



Caldwell

## Caldwell Canadian Balanced Fund

Meeting Date	Name of Issuer	Stock Symbol	Matters Voted On	Party Proposed	Management Vote	Caldwell Vote
26-Jan-21	CGI	GIB	Appoint directors (16) Appointment of Auditor Amendment to By-Law 1986-5	MGMT MGMT MGMT	For For For	For For For
25-Jan-21	Visa	V	Appoint directors (12) Approval, on an advisory basis, of compensation paid to our named executive officers. Ratification of the appointment of KPMG LLP as our independent registered public accounting firm for the 2021 fiscal year. Approval of the Visa Inc. 2007 Equity Incentive Compensation Plan Approval of an amendment to our Certificate of Incorporation To vote on a stockholder proposal requesting stockholders' right to act by written consent To vote on a stockholder proposal to amend our principles of executive compensation program	MGMT MGMT MGMT MGMT MGMT Stockholder Stockholder	For For For For For Against Against	For For For For For Against Against
29-Jan-21	Amdocs	DOX	Election of Director (10 appointees) Approve an increase in the dividend rate under our quarterly cash dividend program Approve our Consolidated Financial Statements for the fiscal year ended September 30, 2020 Ratify and approve the appointment of Ernst & Young LLP as our independent registered public accounting firm	MGMT MGMT MGMT MGMT	MGMT MGMT MGMT MGMT	MGMT MGMT MGMT MGMT
11-Feb-21	Tyson Foods	TSN	Appoint directors (15) Ratify the selection of PricewaterhouseCoopers LLP as the independent registered public accounting firm Approve the amendment and restatement of the Tyson Foods, Inc. 2000 Stock Incentive Plan Shareholder proposal to request a report regarding human rights due diligence Shareholder proposal regarding share voting. Shareholder proposal to request a report disclosing the policy and procedures, expenditures, and other activities related to lobbying and grassroots lobbying communications	MGMT MGMT MGMT Stockholder Stockholder Stockholder	For For For Against Against Against	For For For Against Against Against
11-Mar-21	S&P Global Inc.	SPGI	Approval of the S&P Global Share Issuance	MGMT	For	For
18-Mar-21	Keysight Technologies	KEYS	Election of Directors (3) To ratify the Audit and Finance Committee's appointment of PricewaterhouseCoopers LLP as Keysight's independent registered public accounting firm Approve, on a non-binding advisory basis, the compensation of Keysight's named executive officers Approve, on a non-binding advisory basis, the frequency of the stockholder vote on the compensation of Keysight's named executive officers	MGMT MGMT MGMT MGMT	For For For One Year	For For For One Year
24-Feb-21	Berry Global Group	BERY	Election of Directors (10) Ratify the selection of Ernst & Young LLP as Berry's independent registered public accountants Approve, on an advisory, non-binding basis, our executive compensation Approve an amendment to Berry's Certificate of Incorporation to reduce the ownership threshold required for stockholders to call a special meeting Approve the Amended and Restated Berry Global Group, Inc. 2015 Long-Term Incentive Plan	MGMT MGMT MGMT MGMT MGMT	For For For For For	For For For For For
22-Apr-21	L3Harris Tech Inc	LHX	Election of Directors (12) Approval, in an Advisory Vote, of the Compensation of Named Executive Officers as Disclosed in the Proxy Statement Ratification of Appointment of Ernst & Young LLP as Independent Registered Public Accounting Firm for Fiscal Year 2021	MGMT MGMT MGMT	For For For	For For For
18-May-21	Motorola Solutions	MSI	Election of Director (7 appointees) Ratification of the appointment of the Company's Independent Registered Public Accounting Firm for 2021. Advisory approval of the Company's executive compensation.	MGMT MGMT MGMT	For For For	For For For
21-May-21	Quest Diagnostics Inc	DGX	Election of Directors (9) Advisory resolution for the executive officer compensation disclosed in the 2021 proxy statement Ratification of the appointment of our independent registered public accounting firm	MGMT MGMT MGMT	For For For	For For For

			Stockholder proposal regarding the right to act by written consent, if properly presented at the meeting	Stockholder	Against	Against
22-Apr-21	Johnson and Johnson	JNJ	Election of Directors (14)	MGMT	For	N/A
			Advisory Vote to Approve Named Executive Officer Compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Report on Government Financial Support and Access to COVID-19 Vaccines and Therapeutics.	Stockholder	Against	N/A
			Independent Board Chair.	Stockholder	Against	N/A
			Civil Rights Audit.	Stockholder	Against	N/A
			Executive Compensation Bonus Deferral.	Stockholder	Against	N/A
5-May-21	S&P Global Inc.	SPGI	Election of Directors (12)	MGMT	For	For
			The executive compensation program for the Company's named executive officers	MGMT	For	For
			Ratify the selection of Ernst & Young LLP as our independent auditor for 2021.	MGMT	For	For
			The Company's Greenhouse Gas (GHG) Emissions Reduction Plan	MGMT	For	For
			Shareholder proposal to transition to a Public Benefit Corporation.	Stockholder	Against	Against
6-May-21	Boston Scientific Corporation	BSX	Election of Directors (9)	MGMT	For	For
			To approve, on a non-binding, advisory basis, named executive officer compensation.	MGMT	For	For
			Ratify appointment of accounting firm	MGMT	For	For
			Stockholder proposal requesting a report to stockholders describing any benefits to the company related to employee participation in company governance	Stockholder	Against	Against
14-May-21	Ansys	ANSS	Election of Class I Director for Three-Year Term (3)	MGMT	For	For
			Ratify appointment of accounting firm	MGMT	For	For
			Approval of the ANSYS, Inc. 2021 Equity and Incentive Compensation Plan.	MGMT	For	For
			Advisory Approval of the Compensation of Our Named Executive Officers.	MGMT	For	For
				Stockholder	Against	Against
25-May-21	IPG Photonics	IPGP	Election of Directors (9)	MGMT	For	For
			Ratify appointment of accounting firm	MGMT	For	For
07-Jun-21	United Health Group	UNH	Election of Directors (9)	MGMT	For	For
			Ratify independent registered public accounting firm	MGMT	For	For
			Approval of an amendment to the UnitedHealth Group 1993 Employee Stock Purchase Plan.	MGMT	For	For
			Shareholder proposal set forth in the proxy statement	Stockholder	Against	Against
04-May-21	Parkland Corporation	PKI	Election of Directors (9)	MGMT	For	For
			Appoint auditor and set remuneration	MGMT	For	For
			To approve the approach to executive compensation as further described in the Circular.	MGMT	For	For
04-May-21	Suncor	SU	Election of Directors (11)	MGMT	For	For
			Appointment of KPMG LLP as auditor of Suncor Energy Inc. for the ensuing year.	MGMT	For	For
			Approve an amendment to the Suncor Energy Inc. Stock Option Plan to increase the number of common shares reserved for issuance	MGMT	For	For
			Consider and, if deemed fit, approve an advisory resolution on Suncor's approach to executive compensation	MGMT	For	For
05-May-21	Premium Brands Holding Corp	PBH	To fix the number of Directors to be elected at the Meeting at not more than eight (8).	MGMT	For	For
			Election of Directors (8)	MGMT	For	For
			To approve the appointment of Auditors of the Corporation	MGMT	For	For
			Approach to executive compensation described in the accompanying Information Circular - advisory	MGMT	For	For
03-May-21	Stantec	STN	Election of Directors (9)	MGMT	For	For
			To approve the appointment of Auditors of the Corporation	MGMT	For	For
			To resolve on an advisory basis the approach to executive compensation	MGMT	For	For
			Approve and confirm the General By-Law Amendments	MGMT	For	For
11-May-21	Bird Construction	BDT	Election of Directors (10)	MGMT	For	For
			To approve the appointment of Auditors of the Corporation and fix remuneration	MGMT	For	For
	Elemental Fleet		Election of Directors (10)	MGMT	For	For
			Appoint auditor and set remuneration	MGMT	For	For

12-May-21	Elemental Fleet Management	EFN	To consider and, if thought advisable, to approve, a non-binding advisory resolution on the Corporation's approach to executive compensation as set out in the Corporation's management information circular delivered in advance of its 2020 Annual Meeting.	MGMT	For	For
24-Feb-21	Berry Global Group	BERY	Election of Directors (10)	MGMT	For	N/A
			Ratify selection of Public Accountants	MGMT	For	N/A
			Advisory on executive compensation	MGMT	For	N/A
			Amendment to certification of incorporation	MGMT	For	N/A
			Amended and restated long term incentive plan	MGMT	For	N/A
19-Nov-20	Broadridge	BR	Election of Directors (10)	MGMT	For	N/A
			Ratify selection of Public Accountants	MGMT	For	N/A
			Advisory on executive compensation	MGMT	For	N/A
			Stockholder: Political Contributions	Stockholder	Against	N/A
27-Jan-21	CGI	GIB	Election of Directors (16)	MGMT	For	N/A
			Appoint auditor and set remuneration	MGMT	For	N/A
			Amend ByLaws	MGMT	For	N/A
10-Dec-20	Cisco Systems	CSCO	Election of Directors (10)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Approval of reincorporation from California to Delaware	MGMT	For	N/A
			Approval of amendment and restatement of 2005 stock incentive plan	MGMT	For	N/A
Adopt policy of independent board chairman	Shareholder	Against	N/A			
23-Jun-21	Tricon Residential	TCN	Election of Directors (9)	MGMT	For	For
			Appoint auditor and set remuneration	MGMT	For	For
			To consider, and if deemed advisable, to pass the Exchange Price Resolution	MGMT	For	For
18-Mar-21	Keysight Technologies	KEYS	Election of Directors (10)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Advisory approval offrequency of executive compensation stockholder voting	MGMT	For	N/A
04-Nov-20	Oracle Corp	ORCL	Election of Directors (14)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Approve Oracle Equity Incentive Plan 2020	MGMT	For	N/A
			Pay Equity Report	Shareholder	Against	N/A
			Independent Board Chair.	Shareholder	Against	N/A
13-May-21	Shawcor	SCL	Election of Directors (7)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Amend Employee Stock Option Plan	MGMT	For	N/A
			Amend Employee Share Unit Plan	MGMT	For	N/A
06-May-21	Stantec	STN	Election of Directors (9)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Amendment and Restatement of By-law No. 1	MGMT	For	N/A
07-Jul-20	Tricon Capital Group	TCN	Election of Directors (9)	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Stock Option Plan	MGMT	For	N/A
			Deferred Share Unit Plan	MGMT	For	N/A
			Amendment of Company's Articles	MGMT	For	N/A
			Election of Directors (15)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A

11-Feb-21	Tyson Foods	TSN	Amendment and restatement of stock incentive plan	MGMT	For	N/A
			Human Rights Due Diligence	Shareholder	Against	N/A
			Share Voting	Shareholder	Against	N/A
			Corporate Lobbying	Shareholder	Against	N/A
26-Jan-21	Visa	V	Election of Directors (12)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Visa Inc. 2007 Equity Incentive Compensation Plan	MGMT	For	N/A
			Approval of an amendment to our Certificate of Incorporation	MGMT	For	N/A
			To vote on a stockholder proposal requesting stockholders' right to act by written consent	Shareholder	Against	N/A
To vote on a stockholder proposal to amend our principles of executive compensation program	Shareholder	Against	N/A			
10-May-21	Middleby Corporation	MIDD	Election of Directors (7)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Adopt Company's 2021 Long Term Incentives Plan	MGMT	For	N/A