



COMMUNICATION
ON PROGRESS



This is our **Communication on Progress** in implementing the Ten Principles of the **United Nations Global Compact** and supporting broader UN goals.

We welcome feedback on its contents.

Vanderbilt Financial Group is an investment firm disrupting traditional finance by focusing on socially and environmentally responsible, ethical, and impactful investments. We do this while keeping our advisors front and center, providing a world-class level of service with a “family office” feel. Headquartered in a LEED-certified Platinum building (Leadership in Energy and Environmental Design), our commitment to changing the world begins in our office and within our culture.

Known as “The Sustainable Wealth Management Firm”, Vanderbilt Financial Group maintains a focus on impact investing, and our organizational goals are aligned with the intention to bring about positive social and environmental change through our business and investments. We are the only environmentally sustainable Broker Dealer and Registered Investment Advisory (RIA) in the industry today and are committed to being a responsible business.



What does sustainable mean to us? A sustainable business is one that has minimal negative impact on the local or global environment, community, society, or economy. A sustainable business focuses on a triple bottom line: people, planet, profit. At Vanderbilt, we incorporate principles of sustainability into each of our business decisions, which is why we were honored to become participants in the United Nations Global Compact.



"As a participant of the UN Global Compact, Vanderbilt made a formal commitment to uphold and actively work towards the UN's Sustainable Development Goals. This commitment, along with the transparency into our business principles through the annual reporting process, is just one step that we are taking to truly be the industry's only sustainably focused Broker Dealer and RIA." – Steve Distanto, Chief Entrepreneurial Officer of Vanderbilt Financial Group

The UN Global Compact policies and principles allowed us to redefine our own internal measures of success. Our commitment to these policies and principles inspired growth beyond traditional economic values including the impact we have socially and environmentally on a local, national and global scale.

Highlights on Our Actions Over the Past Year Include:

Doing Good Breeds Doing Well: 2019 is wrapping up to be another tremendous year of growth for Vanderbilt with an increase in firm gross revenue of 20% over 2018, and a 15% growth in new registered advisors. The influx in recruitment from both large independent firms and large wire houses came from advisors looking for a higher level of customer service and a smaller, family style firm whose values of sustainability and integrity are at the core of our business. 1 in 3 new recruits cite Vanderbilt's commitment to our values as reasons for joining the firm.



2018 Best Places to Work on Long Island: Vanderbilt was voted as one of the “Best Places to Work on Long Island” for 2018 by Long Island Business News™. Established over ten years ago by Long Island Business News™, this distinctive program extensively researches, evaluates, and ranks the best places of employment based on an employee satisfaction and engagement survey along with a comprehensive review of workplace policies and procedures. Gratitude, Respect, Innovation, Trustworthiness and Teamwork are the core values at Vanderbilt Financial Group. By weaving these ideals into the fabric of our culture, we differentiate from other Broker Dealers in the Financial Services sector. *“The most important aspect of building a great company culture is to have a vision that is bigger than ourselves, a reason to be in business to benefit others”* said Steve Distanto, the CEO of Vanderbilt.

Elevating Women to the Top: Vanderbilt is proud of its diverse leadership team – over 40% of the executive team are women with an array of differing backgrounds. We value the wider spectrum of perspectives this brings to the firm's overall strategy. As a future-oriented company, Vanderbilt embraces divergent voices who are passionate about being impactful and having a positive influence in society.



Documentary film elevates Impactful Entrepreneurship through the SDGs: CEO Steve Distant premiered his documentary film over the past year, *“Igniting Impact”*. In using film as a catalyst for change, Steve has brought his message of impact across the country as a keynote speaker and advocate for the United Nation’s Sustainable Development Goals. The mission of *Igniting Impact* is to inspire, educate, and celebrate entrepreneurs who are conquering some of the world’s greatest challenges with their businesses. The film highlights the inspirational stories of eight entrepreneurs working around the globe. From eradicating poverty to gender equality to climate change, entrepreneurs and industry experts take us on a journey from the origins of corporate social responsibility to the transformation of capitalism using the United Nations Sustainable Development Goals as a framework for how the business world needs to evolve. Each story is unique – some touching, some empowering – but all illuminating the impactful change happening now. ***Igniting Impact* has been seen over 5,000 times through online distribution at impactu.film, in private screenings, at the Cucalorus Film Festival in Wilmington, NC, and at its debut at the International Entrepreneurial Summit at the United Nations.**

Vanderbilt joined the United Nations Global Compact initiative: Vanderbilt continues a close partnership with the United Nations through signing on to the Global Compact initiative as participants. The UN Global Compact is a voluntary leadership platform for the development, implementation and disclosure of responsible business practices. Launched in 2000, the UN Global Compact is the largest corporate sustainability initiative in the world, with more than 9,500 companies and 3,000 non-business signatories based in over 160 countries, and more than 70 Local Networks.



Bringing Together Divergent Voices in the Impact Space: In October 2018, Vanderbilt held the first of a bi-annual TED (technology, entertainment, design) style conference, *Impact X*, which brought together Financial Advisors from across the country with three thought-leaders working in the impact field (using storytelling as a medium for knowledge and information sharing): urban development strategist Majora Carter, Tom Benson of Wildplay, and Daniel Rosen of TerraCycle. Through events and initiatives such as *Impact X*, Vanderbilt hopes to increase the reach and positive impact of the Financial Services industry through highlighting the power of impact investing and the use of the United Nations’ Sustainable Development Goals.



THE
SUSTAINABLE
BROKER
DEALER



ELECTRIC
VEHICLES REDUCE
CARBON-BASED
GREENHOUSE
GASES THAT CAUSE
CLIMATE CHANGE



LOW FLOW
APPLIANCES
REDUCED OUR
WATER USAGE
BY **40%**



REDUCE
REUSE
RECYCLE
OUR CARPETS
ARE MADE FROM
RECYCLED
FISHING NETS



RENEWABLE
ENERGY FROM
OUR 295 PANEL
SOLAR ARRAY
OFFSETS OUR
ELECTRIC
USE BY **90%**



LEEDing the Way on Long Island: In September of 2015, Vanderbilt Financial Group underwent a complete eco-friendly renovation to our Headquarters and was awarded the prestigious LEED Platinum Certification (Leadership in Energy and Environmental Design), making it Long Island’s first LEED Platinum office building. This certification sets an example of environmental responsibility for the entire community to emulate.

- **Reduction in energy and waste:** Our utilities and business overhead have dramatically reduced our energy consumption and waste production due to our adoption of new technology. Through the 295 solar panel array located on our white roof, we typically generate 115 MWH annually which covers an average of 95.3% of our energy usage. Our state-of-the-art HVAC system promotes fresh air exchange while reducing energy usage by 50%. In addition, all the material that was used in our renovation, including paint, carpeting, bricks, furniture, etc., came from within a 500-mile radius of the building to ensure that an excessive amount of fuel was not used in transportation of materials.
- **Self-Sustaining:** In addition to all of the green initiatives, we are also self-sustaining. Our onsite natural gas generator can handle extended power outages. We have installed the latest VOIP or Voice Over IP solutions, with redundancy, to safeguard against Internet and phone outages.
- **Electric Car Charging Stations:** Vanderbilt is the proud recipient of a New York State Energy Research and Development (NYSERDA) grant to increase the number of electric car charging stations in Long Island, NY. We have received 85% funding for two electric car charging stations available for employees to use at no cost to them.
- **Recycling:** In order for us to maintain our LEED status, we must follow strict guidelines for recycling in the building, contracting a third-party carting company to transport recycled material to facilities where it can be reused and dumped into landfills.

Embracing Technology to Reduce Environmental Impact: In addition to our energy efficient and state-of-the-art LEED Certified Platinum Headquarters, embracing technology has allowed Vanderbilt to go paperless for

client accounts firm-wide, resulting in saving 26,558 lbs of wood, 71,122 gallons of water, 3,922 lbs of paper waste, and further reducing our carbon footprint by 59,822 lbs of CO2 via technology platform DocuSign™.

Service to Our Local Community: Leadership and staff came together to raise funds, resources, and supplies for local Long Island charities over the past 2 years: the Heroes Against Heroin 5K Walk hosted by in-house charity the John Brower Jr. Foundation, The Book Fairies, The Interfaith Nutrient Network (The INN), the Ronald McDonald House and the Leukemia & Lymphoma Society (LLS). In addition, Vanderbilt hosted various Earth Day activities across the island from a beach cleanup to an Electric Car Show. Local impact is and always will be an integral part of Vanderbilt's mission.



For more information on Vanderbilt Financial Group's unique culture and sustainability initiatives, please refer to the following resources:

<https://joinvanderbilt.com/sustainable-wealth-management-firm/>
<https://joinvanderbilt.com/impact-investments/>
<https://joinvanderbilt.com/unique-culture/>
<http://blog.joinvanderbilt.com/platinumleedcertified>

About Vanderbilt Financial Group:

Vanderbilt Financial Group is an investment firm disrupting traditional finance by focusing on socially and environmentally responsible, ethical, and impactful investments. Vanderbilt is known as "The Sustainable Broker-Dealer" and RIA for their commitment to providing Financial Advisors and their clients with access to values-aligned investments. Headquartered in a LEED-certified Platinum building, Vanderbilt's commitment to changing the world begins at home in our office and within our culture. Under the leadership of Chief Entrepreneurial Officer, Steve Distant, Vanderbilt's culture has garnered multiple awards and was most recently named "Best Places to Work on Long Island" for 2018.

As a thought leader in the impact space, Vanderbilt Financial Group is dedicated to increasing the reach and impact of the Financial Services industry using the United Nations' Sustainable Development Goals as a framework. Their education platform, Impact U, provides students, advisors and investors with unique opportunities to increase their impact investing knowledge through videos, podcasts and fun interactive exercises. Vanderbilt and CEO Steve Distant recently released a documentary short film "*Igniting Impact*," shedding light on how purposeful entrepreneurship and impactful investments can help improve some of the world's greatest challenges. Interact with Impact U at www.ImpactU.me.

For more information on Vanderbilt Financial Group, please visit www.joinvanderbilt.com.

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Advisory Services offered through Vanderbilt Advisory Services, LLC