractor diversification.

*Not applicable.*

## **B. Environmental/Sustainability Query**

### *Firm Practices*

1. Please provide information related to your firm's policy/initiatives/efforts with respect to environmentally responsible and sustainable practices.

*GKM Newport endeavors to manage a green office, including recycling of paper and toner cartridges as well as electronic waste. In addition, GKM Newport invests in a number of cleantech and socially responsible funds on behalf of our clients.*

### *Vendors and Subcontractors*

2. Do you consider the environmental or sustainable practices of vendors and subcontractors in hiring decisions? If so, how? If not, please explain why you do not.

*GKM Newport encourages vendors to manage a green office, including recycling. As a private equity fund-of-funds, GKM Newport does not hire vendors or*

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*subcontractors that have substantial impact on the environment, such as heavy manufacturing.*

### *Investment Decisions*

3. Do you consider environmental / sustainability issues when making investment decisions? If so, how? If not, please explain why you do not.

*Several GKM Newport client mandates emphasize investment in either cleantech or socially responsible investing.*

4. Are there specific sectors or industries that you are likely to over or underweight due to climate risk or opportunity? If so, which ones?

*GKM Newport does not over or underweight specific sectors or industries based on climate risk or opportunity. However, several client mandates emphasize investment in cleantech or socially responsible investing.*

5. How do you obtain information about climate risk and environmental factors?

*Not applicable.*

6. Have you adopted the United Nations Principles for Responsible Investing? (<http://www.unpri.org/>). If not, are you in the process of evaluating, or would you consider evaluating adoption of the United Nations Principles for Responsible Investing?

*To date GKM Newport has not adopted the United Nations Principles for Responsible Investing, but is willing to review the standards.*

Please detail any other information you feel may be relevant or helpful for Treasury to understand your approach to evaluating the significance of environmental and sustainability issues in making investment decisions.

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**C. Pennsylvania Commitment Query**

Please provide numbers detailing the firm and client presence in Pennsylvania.

Example:	PA	Total
Headquarters	0	1
Offices	0	1
Employees	0	4
Clients HQ in PA	1	1

Please detail any other information you think relevant regarding the extent of your business contacts or activities in Pennsylvania.

*None*

**D. Geopolitical Risk**

1. How do you take geopolitical risk into account when making investment decisions? If so, how? If not, please explain why you do not.

*As of June 30, 2010, GKM Newport does not make investments overseas.*

2. Do you currently have in place policies that prohibit or limit investment in companies doing business with countries identified as state sponsors of terrorism by the U.S. State Department? If so, please provide those policies.

*As of June 30, 2010, GKM Newport does not make investments overseas.*