



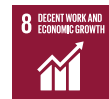
## 2021 IMPACT REPORT

The UN Sustainable Development Goals seek to end poverty, protect the planet and ensure prosperity. In this year's Impact Report, we highlight the impact of several Pekin Hardy Strauss holdings with regard to these important goals.



### SHAREHOLDER ADVOCACY FOR IMPACT

*Pekin Hardy Strauss acts as a shareholder advocate to encourage boards and management teams to become more transparent and responsible with regard to environmental, social and governance (ESG) matters. We believe investors can have significant influence on their portfolio companies through informal engagement, proxy voting, and shareholder resolutions.*



When voting proxies on behalf of Appleseed Fund shareholders, we strive to encourage the companies held by the fund to further their ESG efforts by electing responsible board members, holding companies to high standards for their financial disclosures, and ensuring executives have fair compensation packages. When appropriate, we also support resolutions introduced by our fellow shareholders that will strengthen ESG efforts or disclosures. In 2021, we voted on a number of ESG-focused shareholder resolutions, particularly when voting proxies at Facebook and Google. For Facebook, we were proud to vote in favor of a report from the company that would assess the increased risk of sexual exploitation of children via their new privacy tools, adding a human rights expert to the board, and a report evaluating whether the protocols used to limit the spread of misinformation during the 2020 election cycle should be used more broadly. At Google, we joined other shareholders in requesting that the company add a human rights expert to the board and produce reports on their sustainability metrics, takedown requests, whistleblower policies, charitable contributions, and the business risk associated with anticompetitive practices. While none of these shareholder resolutions passed, we were proud to vote in favor of these efforts and will continue to support such work in the future.

### OUR PORTFOLIO IMPACT

*Pekin Hardy Strauss seeks long term investments with companies who have aligned corporate actions with the SDGs. We believe value is not created in a single quarter or even in a single year. Long-term, enduring value is created over years of hard work with smart decisions and prudent long-range planning.*



Sprouts Farmers Market is an American specialty grocer offering a health-oriented assortment that focuses on fresh and naturally derived products. Its offerings are especially focused on produce. We believe that doing good extends beyond selling healthy products, so our long-term growth strategy is rooted in sustainability initiatives that improve our business while caring for our customers, team members, local communities, and the planet.



Heron Therapeutics Inc is a commercial-stage biotechnology company. It is focused on improving the lives of patients by developing treatments that address some of the unmet patient needs. Heron launched the Helping Opioid Prescription Elimination (HOPE) Project which seeks to utilize ZYNRELEF + OTC analgesics to potentially replace over 20.5 million opioid pills for herniorrhaphy treatments alone.



The KraneShares Global Carbon ETF is benchmarked to IHS Markit's Global Carbon Index, which offers broad coverage of cap-and-trade carbon allowances by tracking the most traded carbon credit futures contracts. The index introduces a new measure for hedging risk and going long the price of carbon while supporting responsible investing.

## COMMUNITY INVESTING FOR IMPACT

*Besides Pekin Hardy Strauss advocating on behalf of our investors for increased corporate responsibility, we seek out appropriate community investing vehicles as a tool for directing capital to environmental projects, low income communities, and local businesses and non-governmental organizations (NGOs) that are driving sustainability at a local level.*



In 2021, we continued our partnership with Self-Help Federal Credit Union, by facilitating the investment of \$1 million in a new CD offering to provide much-needed capital to underserved neighborhoods in Chicagoland. Self-Help worked specifically on the goal of expanding affordable mortgage options in Chicago. "The racial homeownership gap in the Chicago area is one of the worst in the country, with fewer than 40% of Black families owning their homes compared to 74% for white families."

Outside of Chicago Self-Help continued to focus on the physical and financial health of staff, members and allies. Even during a global pandemic, homebuyers and entrepreneurs worked with Self-Help to achieve their dreams.

Learn more at [www.self-helpfcu.org](http://www.self-helpfcu.org).

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