

Please mark the characteristics that are important to you with a

## Full Fund Information

### SUSTAINABILITY & ENVIRONMENTAL

#### Sustainability

- Sustainability policy
- Environmental policy
- Sustainability focus
- Report against sustainability objectives
- Limits exposure to carbon intensive industries
- Environmental damage and pollution policy
- Resource efficiency policy or theme
- Favours cleaner, greener companies
- Sustainability theme or focus
- Sustainable transport policy or theme
- Encourage more sustainable practices through stewardship
- UN Global Compact linked exclusion policy
- UN Sustainable Development Goals (SDG) focus
- Circular economy theme
- Transition focus
- Waste Management policy or theme
- E-waste policy

#### Nature & Biodiversity

- Biodiversity/nature policy
- Nature/biodiversity based solutions theme
- Nature/biodiversity focus
- Deforestation/palm oil policy
- Unsustainable/illegal deforestation exclusion policy
- Responsible Palm Oil policy
- Blue economy theme or focus
- Sustainable fisheries policy
- Plastics policy/reviewing plastics
- Avoids genetically modified seeds/crop production
- Genetic engineering exclusion
- Nature/Biodiversity protection policy
- Water stewardship policy

#### Targeted Positive Investments

- Invests >5% in sustainable bonds
- Invests >5% in transition bonds
- Invests >5% in the blue economy
- Invests >5% in green bonds
- Invests >50% in green bonds
- Invests >25% of fund in environmental/social solutions companies
- Invests >50% of fund in environmental/social solutions companies
- EU Sustainable Finance Taxonomy holdings >25% of fund assets
- EU Sustainable Finance Taxonomy holdings 5-25% of fund assets

#### Climate Change & Energy

- Climate change/greenhouse gas emissions policy
- Coal, oil &/or gas majors excluded
- Fracking and tar sands excluded
- Arctic drilling exclusion
- Fossil fuel reserves exclusion
- Clean/renewable energy theme or focus
- Encourage transition to low carbon through stewardship activity
- TCFD reporting requirement
- Require net zero action plan from all/most companies
- Energy efficiency theme
- Invests in clean energy/renewables
- Nuclear exclusion policy
- Supply chain decarbonisation policy
- Hydrogen policy or theme
- Green/sustainable property strategy
- Fossil fuel exploration exclusion - direct involvement
- Fossil fuel exploration exclusion - indirect involvement

### SOCIAL & ETHICAL

#### Human Rights

- Human Rights Policy
- Child labour exclusion
- Oppressive Regimes (not free or democratic) exclusion policy
- Responsible supply chain policy or theme
- Indigenous Peoples' policy
- Modern Slavery exclusion policy
- LGBTQ+ policy

#### Social/Employment

- Social policy
- Labour standards policy
- Favours companies with strong social policies
- Fast fashion exclusion
- Health & wellbeing policies or theme
- Diversity, Equality & Inclusion Policy (fund level)
- Responsible mining policy
- Mining exclusion
- Vulnerable/gig workers protection policy

#### Ethical Values Led Exclusions

- Ethical policies
- Tobacco production avoided
- Armaments manufacturers avoided
- Civilian firearms production exclusion
- Alcohol production excluded
- Gambling avoidance policy
- Pornography avoidance policy
- Gilts/government bonds - exclude some
- Gilts/government bonds - exclude all
- Animal welfare policy
- Animal testing exclusion policy
- Animal testing - excluded except if for medical purposes

#### Meeting Peoples' Basic Needs

- Water/sanitation policy or theme
- Demographic/ageing population theme
- Invests in social property (freehold)
- Invests >5% in social housing
- Invests >5% in social bonds
- Invests >50% in social bonds
- Invests >50% in social housing
- Green infrastructure focus
- Plant based/smart food production theme
- Responsible food production or agriculture theme
- Healthcare/medical theme
- Antimicrobial resistance policy

## GOVERNANCE & FINANCIALS

### Governance & Management

- Governance policy
- UN sanctions exclusion
- Avoids companies with poor governance
- Anti-bribery and corruption policy
- Digital/cyber security policy
- Encourage board diversity e.g. gender
- Encourage higher ESG standards through stewardship activity
- Require investee companies to report climate risk in R&A

### Banking & Financials

- Banking exclusion
- Exclude banks with significant fossil fuel investments
- Only invest in TCFD aligned banks/financial institutions
- Financial institutions exclusion
- Predatory lending exclusion
- Exclude banks that finance fossil fuels extraction
- Encourage TCFD alignment for banks & insurance companies

### Fund Governance

- Employ external (fund) oversight or advisory committee
- External (fund) committee has veto powers
- ESG integration strategy
- ESG factors included in Assessment of Value (AoV) report

### Asset Size & Metrics

- Over 50% small/mid cap companies
- Over 50% large cap companies
- Invests in small, mid and large cap companies
- Invests mostly in large cap companies
- Paris aligned fund strategy
- Invest in supranationals

## METHODS & INTENTIONS/AIMS

### How the Fund works

- Positive selection bias
- Negative selection bias
- Strictly screened ethical fund
- Limited/few ethical exclusions\*
- Selection criteria/strategy may alter in adverse markets
- Single resource theme or focus
- ESG weighted/tilt
- Data led strategy
- Passive/index driven strategy
- Significant Harm exclusion
- Assets mapped to SDGs
- Combines norms based exclusions with other SRI criteria
- Combines ESG strategy with other SRI criteria
- Balances company 'pros and cons'/best in sector
- Norms focus
- Focus on ESG risk mitigation
- SRI/ESG/Ethical policies explained on website
- All assets (except cash) meet published sustainability criteria
- Fund uses unscreened 'diversifiers' to help manage risk
- Different risk options of this strategy are available
- Participated in sustainability solutions IPOs or new issuances
- Converted from 'non ESG' strategy

### Impact Methodologies

- Aims to generate positive impacts (or 'outcomes')
- Measures positive impacts
- Described as an 'impact investment fund'
- Positive environmental impact theme
- Positive social impact theme
- Invests in environmental solutions companies
- Invests in social solutions companies
- Invests in sustainability/ESG disruptors
- Aim to deliver positive impacts through engagement
- Over 50% in assets provide environmental or social 'solutions'

### Intended Clients & Product Options

- Intended for investors interested in ESG/sustainability
- Intended for clients who want to have a positive impact
- Intended for vegetarians and/or vegans
- Faith friendly
- Available via an ISA (OEIC only)
- Portfolio SRI/ESG options available (DFMs)
- Multiple SRI/ESG portfolio options available (DFMs)
- Bespoke SRI/ESG portfolios available (DFMs)

### Labels & Accreditations

- RSMR Rated (OEIC funds only)
- Eurosif Transparency
- SFDR Article 8 fund/product (EU)
- SFDR Article 9 fund/product (EU)

# Fund Management Company Information

## RESPONSIBLE OWNERSHIP: WHO?

### About The Business

- Boutique/specialist fund management company
- Specialist positive impact fund management company
- Responsible ownership/stewardship policy (AFM company wide)
- ESG/SRI engagement (AFM company wide)
- Vote all\* shares at AGMs/EGMs (AFM company wide)
- Responsible Ownership/ESG a key differentiator (AFM company wide)
- Sustainable property strategy (AFM company wide)
- Senior management KPIs include environmental goals (AFM company wide)
- SDG aligned aims/objectives (AFM company wide)
- Responsible Ownership policy for non SRI funds (AFM company wide)

- Integrates ESG factors into all/most fund research
- Inhouse diversity improvement programme (AFM company wide)
- Diversity, Equality & Inclusion engagement policy (AFM company wide)
- Vulnerable client policy on website (AFM company wide)
- Just Transition policy on website (AFM company wide)
- Invests in newly listed companies (AFM company wide)
- Invests in new sustainability linked bond issuances (AFM company wide)
- Offer structured intermediary training on sustainable investment
- Offer unstructured intermediary sustainable investment training

### Collaborations & Affiliations

- PRI signatory
- UKSIF member
- Climate Action 100+ or IIGCC member
- Fund EcoMarket partner
- UN Net Zero Asset Owners/Managers Alliance member
- GFANZ member (AFM company wide)
- UN Net Zero Banking Alliance member (AFM company wide)
- UN Principles of Responsible Banking framework signatory (AFM company wide)
- TNFD forum member (AFM company wide)
- Investment Association (IA) member

### Resources

- In house responsible ownership/voting expertise
- Employ specialist ESG/SRI/sustainability researchers
- Use specialist ESG/SRI/sustainability research companies
- ESG specialists on all investment desks (AFM company wide)

### Accreditations

- 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

- Regularly lead collaborative ESG initiatives (AFM company wide)
- Encourage responsible corporate taxation (AFM company wide)
- Engaging on climate change issues
- Engaging with fossil fuel companies on climate change
- Engaging to reduce plastics pollution/waste
- Engaging to encourage responsible mining practices
- Engaging on biodiversity/nature issues
- Engaging to encourage a Just Transition
- Engaging on human rights issues
- Engaging on labour/employment issues
- Engaging on diversity, equality and/or inclusion issues
- Engaging on governance issues
- Engaging on mental health issues
- Engaging on responsible supply chain issues

### Company Wide Exclusions

- Controversial weapons avoidance policy (AFM company wide)
- Tobacco avoidance policy (AFM company wide)
- Fossil fuel exclusion policy (AFM company wide)
- Review(ing)carbon/fossil fuel exposure for all funds (AFM company wide)
- Coal divestment policy (AFM company wide)
- Coal exclusion policy (group wide coal mining exclusion policy)
- Do not invest in companies with fossil fuel reserves

### Climate & Net Zero Transition

- Net Zero commitment (AFM company wide)
- Voting policy includes net zero targets (AFM company wide)
- Publish 'CEO owned' Climate Risk policy (AFM company wide)
- Net Zero - have set a Net Zero target date (AFM company wide)
- Encourage carbon/greenhouse gas reduction (AFM company wide)
- Carbon transition plan published (AFM company wide)
- 'Forward Looking Climate Metrics' published/ITR (AFM company wide)
- Offset carbon as part of our Net Zero plan (AFM company wide)
- Carbon offsetting - do NOT offset carbon as part of net zero plan
- In house carbon/GHG reduction policy (AFM company wide)
- Working towards a 'Net Zero' commitment (AFM company wide)
- Committed to SBTi/Science Based Targets Initiative

### Transparency

- Publish Responsible Ownership/Stewardship report (AFM company wide)
- Full SRI policy information on company website
- Full SRI policy information available on request
- Publish full voting record (AFM company wide)
- Sustainability transition plan publicly available (AFM company wide)
- Paris Alignment plan publicly available (AFM company wide)
- Net Zero transition plan publicly available (AFM company wide)

**Notes**

Name: \_\_\_\_\_ Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Adviser name and company: \_\_\_\_\_