**Fund EcoMarket individual FUND entry form**

**For publication on the** [**Fund EcoMarket.co.uk**](http://www.fundecomarket.co.uk) **SRI fund hub**

Please be aware this information is used by third party intermediaries including the **Fidelity International fund platforms**.

**Please return to funds@sriServices.co.uk ASAP**

**SRI Services, March 2023**

**What information do we need?**

* For **new funds** please complete this entire form. If you have multiple funds with the same strategy you can reply with a single form (adding notes to us if required).
* Please use separate forms if you have **multiple funds** with different strategies. You only need to **complete Responsible Ownership (AFM company wide) information once** as that will be identical for all funds run by the same asset management company.
* All responses must complete the highlighted fields where applicable (with fund name etc).
* For **fund updates** please complete the ‘new’ fields - highlighted in yellow AND the (also required) ‘periodic update’ fields - highlighted in blue.
* If you are updating fund details you do not need to send full details again, but please **confirm all existing details are up to date** and can be **evidenced**. We have attached a copy of the information we hold on our database for your reference. You can view this by searching your company or fund name on Fund EcoMarket via <https://www.sriservices.co.uk/> (you may find this easier to read and search online.)
* Please make sure **all information you supply can be evidenced.**
* **URL links** are welcome, but please **do not include tables, diagrams or pdfs** as they cannot be used.
* Scroll to the end of this document for **additional information** about this form and information on Dialshifter® (green asterisk **\***, page 12 onwards).
* **Current funds on FEM:** Please see attached document with the information we currently hold on your fund(s)
* Be aware **you can update or amend** the information you send us **at any time.**
* If you cannot complete a field please leave it blank.
* Pages 13 – 22 of this document are support information provided for your assistance.

**Form completed by:**

Your name:

Job title:

Email address:

Phone number:

Date:

**Text fields:**

|  |  |
| --- | --- |
| **Fund Identification information** |  |
| Fund / Portfolio Name(s): (as applicable) |  |
| Fund Management company (entity) name: |  |
| SEDOL(s): *(all relevant – UK listing)* |  |
| ISIN (s): *(all relevant – UK listing)* |  |
| Geographic Region(s): (e.g., UK, Asia, Global) |  |
| Asset Type(s): (e.g., Equity, Bond, Mixed) |  |
| Active / Passive: |  |
| Product type (e.g. OEIC, Pension, IT, SICAV DFM/Portfolio):  |  |
| Fund launch date:  |  |
| Fund sector:  |  |
| Benchmark Index (if applicable): |  |
| **Previous Fund name** (if relevant): |  |
| **Date converted to sustainable / ESG fund** (if relevant) |  |
| **‘Contact Us’:** email address you would like published within this fund entry so that intermediaries/clients can contact you. |  |
|   |
| **Data Entry Note:** Is this a new fund(s) entry or an update to an existing fund we already list?**Any additional notes?** | New / Existing (delete) |

**Fund Information for publication on Fund EcoMarket:**

Please note: The database cannot display pdfs, tables or images.

|  |  |  |
| --- | --- | --- |
| **SRI / themed / ethical assets under management – overview**  | **£m/GBP**  | **Date (as at)** |
| Fund / Portfolio Size (GBP m) |  |  |
| Total value of SRI/ethical/environmental/ social/ environmental or sustainability themed funds (GBP m) |  |  |
| Total value of assets covered by any additional ESG or responsible ownership policy (GBP m) |  |  |
| Total assets under management (GBP m) |  |  |

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| --- |
| **‘Sustainable, Responsible &/or ESG Overview’** (text field - **MAX 150 WORDS).**(Briefly summarise the purpose of this fund(s), its (SRI/ESG) strategy and aims. If applicable introduce how this fund aims to help deliver positive impacts and beneficial environmental and or social outcomes. Maximum 150 words. **No images or tables**.)  |

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| **‘Fund Objective’** (text field)(Briefly summarise the fund(s) objectives. **No images or tables**) |

|  |
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| **‘Sustainable, Responsible &/or ESG Policy’** (text field)(Explain **what** the fund does from an ESG / SRI / ethical perspective, its screens, themes, policies and/or indices used. Also explain any intended positive environmental or social impacts and outcomes. **No images or tables**.)  |

|  |
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| **Sustainable, Responsible &/or ESG Process:** (text field) (Describe the ESG/sustainable /ethical strategy process adopted by this fund, ideally – step by step. Please explain **how** the fund managers arrive at where this fund invests. Describe the role of internal and external data sources and their function as part of the investment selection process. **No images or tables**.) |

|  |
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| **Resources, affiliations and fund management company wide strategies:** (text field)(Describe your in-house & external ESG/SRI research resources, roles and responsibilities. Include FTE in-house staff working on ESG/SRI as well as stewardship / responsible ownership. List related affiliations, memberships, and involvement with groups such as UNPRI / IIGCC / CA100+/CDP. Use url links if you wish. **No images or tables**.) You only need to **complete this field once** if you are sending details of more than one fund. |
| **Disclaimer:** (text field)(Complete this section if you would like to include a disclaimer / statement regarding the fund. (**No images or tables**.)  |

|  |  |
| --- | --- |
| **Web links – names & urls**(Do not send attachments. Please note you are responsible for compliance) |  |
| Title (to display on website)1 FUND FACTSHEET2 FUND POLICY DETAILS (explanation of ESG/SRI/ethical strategy)345Fund Holdings Link Title:1 Voting Records Link Title:1 | URL Link - https:/1 *supply factsheet link here*2 *supply policy/ESG strategy link here*345 Fund Holdings Link:1 *supply link to fund holdings here*Voting Records Link:1 *supply link to voting record here* |

**Fund features search filters**

The following pages refer to filter options on Fund EcoMarket.

**Please select (x) one of the following:**

|  |  |
| --- | --- |
| We have reviewed our information on Fund EcoMarket. It is correct subject to the additions and updates below being published. Amend only the highlighted new and annual update fields shown below. |  |
| We have made some changes – the following information shows some areas we would like you to update on your website - in addition to the new information requested. Amend only the fields I have altered below. |  |
| This information is to entirely replace the information we supplied previously. Replace all existing details with the information below. |  |
| **Other. I**nsert note to SRI Services here: |

The following list is a reorganised version of our previous form. This reflects the layout of our soon to be launched new site, not the live site.

The explanatory (‘hover over’) text that is on our site is at the bottom of this form. Please add instructions within the ‘x’ box if required (e.g. please amend to …).

The green asterisk (\*) relates to the optional Dialshifter form at the end of this questionnaire, which you are welcome to complete. Dialshifter statements will go live when the new site is launched.

Select all of the following that apply to your fund and can be evidenced in writing by marking with an ‘x’.

**Definitions / Key:**

* *Policy* = the fund has a written policy proving this issue is considered as part of the sustainable investment selection process
* *Theme* = this issue is a core strand of the fund strategy
* *Focus* = this is what the fund primarily concentrates on
* Amended filter option
* New filter option (added in 2023) – explanatory text not added yet.

|  |
| --- |
| **Fund specific issues, aims and approaches**Please only tick filter options that you can evidence on request |
| **SUSTAINABILITY & ENVIRONMENTAL** |
| **SUSTAINABILITY** |
| **SUSTAINABILITY** | **X** | **CLIMATE CHANGE & ENERGY** | **X** |
| Sustainability policy |  | Climate change / greenhouse gas emissions policy |  |
| Environmental policy |  | **\***Coal, oil &/or gas majors excluded |  |
| Sustainability Focus |  | **\***Fracking & tar sands excluded |  |
| Report against sustainability objectives |  | **\***Arctic drilling exclusion |  |
| Limits exposure to carbon intensive industries |  | Fossil fuels exclusion policy |  |
| Environmental damage and pollution policy |  | Clean / renewable energy theme or focus |  |
| Resource efficiency policy or theme |  | Encourage transition to low carbon through stewardship activity |  |
| Favours cleaner, greener companies |  | TCFD reporting requirement  |  |
| **\***Sustainability theme or focus |  | Require net zero action plan from all/most companies |  |
| Sustainable transport policy or theme |  | Energy efficiency theme |  |
| Encourage more sustainable practices through stewardship |  | Invests in clean energy / renewables |  |
| UN Global Compact linked exclusion policy |  | Nuclear exclusion policy |  |
| UN Sustainable Development Goals (SDG) focus |  | Supply chain decarbonisation policy |  |
| Circular economy theme |  | Hydrogen policy or theme  |  |
| Transition focus  |  | Green/sustainable property strategy |  |
| Waste management policy or theme |  | Fossil fuel exploration exclusion - direct involvement (note - typically fossil fuel companies) |  |
| E-waste policy |  | Fossil fuel exploration exclusion – indirect involvement (note - typically financial services) |  |
|  |  |  |  |
| **NATURE & BIODIVERSITY** | **X** | **TARGETED POSITIVE INVESTMENTS** | **X** |
| Biodiversity/nature policy  |  | Invests > 5% in sustainable bonds  |  |
| Nature / biodiversity based solutions theme  |  | Invests > 5% in transition bonds  |  |
| Nature / biodiversity focus  |  | Invests > 5% in the blue economy  |  |
| **\***Deforestation / palm oil policy |  | Invests >5% in green bonds |  |
| Unsustainable / illegal deforestation exclusion policy |  | Invests >50% in green bonds |  |
| Responsible Palm Oil policy |  | Invests >25% of fund in environmental/social solutions companies |  |
| Blue economy theme or focus |  | Invests >50% of fund in environmental/social solutions companies |  |
| Sustainable fisheries policy |  | EU Sustainable Finance Taxonomy holdings 5-25% of fund assets |  |
| Plastics policy / reviewing plastics |  | EU Sustainable Finance Taxonomy holdings >25% of fund assets |  |
| Avoids genetically modified seeds/crop production |  |  |  |
| Genetic engineering exclusion (note - general policy all/any areas) |  |  |  |
| Nature/Biodiversity protection policy |  |  |  |
| Water stewardship policy |  |  |  |
|  |  |  |  |
| **SOCIAL & ETHICAL** |
| **HUMAN RIGHTS** | **X** | **SOCIAL / EMPLOYMENT** | **X** |
| Human Rights Policy |  | Social policy |  |
| Child labour exclusion |  | Labour standards policy |  |
| Oppressive Regimes (not free or democratic) exclusion policy  |  | Favours companies with strong social policies  |  |
| Responsible supply chain policy or theme  |  | Fast fashion exclusion |  |
| Indigenous Peoples’ policy |  | Health & wellbeing policies or theme |  |
| Modern Slavery exclusion policy |  | Diversity, Equality & Inclusion Policy (fund level)  |  |
| LGBTQ+ policy |  | Responsible mining policy |  |
|  |  | Mining exclusion  |  |
|  |  | Vulnerable/gig workers protection policy  |  |
| **ETHICAL VALUES LED EXCLUSIONS** | **X** | **MEETING PEOPLES’ BASIC NEEDS** | **X** |
| Ethical policies |  | Water / sanitation policy or theme |  |
| **\***Tobacco production avoided |  | Demographic /ageing population theme  |  |
| **\***Armaments manufacturers avoided |  | Invests in social property (freehold) |  |
| Civilian firearms production excluded |  | Invests >5% in social housing |  |
| Alcohol production excluded |  | Invests > 5% in social bonds |  |
| Gambling avoidance policy  |  | Invests >50% in social bonds  |  |
| Pornography avoidance policy |  | Invests >50% in social housing  |  |
| Exclude some gilts / government bonds |  | Green infrastructure focus |  |
| Exclude all gilts/government bonds |  | Plant based / smart food production theme |  |
| Animal welfare policy |  | Responsible food production or agriculture theme |  |
| Animal testing exclusion policy |  | Healthcare / medical theme |  |
| Animal testing - excluded except if for medical purposes |  | Antimicrobial resistance policy |  |
|  |  |  |  |
| **GOVERNANCE & FINANCIALS** |
| **BANKING & FINANCIALS** | **X** | **GOVERNANCE & MANAGEMENT** | **X** |
| Banking exclusion  |  | Governance policy |  |
| Exclude banks with significant fossil fuel investments |  | UN Sanctions exclusion  |  |
| Only invest in TCFD aligned banks / financial institutions |  | Avoids companies with poor governance |  |
| Financial institutions exclusion |  | Anti-bribery and corruption policy |  |
| Predatory lending exclusion |  | Digital/cyber security policy |  |
| Exclude banks that finance fossil fuels extraction |  | Encourage board diversity e.g., gender |  |
|  |  | Encourage TCFD alignment for banks & insurance companies |  |
|  |  | Encourage higher ESG standards through stewardship activity |  |
|  |  | Require investee companies to report climate risk in Report and Accounts |  |
|  |  |  |  |
| **FUND GOVERNANCE** | **X** | **ASSEST SIZE & METRICS** | **X** |
| Employ external (fund) oversight or advisory committee |  | **\***Holds over 50% small/mid cap companies |  |
| External (fund) committee has veto powers |  | **\***Holds over 50% large cap companies |  |
| ESG integration strategy |  | Invests in small, mid and large cap companies |  |
| ESG factors included in Assessment of Value (AoV) report |  | Invests mostly in large cap companies |  |
|  |  | Paris aligned fund strategy  |  |
|  |  | Invest in supranationals  |  |
|  |  |  |  |
| **METHODS & INTENTIONS / AIMS** |
| **HOW THE FUND WORKS** | **X** | **IMPACT METHODOLOGIES** | **X** |
| Positive selection bias |  | **\***Aims to generate positive impacts (or 'outcomes') |  |
| Negative selection bias |  | Measures positive impacts |  |
| Strictly screened ethical fund |  | Described as an ‘impact investment fund’ |  |
| Limited / few ethical exclusions |  | Positive environmental impact theme |  |
| Selection criteria/strategy may alter in adverse markets |  | Positive social impact theme |  |
| Single resource theme or focus |  | **\***Invests in environmental solutions companies |  |
| ESG weighted / tilt  |  | Invests in social solutions companies |  |
| Data led strategy |  | Invests in sustainability/ESG disruptors |  |
| Passive / index driven strategy |  | Aim to deliver positive impacts through engagement |  |
| Significant harm exclusion  |  | Over 50% in assets provide environmental or social ‘solutions’ (note - 50% of fund AUM is assets that derive >25% of turnover from E&S solutions) |  |
| Assets mapped to SDGs |  |  |  |
| Combines norms-based exclusions with other SRI criteria |  | **INTENDED CLIENTS & PRODUCT OPTIONS** | **X** |
| Combines ESG strategy with other SRI criteria |  | Intended for investors interested in ESG / sustainability |  |
| Balances company 'pros and cons'/best in sector |  | Intended for clients who want to have a positive impact |  |
| Norms focus |  | Intended for vegetarians and / or vegans |  |
| Focus on ESG risk mitigation |  | Faith friendly |  |
| SRI/ESG/Ethical policies explained on website  |  | Available via an ISA (OIEC only) |  |
| All assets (except cash) meet published sustainability criteria |  | Portfolio SRI / ESG options available (DFMs)  |  |
| Fund uses unscreened ‘diversifiers’ to help manage risk  |  | Multiple SRI / ESG portfolio options available (DFMs)  |  |
| Different risk options of this strategy are available |  | Bespoke SRI/ ESG portfolios available (DFMs) |  |
| Participated in sustainability solutions IPOs or new issuances recently |  |  |  |
| Converted from ‘non ESG’ strategy |  | **LABELS & ACCREDITATIONS** | **X** |
|  |  | RSMR Rated (OIEC funds only) |  |
|  |  | Eurosif transparency |  |
|  |  | SFDR Article 8 fund / product (EU) |  |
|  |  | SFDR Article 9 fund / product (EU) |  |

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| **Asset Management company wide stewardship features** **(separate area on front end)**in house strategies, engagement, responsible ownership and affiliations (fund management company – not fund specific).Please only tick fields that can be evidenced on request.**You only need to complete this section once if you are sending details of more than one fund.** |
| **RESPONSIBLE OWNERSHIP: WHO?** |
| **ABOUT THE BUSINESS** | **X** | **COLLABORATIONS & AFFILIATIONS** | **X** |
| Boutique/specialist fund manager |  | PRI Signatory |  |
| Specialist positive impact fund management company  |  | UKSIF member |  |
| **\***Responsible ownership / stewardship policy (AFM Company Wide) |  | **\***Climate Action 100+ or IIGCC member |  |
| ESG/SRI engagement (AFM Company Wide) |  | Fund EcoMarket partner |  |
| **\***Vote all shares at AGMs/EGMs (AFM Company Wide) |  | UN Net Zero Asset Owners/Members Alliance member |  |
| Responsible Ownership/ESG a key differentiator (AFM Company Wide) |  | GFANZ member (AFM company) |  |
| Sustainable property strategy (AFM Company Wide) |  | UN Net Zero Banking Alliance member (AFM company) |  |
| Senior management KPIs include environmental goals (AFM company wide) |  | UN Principles of Responsible Banking framework signatory (AFM company) |  |
| SDG aligned aims/objectives (AFM company wide) |  | TNFD forum member (AFM company) |  |
| Responsible Ownership policy for non SRI funds (AFM Company Wide) |  | Investment Association (IA) member  |  |
| Integrates ESG factors into all/most fund research (AFM company wide) |  |  |  |
| Inhouse diversity improvement programme (AFM Company Wide) |  | **RESOURCES** | **X** |
| Diversity, Equality & Inclusion engagement policy (eg. Gender) (AFM Company wide)  |  | In house responsible ownership/voting expertise |  |
| Vulnerable client policy on website (AFM company wide) |  | Employ specialist ESG/SRI/sustainability researchers |  |
| Just Transition policy on website (AFM company wide) |  | Use specialist ESG/SRI/sustainability research companies |  |
| Invests in newly listed companies (AFM company) |  | ESG specialists on all investment desks |  |
| Invests in new sustainability linked bond issuances (AFM company) |  |  |  |
| Offer structured intermediary training on sustainable investment (AFM) |  | **ACCREDITATIONS** | **X** |
| Offer unstructured intermediary training on sustainable investment (AFM) |  | B Corp certified (AFM company wide) |  |
|  |  | PRI A+ rated (AFM Company Wide) |  |
|  |  | UK Stewardship Code signatory (AFM Company Wide) |  |
| **RESPONSIBLE OWNERSHIP: WHAT & HOW?** |
| **ENGAGEMENT APPROACH** (NB must be within the last 12 months) | **X** | **CLIMATE & NET ZERO TRANSITION** | **X** |
| Regularly lead collaborative ESG initiatives  |  | ‘Net Zero’ Commitment (AFM Company Wide) |  |
| Engage to encourage responsible corporate taxation  |  | Voting policy includes net zero targets (AFM company wide) |  |
| Engaging on climate change issues (activity must be current, significant, not incidental, aiming to raise standards - and reported on externally - for all of the options below that you select) |  | Publish 'CEO owned' Climate Risk policy (AFM Company Wide) |  |
| Engaging with fossil fuel companies on climate change  |  | Net Zero - have set a Net Zero target date (AFM company wide) |  |
| Engaging to reduce plastics pollution/ waste |  | **\***Encourage carbon / greenhouse gas reduction (AFM Company Wide) |  |
| Engaging to encourage responsible mining practices |  | Carbon transition plan published (AFM Company Wide) |  |
| Engaging on biodiversity / nature issues |  | ‘Forward Looking Climate Metrics’ published / ITR (AFM Company Wide) |  |
| Engaging to encourage a Just Transition |  | Carbon offsetting – offset carbon as part of our net zero plan (AFM company wide) |  |
| Engaging on human rights issues |  | Carbon offsetting – do NOT offset carbon as part of our net zero plan (AFM company wide) |  |
| Engaging on labour / employment issues |  | In house carbon/GHG reduction policy (AFM Company Wide) |  |
| Engaging on diversity, equality and/or inclusion issues |  | Working towards a ‘Net Zero’ commitment (AFM Company Wide) |  |
| Engaging on governance issues |  | Committed to SBTi / Science Based Targets Initiative |  |
| Engaging on mental health issues  |  |  |  |
| Engaging on responsible supply chain issues  |  |  |  |
|  |  |  |  |
| **COMPANY WIDE EXCLUSIONS** | **X** | **TRANSPARENCY** | **X** |
| Controversial weapons avoidance policy (AFM company wide) |  | Publish Responsible Ownership/Stewardship report (AFM Company Wide) |  |
| Tobacco avoidance policy (AFM company wide) |  | Full SRI policy information on company website |  |
| Fossil fuel exclusion policy (AFM company wide) |  | Full SRI policy information available on request |  |
| Review(ing) carbon/fossil fuel exposure for all funds (AFM Company Wide) |  | **\***Publish full voting record (AFM Company Wide) |  |
| Coal divestment policy (AFM company wide)  |  | Sustainability transition plan publicly available (AFM company wide)  |  |
| Coal exclusion policy (have group wide coal mining exclusion policy) (AFM company wide)  |  | Paris Alignment plan publicly available (AFM company wide  |  |
| Do not invest in companies with fossil fuel reserves (AFM company wide exclusion) |  | Net Zero transition plan publicly available (AFM company wide) |  |

The information on Fund EcoMarket is input by humans, not robots!

If you have any queries or comments you can use the box below to let us know.

Su (funds@sriServices.co.uk) or Julia (julia@sriServices.co.uk) will reply.

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**END of main Fund EcoMarket database questionnaire**

**ADDITIONAL INFORMATION**

**\*\*\***

**Dialshifter® Initiative**

If you have selected all or most of the fields marked with a ‘**\***’ and would like your fund/s to be considered for Dialshifter status (with no obligation at this stage) please also supply text completing the following sentences:

This text will be displayed on our website soon (existing statements are currently stored on the back end and will be shown when our new site is live.)

|  |
| --- |
| **Dialshifter statement – maximum 100 words.** This fund is helping to ‘shift the dial from brown to green’ by… |
| **…** |
| **Corporate Paris Agreement/ Net Zero statement – maximum 100 words.**Our organisation is helping to support the Paris Climate Agreement and the Race to Net Zero by… |
| … |

The aim of Dialshifter® is to raise the profile of those who are helping to ‘shift the dial’ – and helping intermediaries to identify funds that are focused on encouraging real world progress towards sustainability goals.  The Dialshifter® badge will be available for use soon.

**\*\*\***

**END of questionnaire**

**Filter options - explanatory (hover over) text**

|  |
| --- |
| **FUND SPECIFIC ISSUES, AIMS & APPROACHES**  |
| **SUSTAINABILITY & ENVIRONMENTAL** |
| **SUSTAINABILITY** |
| **Sustainability policy** Funds that have policies that consider (environmental and social) sustainability issues. Strategies vary but are likely to consider environmental issues like climate change, carbon emissions, biodiversity loss, resource management, environmental impacts; and social issues like equal opportunities, human rights, labour standards, diversity and adherence to internationally recognised codes. See fund information for further information.  |
| **Environmental policy** Funds that have policies which relate to environmental issues. These will typically set out the fund's stance on issues such as pollution, climate change, resource management, biodiversity loss, carbon emissions, plastics and/or additional environmental impacts. Strategies vary. See fund information for further information.  |
| **Limits exposure to carbon intensive industries** Funds that limit or 'reduce' their exposure to carbon intensive industries (ie sectors which are major contributors to climate change. Funds vary - some funds may be 'underweight' in this area which means they may have some investment in highly carbon intensive areas. Funds of this kind may choose companies they consider to be 'best in sector' and encourage ever higher standards. Strategies vary. See fund information for further details.  |
| **Environmental damage and pollution policy** Funds that have written policies explaining the approach they take when companies damage the environment or are significant polluters. Funds of this kind may work with companies to encourage higher standards, or exclude companies - sometimes dependent on the situation. Strategies vary. See fund information for further detail.  |
| **Favours cleaner, greener companies** Funds that aim to invest in companies with strong or market leading environmental policies and practices. Strategies vary - in particular the balance between 'financial' aspects and environmental benefits. Some may invest substantially in solutions or 'positive impact' companies - others may invest in more conventional companies providing certain environmental criteria are met. See fund information for further detail.  |
| **Sustainable transport policy or theme** Find funds that have documented policies or thematic investment approaches relating to investment in more sustainable, greener transport methods. These will typically set out a preference for companies that run, enable or support more sustainable methods of transport. See fund information for further detail.  |
| **Resource efficiency policy or theme** Find funds that have a policy or theme that relates to managing natural resources more efficiently. Funds with this policy will be likely to favour companies that make (or enable the) more efficient use of resources - and either avoid or encourage change amongst companies with lower standards. Strategies vary. See fund information for further detail.  |
| **Sustainability theme or focus** Find funds where there is a significant emphasis on (environmental and social) sustainability. Funds with a 'sustainability theme' typically place more emphasis on the area than funds with a 'sustainability policy' - meaning that it is more likely to drive investment selection. Strategies vary. See fund information for further detail.  |
| **UN Global Compact linked exclusion policy** Find funds that use the UN Global Compact to inform or help direct where they can or cannot invest and will typically not invest in companies with significant breaches (low standards) - although strategies vary. (The UNGC covers a wide range of issues - search 'UNGC').  |
| **Sustainability focus** Find funds which substantially focus on sustainability issues  |
| **UN Sustainable Development Goals (SDG) focus** Find funds that specifically aim to invest (and manage assets) in ways that help to address all or some of the SDGs.  |
| **Report against sustainability objectives** Find funds that publicly report their performance against specifically named sustainability objectives (in addition to reporting their financial performance)  |
| **Encourage more sustainable practices through stewardship** A core element of these funds aim to encourage higher sustainability standards across business practices through responsible ownership / stewardship / engagement / voting activity  |
| **CLIMATE CHANGE & ENERGY** |
| **Energy efficiency theme** Fund funds that have an energy efficiency theme - typically meaning that a fund manager is focused on investing in organisations that manage - or help others to manage - energy use more carefully and less wastefully - and so reduce greenhouse gas emissions.  |
| **Require net zero action plan from all/most companies** Find funds that require all, or almost all, of the companies it invests in to have a ‘net zero action plan’ - meaning that the companies they invest in have worked out how they will, over time, reduce their total carbon (and other greenhouse gas) emissions to nil.  |
| **Waste Management policy or theme** Find funds that have a written policy or theme on waste management - typically a view to encouraging higher levels of recycling and better efficiency / reducing waste.  |
| **Nuclear exclusion policy** Find funds that have policies which say they avoid or limit their investment in the nuclear industry. Strategies vary. See fund information for further detail.  |
| **Clean / renewable energy theme or focus** Find funds where investment in clean / renewable energy companies and other assets is central to their investment selection strategy. The proportion of the fund that is directly or indirectly invested in renewable energy varies between funds and over time. See fund information for further details.  |
| **TCFD reporting requirement** Will only invest in companies that report greenhouse gas emissions reduction strategies in line with the framework set out the by the Taskforce for Climate Related Financial Disclosure, which is increasingly becoming mandatory.  |
| **Encourage transition to low carbon through stewardship activity** A core element of these funds will aim to encourage the transition to lower carbon activities through responsible ownership / stewardship / engagement / voting activity  |
| **Invests in clean energy/renewables** Funds that hold companies in the clean energy and renewable energy sectors (at the time research was supplied). Fund strategies vary, in particular the proportion of investment in these areas may vary significantly. Check fund literature for details.  |
| **Fossil fuel reserves exclusion** Funds that avoid investing in companies with coal, oil and gas reserves. See fund information for further details.  |
| **Arctic drilling exclusion** Funds that avoid companies that are involved in extracting oil from the Arctic regions. See fund literature for further details.  |
| **Fracking and tar sands excluded** Funds that avoid companies involved in fracking and tar sands - which are widely regarded as controversial methods of oil and gas extraction. Strategies vary. See fund information for further information.  |
| **Coal, oil &/or gas majors excluded** Funds that avoid investing in major coal, oil and/or gas (extraction) companies. Funds vary: some may exclude all companies that extract oil. Others may have exposure to oil extraction via more diversified energy companies. See fund literature to confirm details.  |
| **Climate change / greenhouse gas emissions policy** Funds that have policies (documented strategies that explain their position on) climate change related issues such as greenhouse gas/carbon emissions, net zero, transitioning to lower carbon. Strategies vary. Read fund details for further information.  |
| **UN sanctions exclusion** Exclude companies that are subject to United Nations sanctions.  |
| **Encourage higher ESG standards through stewardship activity** A core element of these funds will aim to encourage higher ESG standards through responsible ownership / stewardship / engagement /voting activity  |
| **NATURE & BIODIVERSITY** |
| **Plastics policy / reviewing plastics** Funds that are reviewing or encouraging companies to manage down the overuse of plastics (particularly single use, non-recyclable plastics). These funds will typically aim to encourage the use of alternative materials, but are unlikely to exclude companies purely on the basis of their use of plastics. Strategies vary. See fund information for further detail.  |
| **Deforestation / palm oil policy** Find funds that have policies in place designed to ensure they do not invest in companies that are significantly involved in deforestation. This typically relates to palm oil plantations where biodiversity loss is a major concern (as well as other issues). Strategies vary. See fund information for further detail.  |
| **Unsustainable / illegal deforestation exclusion policy** Find funds that have policies in place explaining that they avoid companies involved in illegal and/or unsustainable deforestation. This may relate to palm oil, cattle farming or other concerns. Strategies vary. See fund information for further detail.  |
| **Avoids genetically modified seeds/crop production** Find funds that aim to avoid investing in companies that produce genetically modified seeds or crops. (This does not typically include avoiding companies such as supermarkets). See fund literature for further information.  |
| **Biodiversity Policy** Find funds that have a written biodiversity policy or theme aimed at encouraging and improving environmental protection and safeguarding the natural world (sometimes referred to as the preservation or enhancement of 'natural capital').  |
| **Blue economy theme or focus** A significant focus on the investments that aim to take better care of the marine environment - both for wildlife and the people whose livelihoods directly depend on it.  |
| **Nature based solutions theme or focus** A significant focus on investments that aim to protect, improve and, or restore natural habitat.  |
| **Alcohol production excluded** Find funds that avoid investment in companies involved in the production of alcohol. Strategies vary; some funds allow a small proportion of profits to come from this area. See fund literature for further information.  |
| **Pornography avoidance policy** Find funds that avoid companies that derive significant income from pornography and related areas. Strategies vary. See fund details for further information.  |
| **Gilts/government bonds - exclude all** Find funds that do not invest in, or exclude, gilts and/or government bonds.  |
| **Gilts / government bonds - exclude some** Find funds that avoid investing in 'some' gilts or government bonds. Strategies vary, but this may relate to avoiding specific countries or particular reasons for bond issuance. 'Green gilts' for example would be likely to be acceptable. See fund literature for further information.  |
| **Civilian firearms production exclusion** Find funds with a written civilian firearms exclusion policy - meaning that they will not invest in companies that make (or perhaps also sell) handguns made for non-military users.  |
| **TARGETED POSITIVE INVESTMENTS** |
| **Invests > 50% in green bonds** Find funds that invest more than 50% in green bonds (also known as climate bonds) which encourage sustainability and support climate related or special environmental projects. Please check fund literature for specific % of assets invested in this area.  |
| **Invests >5% in sustainable bonds** Invests in loan stock that is exclusively used to finance environmental and social projects. See ICMA Sustainable Bond Guidelines.  |
| **Invests >5% in green bonds** Find funds that invest in green bonds (also known as climate bonds) which encourage sustainability and support climate related or special environmental projects. Please check fund literature for specific % of assets invested in this area.  |
| **Invest >5% in transition bonds** Invests in loan stock that is supporting or enabling the shift towards a cleaner, more sustainable future. Strategies vary significantly and may or may not be linked to specific outcomes.  |
| **Invests >50% of fund in environmental/social solutions companies** Find funds that invest >50% of their capital in companies where a major part of their business is focused on helping to address environmental or social challenges.  |
| **Invests >25% of fund in environmental/social solutions companies** Find funds that invest >25% of their capital towards companies where a major part of their business is focused on helping to address environmental or social challenges.  |
| **Invests >5% in the blue economy** Invests in assets that focus on improving the marine environment - for both wildlife and the people whose livelihoods directly depend on it.  |
| **EU Sustainable Finance Taxonomy holdings >25% of assets** Find funds that have calculated the proportion of fund asset that meet the new EU Taxonomy requirements and that they total over 25% of fund assets. This will typically require adding up the proportion of each individual company's activity that is regarded as 'green' so that the fund manager can produce an overall total for the whole fund / portfolio.  |
| **EU Sustainable Finance Taxonomy holdings 5-25% of assets** Find funds that have calculated the proportion of fund asset that meet the new EU Taxonomy requirements and that they total 5-25% of assets. This will typically require adding up the proportion of each individual company's activity that is regarded as 'green' so that the fund manager can produce an overall total for the whole fund / portfolio.  |
| **SOCIAL & ETHICAL** |
| **HUMAN RIGHTS** |
| **Human rights policy** Find funds that have policies relating to human rights issues. Funds of this kind typically require companies to demonstrate higher standards, although some fund managers work to encourage improvements. Investee companies are often judged against internationally agreed norms or standards. Strategies vary. See fund information for further detail. |
| **Child labour exclusion** Find funds that have policies in place to ensure they do not invest in companies that employ children. |
| **Responsible supply chain policy or theme** Find funds that have policies or a theme that relates to the responsible management of supply chains. These may relate to employment issues, notably people employed by their suppliers, as well as the sourcing of materials and products. See fund literature for further information. |
| **Oppressive regimes (not free or democratic) exclusion policy** Find funds with policies that exclude companies or other assets where regimes are not democratic, or where people may be oppressed. May use eg. Freedom House research. Strategies vary. See fund literature for further information. |
| **SOCIAL & EMPLOYMENT** |
| **Social policy** Find funds that have policies which set out their approach to social issues (e.g., human rights, labour standards, equal opportunities, child labour and adherence to internationally recognised codes such as the UN Global Compact). Funds with social policies typically avoid companies with low standards or work to encourage higher standards. See fund information for detail. |
| **Health & wellbeing policies or theme** Find funds with policies or themes that set out their approach to health and wellbeing issues. Funds of this kind typically aim to invest in companies with high standards - or encourage high standards. Themed funds are likely to have more of an emphasis on this area. Strategies vary. See fund information for further detail. |
| **Diversity, Equality & Inclusion policy (fund level)** Find individual funds that have a written diversity / DEI policy - where the fund manager will aim to select companies with a carefully considered, sound approach to diversity. This should ideally cover a range of issues including gender, ethnicity, disability, beliefs, sexual orientation, etc. |
| **Labour standards policy** Find funds that have a labour standards policy - which can be expected to mean that the fund will invest in / favour companies that have higher standards in this area - although fund strategies can vary significantly (as with all policy areas). |
| **Fast fashion exclusion** Find funds that exclude companies involved in the ˜fast fashion” sector - these funds will typically be of the view that this area is unsustainable and prone to low environmental and social standards. |
| **Favours companies with strong social policies** Find funds that invest in line with positive strategies that relate to 'people' issues - such as having strong human rights, labour standards and equal opportunities practices. Such funds are likely to invest in companies that have market leading standards with regard to employee and supplier practices. Read fund literature for further information. |
| **MEETING PEOPLES’ BASIC NEEDS** |
| **Water / sanitation policy or theme** Find funds that have policies or themes that set out their position on investment in the water sector and/or sanitation. Strategies vary. See fund information for further detail.  |
| **Invests in social property (freehold)** Find funds that invest in social housing property freeholds. Strategies vary. See fund literature for further information.  |
| **Demographic / ageing population theme** Find funds with a thematic investment approach focusing on the ‘silver economy’ - in particular (typically) the issues and opportunities presented by changing demographics. This could include finance, healthcare and medicines and/ or longevity science to extend lifespans. Strategies vary. See fund literature for further information.  |
| **Antimicrobial resistance policy** Fund has a policy on ‘antimicrobial resistance’ - which is when organisms that cause infection can survive treatment - which is commonly associated with the overuse of antibiotics in factory farming and a threat to our health.  |
| **Invests >5% in social bonds** Find funds that invest in ‘social bonds’ which raise funds for the purpose of financing projects with positive social (people related) outcomes.  |
| **Invests > 50% in social bonds** Find funds that invests more than 50% in social bonds which raise funds for the purpose of financing projects with positive social (people related) outcomes.  |
| **Invests >5% in social housing** Find funds that have significant investment in social housing or similar assets.  |
| **Invests >50% in social housing** Find funds that invest more than 50% in social housing or similar assets.  |
| **ETHICAL VALUES LED EXCLUSIONS** |
| **Ethical policies** Find funds that have policies that set out their position on ethical or 'personal values' based issues. Strategies vary. See fund information for further detail. |
| **Animal welfare policy** Find funds with policies that require specific animal welfare standards to be met. These may reference well-known welfare standards (3Rs - Replace, Reduce, Refine) or certification schemes. Strategies vary. See fund information for further detail. |
| **Animal testing exclusion policy** Find funds that avoid companies that are involved in testing their products on animals. Precise application may vary. See fund literature for further information |
| **Animal testing - excluded except if for medical purposes** Find funds that avoid companies that test their products on animals for purposes other than medical benefit (e.g. for cosmetics). Strategies vary. See fund literature for further information |
| **Tobacco production avoided** Find fund options that exclude manufacturers of tobacco (or related) products. Strategies vary and funds may or may not invest in retailers of such products (e.g., supermarkets or hotels). See fund information for further detail. |
| **Armaments manufacturers avoided** Find funds that avoid companies that manufacture products intended specifically for military use. Fund strategies vary - particularly with regard to non-strategic military products. See fund literature for fund specific details. |
| **Gambling avoidance policy** Find funds that avoid companies with significant involvement in the gambling industry. Some funds may allow a small proportion of profits to come from this area. See fund policy for further details. |
| **Alcohol production excluded** Find funds that avoid investment in companies involved in the production of alcohol. Strategies vary; some funds allow a small proportion of profits to come from this area. See fund literature for further information. |
| **Pornography avoidance policy** Find funds that avoid companies that derive significant income from pornography and related areas. Strategies vary. See fund details for further information |
| **Gilts/government bonds - exclude all** Find funds that do not invest in, or exclude, gilts and/or government bonds. |
| **Gilts / government bonds - exclude some** Find funds that avoid investing in 'some' gilts or government bonds. Strategies vary, but this may relate to avoiding specific countries or particular reasons for bond issuance. 'Green gilts' for example would be likely to be acceptable. See fund literature for further information. |
| **Civilian firearms production exclusion** Find funds with a written civilian firearms exclusion policy - meaning that they will not invest in companies that make (or perhaps also sell) handguns made for non-military users. |
| **GOVERNANCE & FINANCIALS** |
| **BANKING & FINANCIALS** |
| **Only invest in TCFD aligned banks / financial institutions** Find fund managers that only invest in banks and other financial institutions that implement the Task Force on Climate Related Financial Disclosures recommendations on climate change related financial disclosures - which aim to help financial markets measure and respond to climate risk.  |
| **Predatory lending exclusion** Fund excludes financial services companies with widely criticised, aggressive lending practices where interest rates are typically very high, includes ‘doorstep lending’™)  |
| **Banking exclusion** Will not invest in any banks.  |
| **Exclude banks with significant fossil fuel investments** Will avoid banks that have a large part of their loan book (or other assets) invested in fossil fuels companies - particular coal, oil and gas.  |
| **Financial institutions exclusion** Exclude all companies in the banking, insurance, finance and related sectors.  |
| **GOVERNANCE & MANAGEMENT** |
| **Governance policy** Find fund options that have policies that relate to corporate governance issues such as board structure, executive remuneration, bribery and/or corporate corruption. These funds will typically avoid companies with poor practices. Strategies vary. See fund literature for further information. |
| **Avoids companies with poor governance** Find funds that aim to avoid investing in companies with poor governance practices. (e.g., board structure, management practices etc.) Views may however vary on what counts as 'poor' practices - and funds may not immediately divest as they may prefer to work to encourage higher standards. See fund literature for further information. |
| **Anti-bribery and corruption policy** Find funds that have policies explaining when managers will avoid investing in companies that do not comply with relevant anti-bribery and anti-corruption standards or laws. Strategies vary; the point at which investors may divest can vary. See fund literature for further information. |
| **Digital/cyber security policy** Find funds that have policies explaining how the fund managers take into account digital/cyber security related risks. Funds with cyber policies will typically favour companies with higher standards or that are helping to solve problems - but strategies vary. See fund literature for further information. |
| **Encourage board diversity e.g., gender** Fund managers encourage the companies they invest in to have more diverse board structures (e.g. more women on boards) |
| **Encourage TCFD alignment for banks & insurance companies** Find fund managers that encourage the banks and insurance companies they invest in to publish climate change related financial information - as set out by the Task Force on Climate Related Financial Disclosures (with the aim of helping investors measure and respond to climate risk). |
| **UN sanctions exclusion** Exclude companies that are subject to United Nations sanctions. |
| **Encourage higher ESG standards through stewardship activity** A core element of these funds will aim to encourage higher ESG standards through responsible ownership / stewardship / engagement /voting activity |
| **FUND GOVERNANCE** |
| **ESG integration strategy** Find funds that factor in 'environmental, social and governance' issues as part of their investment decision making process. A focus on 'ESG' typically means a fund is carrying out additional research to help reduce ESG related risks. Strategies vary. See fund literature for further information.  |
| **ESG factors included in Assessment of Value (AoV) report** Environmental, social and governance issues are part of this fund’s reporting of their ‘value’ to clients. AoV reporting is a statutory requirement. Including ESG factors in its calculation is not.  |
| **Employ external (fund) oversight or advisory committee** Find funds that have an external committee that helps steer or advise fund managers on SRI policy or strategy related issues. These people may be paid for their time but are not employees of the fund manager.  |
| **External (fund) committee has veto powers** Find funds that employ an external committee (i.e., not company employees) that has power to veto (i.e. overrule) fund managers stock selection decisions. (This would typically mean the committee can tell the manager of this particular fund not to buy / sell a specific investment when they consider it appropriate to do so.)  |
| **ASSET SIZE & METRICS**  |
| **Paris aligned fund strategy** This fund has a strategy that means it aims to invest in a way that means its holdings will gradually reduce their greenhouse gas emissions as set out at COP21 in Paris. The eventual aim is to achieve ‘net zero by 2050’ and a ˜maximum global temperature increase of +1.5 to +2 degrees above preindustrial levels”.  |
| **Over 50% small/mid cap companies** Find funds where more than half of the funds' assets are invested in smaller or medium sized companies (i.e. below around Â£5 -10 billion).  |
| **Over 50% large cap companies** Find funds that invests more than half of their money into what are commonly regarded as 'large companies'. This will typically mean that the market capitalisation (or value) of the companies they hold is in excess of ~£5 to ~£10 billion.  |
| **Invests in small, mid and large cap companies** Find a fund that invests in a combination of small, medium and larger (potentially multinational)companies.  |
| **Invests mostly in large cap companies** Find funds that have SRI strategies and focus their investment stock selection on larger companies. (e.g. over circa Â£5-Â£10bn)  |
| **METHODS, AIMS & INTENTIONS** |
| **HOW THE FUND WORKS** |
| **Single resource theme or focus** Single resource themed funds focus their investment strategy on a single natural 'resource' e.g., water. See fund information for further detail.  |
| **Balances company 'pros and cons'/best in sector** Find funds that consider both the 'positive' and 'negative' aspects of company behaviour and make balanced, considered decisions as part of their investment approach. May apply to a range of different issues and policy areas.  |
| **Strictly screened ethical fund** Find funds where their main approach is to apply positive or negative ethical, social and / or environmental screens. Strictly screened funds are likely to exclude more companies than other related fund options. See fund literature for further information.  |
| **Limited/few ethical exclusions\*** Find funds with few exclusions - typically for example exclude tobacco or companies that breach commonly adopted standards or norms such as the UN Global Compact.  |
| **Positive selection bias** Find funds that focus on finding and investing in companies with positive / beneficial attributes. This strategy can be applied in addition to exclusion criteria and engagement/stewardship activity.  |
| **Negative selection bias** Find funds where their main 'ethical approach' is to avoid companies by using negative screening criteria. Read fund literature for further information.  |
| **Norms focus** Find funds that use internationally agreed standards, conventions and 'norms' to help direct where the fund can and cannot invest (e.g., the UN Global Compact, UN Sustainable Development Goals). Read fund literature for further information.  |
| **Combines norms based exclusions with other SRI criteria** Find funds that make significant use of internationally agreed 'norms' (e.g. United Nations Global Compact - UNGC - or the UN Sustainable Development Goals - SDGs) as part of their investment selection process alongside additional SRI criteria such as positive or negative stock selection policies and/or stewardship strategies.  |
| **Combines ESG strategy with other SRI criteria** Find funds that have an ESG strategy (which is typically focused on avoiding companies that pose environmental, social or governance related risks) with additional criteria such as positive and/or negative screens, themes and stewardship strategies.  |
| **ESG weighted / tilt** Find funds that invest more heavily in those that have higher ESG ratings/standards or scores and less heavily in companies with lower ESG ratings. Where this is central to a fund's strategy you should expect it to invest in most sectors. Strategies vary.  |
| **Passive / index driven strategy** Find funds that use an investment index to direct where they can invest. Fund strategies and indices vary. See fund details and index used.  |
| **Data led strategy** Find funds that make stock selection (and ongoing fund management) decisions based on ESG data or company ratings (normally supplied by third parties) rather than focusing on what individual companies do, how they operate or their plans for the future  |
| **Focus on ESG risk mitigation** A major focus of these funds is the careful management of environmental, social and governance (ESG) related risks - typically by avoiding or being underweight in companies seen as posing major risks in these areas (i.e. not necessarily by using themes, exclusions etc).  |
| **Selection criteria/strategy may alter in adverse markets** Finds funds that may alter/soften or move away from their regular ESG/sustainability/ethical investment selection criteria when investment market conditions become difficult  |
| **Significant Harm exclusion** Aims to avoid companies that do significant harm. This originates from the EU’s sustainable finance ‘DNSH’ (do no significant harm) work, which is not necessarily used by UK investors.  |
| **SRI/ESG/Ethical policies explained on website** Find funds that have published explanations of their ethical, social and/or environmental policies online (i.e. fund decision making strategies/ buy/sell &/or asset management strategies).  |
| **Assets mapped to SDGs** Find funds that have 'mapped' (reviewed) their investment selection and management strategies to identify which of the UN Sustainable Development Goals (SDGs) the fund is helping to address.  |
| **Converted from ‘non ESG’ strategy** This fund has recently changed its mandate. It was previously not an ESG/sustainable fund. The information published here shows the upgraded fund strategy.  |
| **IMPACT METHODOLOGIES** |
| **Aims to generate positive impacts (or 'outcomes')** Funds that aim to help or support the delivery of positive social or environmental impacts (or societal/real world outcomes) by investing in companies they regard as beneficial to people and / or the planet. Strategies vary. See fund literature for further information.  |
| **Measures positive impacts** Funds that aim to measure the positive real world environmental and / or social benefits that are associated with their investment strategy. Funds that aim to deliver positive impacts and measure those impacts may be referred to as 'impact funds' - although impact measurement is not restricted to impact funds. Strategies vary. See fund information.  |
| **Positive environmental impact theme** Find funds that specifically set out to help deliver positive environmental impacts, benefits or 'real world' outcomes.  |
| **Positive social impact theme** Find funds that specifically state that they aim to deliver positive social (i.e., people related) impacts and/or outcomes.  |
| **Invests in environmental solutions companies** Find funds that direct investment towards companies where a major part of their business is about solving environmental challenges. e.g., companies helping to address climate change.  |
| **Invests in social solutions companies** Find funds that invest in companies where a major part of their business is specifically aimed at helping to address social challenges. e.g., companies helping to address poverty.  |
| **Invests in sustainability/ESG disruptors** Find funds that specifically set out to invest in companies that are regarded as 'disrupting' existing business practices - typically through the development of innovative (sustainability aware) products and/or practices.  |
| **Described as an ‘impact investment fund’** Funds that are specifically marketed as â€˜Impact investments funds' will work to deliver both financial performance and specific, measurable positive, real world social and/or environmental benefits. Strategies vary.  |
| **LABELS & ACCREDITATIONS** |
| **RSMR Rated (OEIC funds only)** Find funds that are rated by research agency 'Rayner Spencer Mills Research' (awarded 'RSMR Rated' status). Read fund literature or contact RSMR for further information.  |
| **Eurosif Transparency** Find funds that meet the standards of the EUROSIF (European Sustainable and Responsible Investment association) Transparency Code. This means that they are a leading fund in terms of openness and transparency, publishing - for example - extensive information about where they invest and how they deal with companies.  |
| **SFDR Article 8 fund / product (EU)** Finds funds classified under Article 8 of the EU’s SFDR (Sustainable Finance Disclosure Requirements). Article 8 of the SFDR is a set of requirements that apply to financial products that 'promote' environmental or social characteristics with high governance also. These rules do not currently apply to UK funds so many managers may leave this field blank.  |
| **SFDR Article 9 fund / product (EU)** Finds funds classified under Article 9 of the EU’s SFDR (Sustainable Finance Disclosure Requirements). Article 9 of the SFDR applies to financial products that have sustainable investment 'objectives' - including emissions reduction objectives. (These may currently be referred to as 'impact' funds or aiming to deliver clear, specific positive outcomes.) These rules do not currently apply in the UK so fund managers may leave this field blank.  |
| **INTENDED CLIENTS & PRODUCT OPTIONS** |
| **Faith friendly** Find funds that have attributes that commonly suit the aims of investors of faith - although they may not be specifically marketed as being only for religious investors. Strategies vary (as do investor aims). Read fund literature for further information.  |
| **Intended for investors interested in ESG / sustainability** Finds funds designed to meet the needs of individual investors with an interest in sustainability, ESG, ethical or related issues. (We would expect almost all funds on this database to tick this box - however can be useful to confirm this for regulatory reasons).  |
| **Intended for vegetarians and vegans** Find funds that are specifically designed to be appropriate for vegetarians and vegans - be aware that strategies may vary  |
| **Intended for clients who want to have a positive impact** Finds funds designed to meet the needs of individual investors with an interest in ‘Impact investment funds’ which help or support the delivery of positive social or environmental impacts (or societal/real world outcomes) by investing in companies they regard as beneficial to people and / or the planet. Strategies vary. See fund literature for further information.  |
| **Available via an ISA (OEIC only)** Find funds that are available via a tax efficient ISA product wrapper.  |
| **Portfolio SRI / ESG options available (DFMs)** Only applicable for DFMs & portfolio providers. Finds those that offer an SRI / ESG portfolio option  |
| **Multiple SRI / ESG portfolio options available (DFMs)** Only applicable for DFMs & portfolio providers. Find service providers who offer multiple SRI / ESG portfolio options  |
| **Bespoke SRI/ ESG portfolios available (DFMs)** Only applicable for DFMs & portfolio providers. Find service providers who offer bespoke ('personalised') SRI / ESG portfolio options  |
|  |
| **Asset Management company wide stewardship feature** In house strategies, engagement, responsible ownership and affiliations (fund management company – not fund specific) |
| **RESPONSIBLE OWNERSHIP: WHO?** |
| **ABOUT THE BUSINESS** |
| **ESG/SRI engagement (AFM company wide)** Find fund management companies that actively encourage higher 'environmental, social and governance' and/or 'sustainable and responsible investment' practices across investee companies - typically where the aim is to encourage positive change that is aligned with the best interests of investors. Strategies vary. See additional information and options.  |
| **Responsible ownership / stewardship policy (AFM company wide)** Finds fund management companies that have 'responsible investment ownership' - also known as 'stewardship' policy - that covers all investments. Stewardship typically involves encouraging higher ESG standards through voting and dialogue.  |
| **Responsible Ownership policy for non SRI funds (AFM co. wide)** Find funds run by fund managers that apply Responsible Ownership or 'Stewardship' policies to all or most of their investment assets. This means active involvement (e.g. voting, dialogue) with the companies they invest in across funds (not normally limited to ethical or SRI options.) Read fund literature for further information.  |
| **Responsible Ownership/ESG a key differentiator (AFM co. wide)** Find fund managers that consider responsible ownership and ESG to be a key differentiator for their business.  |
| **Vote all\* shares at AGMs/EGMs (AFM company wide)** Find fund managers that vote all\* the shares they own at Annual General Meetings and Extraordinary General Meetings. A commitment to voting shares is a key indicator of 'responsible share ownership' demonstrating their support for or disagreement with management policy. (\*situations can legitimately, occasionally occur where voting proves impossible, but in principle all shares should be voted.)  |
| **Diversity, equality & inclusion engagement policy** Find fund management companies that encourage the companies they invest in to have strong diversity, race, gender and other equality policies across all assets held, not simply screened or themed SRI/ESG funds. (i.e., Asset Management company wide).  |
| **Sustainable property strategy (AFM company wide)** Find fund management companies that take sustainability criteria into account when selecting and/or managing all of their property / real estate investments.  |
| **Specialist SRI / positive impact fund management company** Find fund management companies that specialise in - or focus entirely on - investing in assets that are helping to deliver positive environmental and / or social impacts.  |
| **Boutique/specialist fund management company** Find fund management companies that are smaller or specialise in particular areas - notably, ideally ESG related. Strategies vary.  |
| **Integrates ESG factors into all/most fund research** Find fund management companies that consider environmental, social and governance (ESG) issues when deciding whether or not to invest in a company for all / almost all of their funds and other assets. This is increasingly seen as part of sound risk management.  |
| **SDG aligned aims/objectives (AFM company wide)** Find fund management companies that aim to align all their investments (across all funds) to help meet the aims of the UN Sustainable Development Goals.  |
| **Inhouse diversity improvement programme (AFM company wide)** Finds organisations / fund managers that have an in house (company wide) diversity improvement programme - meaning that they are working to ensure that within their own businesses they employ people from diverse backgrounds - often typically focused on ethnicity and/or sex.  |
| **Senior management KPIs include environmental goals (AFM co wide)** The leadership team of this asset manager have performance targets linked to environmental goals.  |
| **RESOURCES** |
| **In house responsible ownership/voting expertise** Find fund management companies that employ people to steer and support fund managers in voting shares at company AGM's and EGMs in ways that are consistent with encouraging higher ESG/sustainability standards.  |
| **Employ specialist ESG/SRI/sustainability researchers** Find a fund management company that directly employs specialist ESG/SRI/sustainability researchers or analysts. This allows asset managers to discuss environmental, social and governance risks and opportunities directly with companies.  |
| **Use specialist ESG/SRI/sustainability research companies** Find fund management companies that makes use of expert external research companies. This can help deliver specialist expertise and means resources are pooled with other investors.  |
| **ESG specialists on all investment desks (AFM company wide)** Finds organisations / fund managers that have one or more ESG/sustainability experts on all investment teams or 'desks' (all asset types)  |
| **COLLABORATIONS & AFFILIATIONS** |
| **PRI signatory** Find fund management companies that have signed up to the UN backed 'Principles of Responsible Investment'.  |
| **UKSIF member** Find fund management companies that are members of UKSIF - the UK Sustainable Investment and Finance association  |
| **Climate Action 100+ or IIGCC member** Find fund management companies that are members of these collaborative institutional investor led initiatives that aim to encourage companies to reduce carbon (and other greenhouse gas) emissions. This includes encouraging companies to transition to renewable energy, for example, by establishing 'net zero' plans.  |
| **Fund EcoMarket partner** Find fund management companies that have partnered with Fund EcoMarket - meaning that they are helping to improve access to information on sustainable and responsible investment by paying an annual fee to us which enables us to publish information for free. Partner funds are listed ahead of other funds and have their logos displayed.  |
| **UN Net Zero Asset Owners/Managers Alliance member** Finds organisations / fund managers that are members of the UN Net Zero Asset Owners Alliance or the Net Zero Asset Managers Alliance. This is an important new initiative aimed at investors playing their part in helping to drive down carbon and other greenhouse gas emissions.  |
| **GFANZ member (AFM company wide)** Glasgow Financial Alliance for Net Zero member. This coalition was set up at COP26 (2021) to bring together and encourage collaboration between financial institutions that are committed to decarbonising the economy.  |
| **UN Net Zero Banking Alliance member (AFM co. wide)** An industry led, UN convened group of banks that are committed to aligning their lending and investment portfolios to the achievement of net zero greenhouse gas emissions by 2050.  |
| **UN Principles of Responsible Banking framework signatory-co wide** This asset manager has signed up to the UNEP (United Nations Environment Program) program which aims to encourage more responsible banking practices - focused on environmental and social issues.  |
| **TNFD forum member (AFM company wide)** A member of the Taskforce for Nature Related Financial Disclosures group which aims to aid risk management and shift money towards nature-positive outcomes.  |
| **ACCREDITATIONS** |
| **UK Stewardship Code signatory (AFM company wide)** Find fund managers that are signatories to the FRC UK Stewardship Code, which sets out a framework for constructive investor / investee relations where fund managers are encouraged to behave like responsible, typically longer term 'company owners'.  |
| **PRI A+ rated (AFM company wide)** Finds organisations / fund managers that have an A+ PRI rating - meaning they are highly rated according to the 'Principles of Responsible Investment'  |
| **B Corp certified (AFM company wide)** Fund manager has achieved accreditation which requires them to articulate their purpose and have high environmental and social standards.  |
| **RESPONSIBLE OWNERSHIP: WHAT & HOW?** |
| **ENGAGEMENT APPROACH** |
| **Regularly lead collaborative ESG initiatives (AFM company wide)** Find fund management companies that regularly initiate or run industry wide (collaborative) investor projects aimed at raising environmental, social and governance standards amongst investee companies.  |
| **Encourage responsible corporate taxation (AFM company wide)** Find fund management companies that are working with the companies they invest in to encourage more responsible corporate taxation.  |
| **COMPANY WIDE EXCLUSIONS** |
| **Review(ing)carbon/fossil fuel exposure for all funds-AFM co wide** Find funds / fund managers that are reviewing, or have reviewed, their exposure to carbon intensive industries including (but not only) mining, oil and gas companies. (Typically with reference to climate change.)  |
| **Coal exclusion policy (group wide coal mining exclusion policy)** This asset manager excludes direct investment in the coal mining industry. Managers ability to do this may depend on the geographic regions in which they invest.  |
| **Coal divestment policy (AFM company wide)** This asset manager has a strategy in place that will lead them to exit direct investments in the coal mining industry. Managers ability to do this may depend on the geographic regions in which they invest.  |
| **Controversial weapons avoidance policy (AFM company wide)** Find fund management companies (not funds) that avoid investment in 'controversial weapons' across all of their funds and other investment vehicles.  |
| **Tobacco avoidance policy (AFM company wide)** Find fund management companies that avoid investment in tobacco (manufacturing) companies across all their assets.  |
| **Fossil fuel exclusion policy (AFM company wide)** Find fund management companies that avoid investment in fossil fuel companies (e.g. coal, oil and gas) across all of their funds. (and/ or other assets.)  |
| **CLIMATE & NET ZERO TRANSITION** |
| **Encourage carbon / greenhouse gas reduction (AFM company wide)** Find fund management companies that are working with the companies they invest in to encourage reductions in carbon dioxide and other greenhouse gas emissions.  |
| **Net Zero commitment (AFM company wide)** Fund management organisations that have pledged to reduce their greenhouse gas emissions to ‘net zero’. Strategies vary - this area is changing rapidly.  |
| **Working towards a ‘Net Zero’ commitment (AFM company wide)** Finds organisations / fund management companies that are in the process of working out how to make a ‘net zero commitment’ - meaning that when that is finalised they will have started the process of reducing their total greenhouse gas emissions to 'zero'.  |
| **Carbon transition plan published (AFM company wide)** Finds organisations / fund managers that have a company wide carbon transition plan - meaning that they have plotted a path to how they will move away from activities that produce or use carbon based energy sources (that emit greenhouse gases) towards clean, alternative, renewable energy sources.  |
| **‘Forward Looking Climate Metrics’ published / ITR (AFM co. wide)** Finds organisations / fund managers that have published ˜forward looking climate metrics” e.g. 'implied temperature rise' data that are a total of the asset management company's share (% owned) of all the investee company emissions of the assets they manage, as well as their own direct and other indirect emissions.  |
| **Carbon offsetting-as part of our net zero plan (AFM co. wide)** This asset management company plans to achieve net zero greenhouse gas (CO2e) emissions with the help of a scheme that will lock away an amount of carbon that is equivalent to the company’s own emissions â€“ so that the end result is ‘net zero’. Calculations and scope vary.  |
| **Carbon offsetting–do NOT offset carbon as part of net zero plan** This asset management company plans to achieve net zero greenhouse gas (CO2e) emissions by reducing their emissions. Calculations and scope vary.  |
| **In house carbon/GHG reduction policy (AFM co. wide)** Find fund management companies that are working to reduce their own (fund management company) carbon/greenhouse gas emissions.  |
| **Publish 'CEO owned' Climate Risk policy (AFM company wide)** Find fund management companies that have published a Climate Risk policy or statement that is signed / owned by their Chief Executive.  |
| **Net Zero - have set a Net Zero target date (AFM company wide)** This asset management company has set a date by which they plan to achieve net zero greenhouse gas / CO2e emissions.  |
| **Voting policy includes net zero targets (AFM company wide)** Fund manager AGM / EGM voting strategy has processes in place that mean they will normally be expected to vote in a way that will encourage the transition to net zero greenhouse gas emissions.  |
| **TRANSPARENCY** |
| **Publish full voting record (AFM company wide)** Fund management companies that publish a full record of how they vote their shares at AGMs (annual general meetings) and EGMs (extraordinary general meetings). Voting strategies have an important role to play encouraging higher environmental, social and governance standards.  |
| **Publish Responsible Ownership/Stewardship report (AFM co. wide)** Find fund management companies that publish a report detailing their responsible investment ownership - also known as 'Stewardship' - activity.  |
| **Full SRI policy information on company website** Find companies that publish information about their sustainable and responsible investment strategies on their company website.  |
| **Full SRI policy information available on request** Find fund management companies that will supply information about their sustainable and responsible investment activity on request.  |
| **Paris Alignment plan publicly available (AFM company wide)** This asset management company has published a plan that explains how they will align to the climate change commitments made at the Paris Climate Talks, COP21.  |
| **Net Zero transition plan publicly available (AFM co. wide)** This asset management company has published a plan that explains how they are going to achieve net zero greenhouse gas / CO2e emissions.  |
| **Sustainability transition plan publicly available (AFM co. wide)** This asset management company has published a plan that explains how they are to become a sustainable business - without significant negative environmental or social impacts.  |

**New filter options do not have published additional ‘hover over’ text yet, please contact us if you have any questions.**

**Further information about this form and Fund EcoMarket**

**The Fund EcoMarket database carries information on funds that are intended for retail investors who are interested in sustainability, environmental, social and / or ethical issues. The information we present is solely intended to help explain ESG & SRI strategies and primarily intended for authorised intermediaries.**

**About the information we require**

* We are requesting this information so that it can be added to our Fund EcoMarket fund tool which aims to comprehensively explain ESG/SRI/ethical fund strategies and help people (particularly financial advisers and portfolio providers) match fund options to client aims.
* We want users to be able to understand how funds are run and where they will and will not invest so that clients’ money can be invested in line with their personal preferences. Please ensure the information you supply supports this aim.
* Our target users are intermediaries however the information is open source - in the public domain – and is used by third party data providers and portfolio managers and can also be accessed by individual investors. Please ensure the information you supply is appropriate and can be evidenced. You can embed URL links into your text (as well as using our URL link fields) if you wish to restrict access to some information eg for compliance reasons.
* Please only supply information intended for retail / individual investors.
* Please focus on sustainability /ESG /ethical strategy information. We reserve the right to delete information that is outside of the scope of our site.
* Funds that only integrate ESG for risk mitigation purposes are not eligible for inclusion.
* This form can be used for **single or multiple fund entries**. Please insert text as required if this applies to multiple funds - making sure you supply fund specific information (e.g. SEDOL, ISIN, AUM etc) for all funds. You can add further information at the end of this form if you require.
* Please keep your responses as brief as possible (shorter text is more likely to be read).
* Use the URLs link fields for more detailed information.
* We cut and paste the information you send in directly onto Fund EcoMarket (as far as possible). We do however reserve the right to make minor edits or if necessary.
* Fund EcoMarket **cannot** display pdfs, tables or images. Please do not supply them.
* If you are unsure about any of the details, we are asking for please leave the relevant area blank or contact us. You can supply additional information or request amends later if necessary.
* Please ensure any filter options you have selected can be evidenced, ideally via your website, but alternatively on request.

**About Fund EcoMarket**

* We aim to list all relevant regulated, retail, onshore funds on our site (in addition to other funds by invitation).
* We do not charge to add funds or fund information on to Fund EcoMarket (as we aim to carry as much relevant information as possible).
* We define ‘relevant’ funds as funds intended for clients with an interest in sustainable, responsible, ethical & ESG investments.
* Fund EcoMarket is funded by our partners.
* Partner funds are listed first (randomised order) on both our website and App - with their logos displayed.
* We know that fund strategies and company wide aims vary. We do not believe any single fund or strategy suits all clients – so a major part of our purpose is to help users understand differences in strategy, which is why we list so many options.
* Please contact julia@sriServices.co.uk to find out about becoming a partner or to ask about use of the Dialshifter badge.

**Thank you for completing this form. Please return it to Su on** **funds@sriservices.co.uk** **asap - or let us know if you have any questions**.

**See** [**www.sriServices.co.uk**](http://www.FundEcoMarket.co.uk) **for further information.**