



Rockefeller Ocean Strategy

An unprecedented ocean-centric investment fund

The Rockefeller Ocean Strategy is a unique, globally diversified impact investing opportunity for the ocean, launched by The Ocean Foundation and Rockefeller Capital Management in 2012. The innovative fund consistently performs well and offers an alternative for those divesting of fossil fuel company stock with all cap, private placement in active, long-only global publicly traded securities.

Through this fund, companies that have a product or service that is actively good for the ocean will make profits, help investors earn more income and contribute to a new bottom line – a healthier ocean.

Why Invest in the Health & Sustainability of the World’s Ocean?

- Global population growth is putting pressure on the availability of the most basic life-sustaining resources;
- Growing awareness of the need for ocean sustainability (healthy ocean = healthy communities);
- Climate change: the ocean as a vehicle for natural carbon sequestration (blue carbon);
- Cleaner energy: ocean sources of energy (wind, tides, waves, thermal conversion) to reduce our reliance on fossil fuels;
- The global water-related economy is rapidly expanding; and
- Ocean transportation is ready for revolutionary change.

Fund Selection

A triple-screened fund, The Ocean Foundation serves as the exclusive expert ocean advisor and research collaborator to Rockefeller Capital Management. Rockefeller Capital Management serves as the certified investment advisor to this fund. Key sectors for investment consideration include:

- ecosystem management,
- resource sustainability,
- low carbon energy, water and energy efficiency; and
- water management and services.

As ocean advisor, The Ocean Foundation is contracted by Rockefeller Capital Management to provide an ocean-focused environmental screen of potential companies that Rockefeller Capital Management is considering through their own professional screen for investment quality and standard Corporate Social Responsibility criteria.

The Ocean Foundation's role solidified after a five year review of thousands of companies that may have products and services that are actively good for the ocean. This included a comprehensive analysis of known ocean threats, anticipated solutions and best-in class products and services.

Anticipated New Growth

As of Fall 2019, Rockefeller Capital Management is in the process of rapidly expanding the Rockefeller Ocean Strategy's portfolio to include additional markets. This exciting shift is anticipated to attract many new investors seeking a mechanism to invest in the ocean and holds immense promise due to past consistent strong performance of the original fund.

Suggested Charitable Contribution

For investors who do see favorable returns, The Ocean Foundation encourages an unrestricted charitable contribution of ~10% of your gain to support foundation programs. That support enables The Ocean Foundation to maintain and grow our community foundation business services as well as deepen our programmatic initiatives in the areas of Blue Resilience, Ocean Acidification and Redesigning Plastics.

The Blue Economy

The "blue economy" is a concept that has gained much momentum over the past 6 years. Whilst there are differing definitions applied by different actors, it is now fairly commonly agreed that development of the Blue Economy encourages safekeeping and restoration of all "blue resources" (sometimes also encompassing the upstream and inland water bodies), and balances the need for social and economic development benefits with a strong emphasis on a long term view to ecosystem function maintenance. This approach is increasingly scientifically underpinned, through a better understanding and monitoring of ocean ecosystem dynamics. This empowers a more comprehensive and informed planning approach, in which stakeholders better understand the tensions between different development objectives, the ecosystem carrying capacity for those activities and can account for the intrinsic non-financial value of ecosystems. It also supports the UN Sustainable Development Goals considering how future generations will be affected by today's resource management.

The aim is to find a balance between economic growth and sustainability. This economic model works toward an improvement of human wellbeing and social equity, but also to reduce environmental risks and ecological scarcities. The blue economy concept emerges as a lens by which to view and develop policy agendas that simultaneously enhance ocean health and economic growth, in a manner consistent with principles of social equity and inclusion. As the Blue Economy concept gains momentum, the coasts and ocean can be perceived as a new source of economic development. The key question is: How do we beneficially develop and sustainably use the oceanic and coastal resources?

The Ocean Foundation has been actively studying and working on the emerging Blue Economy for over a decade, and works with a wide range of partners including on-the-ground NGOs and scientists researching this space as well as financial and philanthropic institutions helping to bring the economic models to bear, such as Rockefeller Capital Management.

For More Information

To explore further, The Ocean Foundation can broker an introduction between your asset manager and Rockefeller Capital Management to continue to speak directly about whether the Rockefeller Ocean Strategy is a good fit for your investment. We encourage all prospective investors to carefully review the legal documents associated with this private placement investment through the formal prospectus issued by Rockefeller Capital Management. Please contact Jason Donofrio at jdonofrio@oceanfdn.org or 202-318-3178 for additional information.