

## Socially and Environmentally Responsible Practices Survey

### Six50 Capital Management

**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.

*Example:*

Position	Ethnic Minority	Women	Female Minority	Other	Total
Owners (and % ownership)	0	0	0	0	0
Executive Management (e.g. CEO, COO, VP, Directors)	1	0	0	0	1
Investment Decision makers (portfolio managers, traders, etc.)	0	1	0	1	2
Investment Professionals (analysts, compliance officers, etc.)	1	2	1	2	6
All other FTE	0	0	0	1	1
<b>TOTAL</b>	<b>2</b>	<b>3</b>	<b>1</b>	<b>4</b>	<b>10</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.

Six50 Capital Management LLC (“Six50 Capital” or the “Firm”) is an equal opportunity employer that strives to provide a diverse, safe and productive work environment regardless of race, religion, color or creed. Diversity is both valued and encouraged at the Firm. Accordingly, the Firm encourages the growth of all employees through ongoing training and increases the retention of women in the workplace by offering flex-time or part-time schedule.

*Vendors and Subcontractors*

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

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None

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.

We first and foremost identify the most qualified providers of services. Assuming professional qualifications are met, we do try to diversify our service providers and work with women and firms with minority ownership.

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

#### **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.

Not Applicable

##### *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.

Not Applicable

##### *Investment Decisions*

3. Do you consider environmental / sustainability issues when making investment decisions? If so, how? If not, please explain why you do not.
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?
5. How do you obtain information about climate risk and environmental factors?
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?

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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.

#### **C. Pennsylvania Commitment Query**

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

Example:	PA	Total
Headquarters	0	0
Offices	0	2
Employees	0	10
Clients HQ in PA	1	5

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

#### **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. Not Applicable
  
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.

Six50 Capital has adopted anti-money laundering policies and procedures that prohibits the Firm from doing business with any country or person that is identified by the US Treasury's OFAC/SDN list.