

**UNITED NATIONS GLOBAL COMPACT**  
**2013 Communications on Progress**  
**Submitted on September 16, 2013**

**I. Statement from President**

Marc J. Lane & Company is fully committed to the United Nations Global Compact's ten universally accepted principles in the areas of human rights, labor, the environment, and anti-corruption.

We are a broker/dealer with a strong commitment to support Marc J. Lane Investment Management, Inc. and their positive screening for sound corporate governance, respect for the environment, and social justice. Utilizing our proprietary Advocacy Investing® strategy, we implement trades for investment portfolios in which securities are selected by applying exacting financial and governance standards, as well as criteria reflective of each investor's unique environmental and social concerns. Through this work, we actively encourage investment decisions that directly support the United Nations Global Compact's ten principles.

Marc J. Lane & Company is committed to continuously improve our process. We conduct weekly Investment Committee Meetings to review our portfolios for both fundamental and sustainability criteria, identify and recommend ways to improve our screening process, document and evaluate our results, and improve our portfolio performance.

Going forward, we seek to explore new opportunities for shareholder advocacy in order to better address the social and environmental concerns reflected in our clients' investments.



Marc J. Lane & Company continues to learn and develop as a sustainable and responsible business. We are committed to this process as a long-term, ongoing effort and we pledge to continually strive for improvement in all areas of our operations.

Sincerely,

A handwritten signature in black ink, appearing to read 'M. Lane', with a stylized flourish at the end.

Marc J. Lane

President

September 16, 2013

## **II. Implementation of the Global Compact and its Principles**

Marc J. Lane & Company is committed to supporting the United Nations Global Compact's ten principles on human rights, labor, the environment, and anti-corruption. As a sustainable and responsible brokerage firm, we identify and make investments in companies whose corporate behavior reflect and promote our investors' personal beliefs and values on environmental and social issues. Typical social factors we consider might include evaluating the inclusion of women and minorities on a company's board of directors or within the ranks of its executive officers, among other diversity, human rights, workforce, and various other social issues. Environmental concerns we evaluate might include such criteria as the implementation of environmental friendly projects and initiatives, among other environmental management, environmental performance, and climate change issues.

## **III. Measurement of Outcome**

Marc J. Lane & Company actively provides education on socially responsible investing online, through webinars, seminar presentations, and public speaking events. We also vote clients' shareholder proxies in accordance with their environment, social justice, and corporate governance (ESG) guidelines or if no direction is given, under our extensive proxy voting guidelines. Our monthly newsletter, Advocacy Investing® Portfolio Strategies, is another tool that we use to keep pertinent issues under the spotlight. To date, this publication reaches over 2100 subscribers.

Meeting with clients and prospects, financial advisors, and the socially responsible community, we proactively spread the word on the United Nations Global Compact's ten principles. We have exceeded our targets for presentations, subscriptions, and media opportunities; however, we continue to strive to improve in our efforts to educate and inform.