**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 ensure all information can be evidenced.

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

**SRI Services, March 2024**

**This form comprises individual fund and fund management companywide information requests.**

**For new funds** (not already on our site) please complete this entire form.

* **If you have multiple funds with different strategies,** please use one form per fund.
* **If you have multiple funds with the same strategy** you can reply with a single form (adding notes if required). Please list all relevant fund names and identifiers (e.g. ISINs).

**For fund management company wide ‘Responsible Ownership (AFM companywide)’ information you only need to send this information once** as the same information should apply to all of your funds. If that is not the case this should be explained in your text.

**For annual / periodic updates** (funds already listed on Fund EcoMarket):

* For **fund updates** please complete the highlighted fields. This includes ‘new’ fields, highlighted in yellow, **AND** the ‘periodic / annual update’ fields (e.g. AUM), highlighted in blue.
* Please also send us any further changes or clarifications you would like us to make.
* Please also **confirm that all existing details are up to date** and can be **evidenced**.
  + We have attached a copy of the information we currently hold on our database for your reference. You can also view this information by searching your company or fund name on Fund EcoMarket via <https://www.fundecomarket.co.uk/fund-ecomarket/>
* **SDR.** Because of SDR, we will be collecting additional information this year. If you have not finalised this information yet, please supply text or links when you are ready. *(Please indicate if you wish to forward this information at a later date)* Relevant SDR specific fields are highlighted in grey.
* Supplying **Dialshifter® statements** for publication (see p13) is optional but is only open to funds that have ticked all the relevant filter options (marked with green asterisk **\***).

**About the format of information we can publish:**

* We welcome **text and URL links**. URL links can be embedded in text and / or put in the ‘links’ fields provided.
* **We are currently unable to accept tables, diagrams or pdfs** as they cannot be used due to IT limitations.

**Further information:**

* Our database makes it clear that all detailed fund and responsible ownership information is supplied by fund managers. Please make sure **all your information can be evidenced. (We will contact you annually for updates.)**
* **Current funds on FEM:** Please see attached document with the information we currently hold on your fund(s), or search your fund name on the database – see orange button on home page of [www.FundEcoMarket.co.uk](http://www.FundEcoMarket.co.uk)
* You are welcome to **update or amend** the information you send us **at any time.**
* If you cannot complete a field, please leave it blank.
* **Pages 14 – 27** of this document are for your assistance only.

**Form completed by:**

Your name:

Job title:

Email address:

Phone number:

Date:

|  |  |
| --- | --- |
| **Which of the following are you submitting?** | |
| Information on a new fund (fund information not previously submitted for use on Fund EcoMarket) |  |
| Updates / amendments to be made to information already supplied for use on Fund EcoMarket |  |
| Replacement (full) fund information for use on Fund EcoMarket already lists (i.e. delete existing information) |  |
| Other (please explain below) |  |

**Basic fund information 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 listings, now shown on site) |  |
| 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. |  |
| **SDR Label:**  **Please select/highlight ONE of these options:**  You are welcome to supply this information later.  If you select the ‘Working towards’ option, we will contact you later for clarification.  **Please note:** labelled funds must be registered online with the FCA. (See ESG Handbook & SDR). | * Sustainability Improver (labelled fund) * Sustainability Focus (labelled fund) * Sustainability Impact (labelled fund) * Sustainability Mixed Goals (labelled fund) * Working towards adopting a label (information to follow) * Do not intend to use a label / intentionally unlabelled * Not eligible to use label (e.g., Offshore, ETF) * Other (please explain) |
| Any additional notes / queries /amend requests (comments welcome): |  |

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

Text only. Please do not supply 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) |  |  |
| **‘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 as well as financial aspects.  Maximum 150 words. **Text only - no images or tables.** | | |

|  |
| --- |
| **‘Fund Objective’** (text field) Briefly summarise the sustainability objectives of this fund(s), which should reflect its policy, strategy and positive aims. If applicable, reference how this fund aims to help deliver positive environmental and or social outcomes. Note this is an SDR requirement for labelled funds.  Maximum 150 words. **Text only - no images or tables**. |

|  |
| --- |
| **‘Sustainable, Responsible &/or ESG Policy’** (longer form text field)  Explain **what** the fund does from an ESG / SRI / ethical perspective, its screens, themes, policies and/or indices used. This should include reference to the issues the fund considers and how they are dealt with, and any areas of exclusion. Also explain any intended positive environmental or social impacts and outcomes with relevant metrics. **Text only - no images or tables**. |

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

|  |
| --- |
| **Key Performance Indicators (KPI)** (**NEW** text field)  Describe robust and evidence based KPIs, metrics and criteria that demonstrate the fund’s progress towards meeting its sustainability objective. **Text only - no images or tables.**  *Not live yet – supply if ready or indicate if you are planning to send over later.* |

|  |
| --- |
| **Resources, affiliations, governance and company wide strategies:** (text field)  You only need to **complete this field once** if you are sending details of more than one fund with the same sustainability strategy.  Describe your in-house & external ESG/SRI research resources, roles and responsibilities. Also briefly describe governance structure and responsibilities (an SDR Requirement). 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. **Text only - no images or tables**. |

|  |
| --- |
| **Disclaimer:** (text field)  Complete this section if you would like to include a disclaimer / statement regarding the fund. **Text only - no images or tables**. |

|  |  |
| --- | --- |
| **Web links – names & URLs**  (Do not send attachments. Please note: you are responsible for compliance.) | |
| **Text to display on site** | **URL link for back end use only** |
| **Title** (to display on website)   1. FUND FACTSHEET 2. FUND POLICY DETAILS (explanation of ESG/SRI/ethical strategy)   **Fund holdings link title:**  **Voting records link title:**  **SDR links**  **SDR consumer facing disclosure document title & date:**  **Additional SDR links – title** | **URL link - https:/**   1. *include* f*actsheet link here* 2. *include policy/ESG strategy link here*   **Fund holdings link:**   1. *supply link to fund holdings here*   **Voting records link:**   1. *supply link to voting record here*   **SDR Links**  **SDR consumer facing disclosure document link:**   1. *supply link to disclosure here*   **Additional SDR links**  *(NB please send links when available – indicate if planning to do this)* |

**Fund features search filters**

The following pages refer to filter options on Fund EcoMarket.

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

|  |  |
| --- | --- |
| We have reviewed the filter options currently shown on Fund EcoMarket. No changes are required. |  |
| This is an update to an existing fund entry. We have added new and amended fields shown below and other information where required. |  |
| This is a new fund information submission. |  |
| This is replacement information – we would like you to remove all existing filter information and replace with the information shown below. |  |
| **Other:** Insert note to SRI Services here if needed: | |

The explanatory (‘hover over’) text shown on the front end of the database (to explain what the filter options mean) can be found on page 14 of this document.

The green asterisk **(\*)** next to some filters relates to the optional Dialshifter form on page 13 of this questionnaire, which you are welcome to complete. Dialshifter statements are now included on the new version of our database, which was launched at the end of 2023.

**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 Fund EcoMarket filter option (please review)
* New filter option (added in 2024) – explanatory text not added yet.

**Mark the options below, with an ‘X’, that apply to your fund and can be clearly evidenced.**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **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) | |  |
|  | |  | | | Paris aligned fund strategy | |  |
|  | | | | | | | |
| **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 | |  | | | Assets typically aligned to objectives 70 - 79% | |  |
| Genetic engineering exclusion | |  | | | Assets typically aligned to objectives 80 – 89% | |  |
| Nature/Biodiversity protection policy | |  | | | Assets typically aligned to objectives > 90% | |  |
| Water stewardship policy | |  | | | No ‘diversifiers’ used other than cash | |  |
|  | | | | | | | |
| **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 and related product manufacturers excluded | |  | | | Demographic /ageing population theme | |  |
| Tobacco and related products - avoid where revenue > 5% | |  | | | Invests in social property (freehold) | |  |
| **\***Armaments manufacturers avoided | |  | | | Invests >5% in social housing | |  |
| Civilian firearms production excluded | |  | | | Invests > 5% in social bonds | |  |
| Alcohol production excluded | |  | | | Invests >50% in social bonds | |  |
| Gambling avoidance policy | |  | | | Invests >50% in social housing | |  |
| Pornography avoidance policy | |  | | | Green infrastructure focus | |  |
| Invests in gilts / government bonds | |  | | | Plant based / smart food production theme | |  |
| Exclude some gilts / government bonds (screens apply) | |  | | | Responsible food production or agriculture theme | |  |
| Exclude all gilts/government bonds | |  | | | Healthcare / medical theme | |  |
| Animal welfare policy | |  | | | Antimicrobial resistance policy | |  |
| Animal testing exclusion policy | |  | | |  | |  |
| Animal testing - excluded except if for medical purposes | |  | | |  | |  |
| Invests in sovereigns as an unscreened asset class | |  | | |  | |  |
| Invests in sovereigns subject to screening criteria | |  | | |  | |  |
| Does not invest in sovereigns | |  | | |  | |  |
|  | | | | | | | |
| **GOVERNANCE & FINANCIALS** | | | | | | | |
| **BANKING & FINANCIALS** | | **X** | | **GOVERNANCE & MANAGEMENT** | | | **X** |
| Invests in banks | |  | | Governance policy | | |  |
| Banking exclusion | |  | | UN Sanctions exclusion | | |  |
| Exclude banks with significant fossil fuel investments | |  | | Avoids companies with poor governance | | |  |
| Only invest in TCFD (ISSB) aligned banks / financial institutions | |  | | Anti-bribery and corruption policy | | |  |
| Financial institutions exclusion | |  | | Digital/cyber security policy | | |  |
| Predatory lending exclusion | |  | | Encourage board diversity e.g., gender | | |  |
| Exclude banks that finance fossil fuels extraction | |  | | Encourage TCFD alignment for banks & insurance companies | | |  |
| Invests in financial instruments issued by banks | |  | | Encourage higher ESG standards through stewardship activity | | |  |
| Exclude all or most insurance companies | |  | | Require investee companies to report climate risk in Report and Accounts | | |  |
| Exclude insurers of major fossil fuel companies | |  | | Governance policy | | |  |
| Invests in insurers | |  | |  | | |  |
|  | | | | | | | |
| **FUND GOVERNANCE** | | **X** | | **ASSEST SIZE & METRICS** | | | **X** |
| Employ external (fund) oversight or advisory committee | |  | | Holds over 50% small/mid cap companies *(either / or)* | | |  |
| External (fund) committee has veto powers | |  | | Holds over 50% large cap companies *(either / or)* | | |  |
| ESG integration strategy | |  | | Invests in small, mid and large cap companies/assets *(Only select 1 of 3)* | | |  |
| ESG factors included in Assessment of Value (AoV) report | |  | | Invests mostly in large cap companies/assets *(Only select 1 of 3)* | | |  |
|  | |  | | Invests mostly in small or mid cap companies / assets *(Only select 1 of 3)* | | |  |
|  | |  | | 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’ | | |  |
| Assets mapped to SDGs | |  | | Publish ‘theory of change’ explanation | | |  |
| Combines norms-based exclusions with other SRI criteria | |  | |  | | |  |
| Combines ESG strategy with other SRI criteria | |  | | **INTENDED CLIENTS & PRODUCT OPTIONS** | | | **X** |
| Balances company 'pros and cons'/best in sector | |  | | Intended for clients interested in sustainability | | |  |
| Norms focus | |  | | Intended for clients interested in ethical issues | | |  |
| Focus on ESG risk mitigation | |  | | Intended for clients who want to have a positive impact | | |  |
| SRI/ESG/Ethical policies explained on website | |  | | Intended for vegetarians and / or vegans | | |  |
| All assets (except cash) meet published sustainability criteria | |  | | Faith friendly | | |  |
| Fund uses unscreened ‘diversifiers’ to help manage risk | |  | | Available via an ISA (OIEC only) | | |  |
| Different risk options of this strategy are available | |  | | Portfolio SRI / ESG options available (DFMs) | | |  |
| Participated in sustainability solutions IPOs or new issuances recently | |  | | Multiple SRI / ESG portfolio options available (DFMs) | | |  |
| Converted from ‘non ESG’ strategy | |  | | Bespoke SRI/ ESG portfolios available (DFMs) | | |  |
| Use stock / securities lending | |  | |  | | |  |
| Do not use stock / securities lending | |  | | **LABELS & ACCREDITATIONS** | | | **X** |
| Use sustainable cash funds for all fund cash holdings | |  | | RSMR Rated (OIEC funds only) | | |  |
|  | |  | | SFDR Article 8 fund / product (EU) | | |  |
|  | |  | | SFDR Article 9 fund / product (EU) | | |  |
|  | |  | | SDR Labelled (see above field) | | |  |
|  | |  | | London Stock Exchange Green Economy Mark | | |  |
|  | | | | | | | |
| **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 **or strategy** (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 (e.g. 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) |  | | **CLIMATE & NET ZERO TRANSITION** | | |  | |
| 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 to stop modern slavery |  | | Committed to SBTi / Science Based Targets Initiative | | |  | |
| Engaging on governance issues |  | |  | | |  | |
| Engaging on mental health issues |  | | **TRANSPARENCY** | | |  | |
| Engaging on responsible supply chain issues |  | | Publish Responsible Ownership/Stewardship report (AFM Company Wide) | | |  | |
| Engaging to encourage more sustainable ‘diversifiers’ (e.g. derivatives) |  | | Full SRI policy information on company website | | |  | |
| Engaging on the responsible use of AI |  | | Full SRI policy information available on request | | |  | |
|  |  | | **\***Publish full voting record (AFM Company Wide) | | |  | |
| **COMPANY WIDE EXCLUSIONS** |  | | Sustainability transition plan publicly available (AFM company wide) | | |  | |
| Controversial weapons avoidance policy (AFM company wide) |  | | Paris Alignment plan publicly available (AFM company wide | | |  | |
| Tobacco avoidance policy (AFM company wide) |  | | Net Zero transition plan publicly available (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 (have group wide coal mining exclusion policy) (AFM company wide) |  | |  | | |  | |
| Do not invest in companies with fossil fuel reserves (AFM company wide exclusion) |  | |  | | |  | |

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

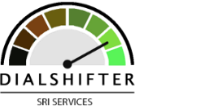
If you have any queries or comments, you can use the box below to let us know.

Su ([funds@sriServices.co.uk](mailto:funds@sriServices.co.uk)) or Julia ([julia@sriServices.co.uk](mailto: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 filter fields above marked with a green asterix **\*** and / or would like your fund(s) to be considered for Dialshifter status, please also supply text completing the following sentences:

The following statements will be displayed on the Fund EcoMarket database and the Dialshifter logo will appear next to your fund entry.

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

|  |  |
| --- | --- |
| This is a new Dialshifter submission. |  |
| We have reviewed the Dialshifter entry currently shown on Fund EcoMarket. No changes are required. |  |
| This is replacement information – please remove existing Dialshifter statement and replace with the information shown below. |  |
| We no longer wish to display a Dialshifter statement - please remove existing statement. |  |
| We do not wish to add a Dialshifter statement at this time. |  |

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| **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**

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| **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. |
| **Sustainability focus**  Find funds which substantially focus on sustainability issues |
| **Report against sustainability objectives**  Find funds that publicly report their performance against specifically named sustainability objectives (in addition to reporting their financial performance) |
| **Limits exposure to carbon intensive industries**  Funds that limit or 'reduce' their exposure to carbon intensive industries (i.e. 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. |
| **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. |
| **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. |
| **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. |
| **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. |
| **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 |
| **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'). |
| **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. |
| **Transition focus** The delivery of the shift to a sustainable future is a core feature of this fund and its investment strategy |
| **Circular economy theme**  Fund has a theme or investment strand focused on the shift to a circular economy (where products are reused and recycled not incinerated or dumped). |
| **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. |
| **E-waste policy**  Fund has an e-waste policy - this would typically require assets to have sound disposal, recycling and/or reuse strategies for technology and electronic equipment. See fund information. |
| **NATURE & BIODIVERSITY** |
| **Biodiversity / nature 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'). |
| **Nature / biodiversity based solutions theme**  A significant focus on investments that aim to protect, improve and, or restore natural habitat. |
| **Nature / biodiversity focus**  Fund has a significant focus or emphasis on investment in nature and biodiversity related opportunities |
| **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. |
| **Responsible palm oil policy**  Fund has a responsible palm oil policy which is likely to focus on the producers of palm oil and deforestation issues with a view to informing investment decisions (and / or engagement) to support and encourage high standards. |
| **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. |
| **Sustainable fisheries policy**  Fund has a sustainable fisheries policy that will inform where it can and cannot invest |
| **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. |
| **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. |
| **Genetic engineering exclusion**  Fund avoids assets / companies directly involved in genetic engineering |
| **Nature / biodiversity protection policy**  Fund has a nature or biodiversity policy which sets out their expectations of investee assets - typically meaning the fund will not invest in assets with poor standards. See fund information. |
| **Water stewardship policy**  Fund has a policy which sets out their expectations for how investee assets should manage water |
| **CLIMATE CHANGE & ENERGY** |
| **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. |
| **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. |
| **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. |
| **Arctic drilling exclusion**  Funds that avoid companies that are involved in extracting oil from the Arctic regions. See fund literature for further details. |
| **Fossil fuel reserves exclusion**  Funds that avoid investing in companies with coal, oil and gas reserves. See fund information for further details. |
| **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. |
| **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 |
| **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. |
| **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. |
| **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. |
| **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. |
| **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. |
| **Supply chain decarbonisation policy**  Fund has a supply chain decarbonisation policy which sets out its position on the need to reduce carbon emissions throughout the investment chain. This will inform where the manager can and cannot invest. |
| **Hydrogen policy or theme**  Has a policy or theme which sets out the fund's position on investment in companies researching/developing hydrogen as an energy solution |
| **Green / sustainable property strategy**  Fund has a strategy that focuses on sustainability issues in the property sector - they may e.g. use GRESB / BREEAM scores to inform investment decisions. |
| **Fossil fuel exploration exclusion - direct involvement**  The fund manager excludes companies with direct involvement in fossil fuel exploration (e.g. coal, oil and gas companies) |
| **Fossil fuel exploration exclusion – indirect involvement**  The fund manager excludes companies with indirect involvement in fossil fuel exploration. For example, they would be expected to exclude banks and insurance companies that are effectively enabling new coal, oil and or gas reserves to be discovered and in due course extracted through the provision of necessary finance or services. |
| **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. |
| **TARGETTED POSITIVE IMPACTS** |
| **Invests > 5% in sustainable bonds**  Invests in loan stock that is exclusively used to finance environmental and social projects. See ICMA Sustainable Bond Guidelines. |
| **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 > 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. |
| **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. |
| **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 >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 >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. |
| **EU Sustainable Finance Taxonomy holdings >25% of fund 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 fund 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. |
| **Assets typically aligned to objectives (70 - 79%)** The percentage of assets held within the fund that match the fund’s objective and are not being held purely for risk management purposes, such as derivatives and cash equivalent assets |
| **Assets typically aligned to objectives (80 – 89%)** The percentage of assets held within the fund that match the fund’s objective and are not being held purely for risk management purposes, such as derivatives and cash equivalent assets. |
| **Assets typically aligned to objectives (90% & above)** The percentage of assets held within the fund that match the fund’s objective and are not being held purely for risk management purposes, such as derivatives and cash equivalent assets |
| **No ‘diversifiers’ used other than cash** Fund holds only cash to aid the management of assets |
| **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. |
| **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 e.g. Freedom House research. Strategies vary. See fund literature for further information. |
| **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. |
| **Indigenous peoples’ policy**  The fund has a policy which sets out their position on the treatment of indigenous people by investee assets/companies - typically meaning they won't invest in companies with low standards. |
| **Modern slavery exclusion policy**  The fund has a policy which excludes assets with involvement in Modern Slavery |
| **LGBTQ+ policy**  The fund has a policy which sets out its position on LGBTQ+ related social issues and their expectations of investee assets - typically meaning they won't invest in companies with poor standards. See fund information. |
| **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. |
| **Tobacco and related product manufacturers excluded**  Companies are excluded if they are involved in any aspect of the production chain for tobacco products, including cigarettes, vaping, e-cigarettes, chewing tobacco and cigars. |
| **Tobacco and related products - avoid where revenue > 5%**  Companies are excluded if they make more than 5% of their revenue from the manufacture, sale or distribution of tobacco products including cigarettes, vaping, e-cigarettes, chewing tobacco and cigars. |
| **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. |
| **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. |
| **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. |
| **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. |
| **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. |
| **Invests in gilts / government bonds**  Find funds that invest in loans issued the government, commonly known as gilts or government bonds. These may or may not be ringfenced for specific projects (see additional options). See fund literature for any selection criteria. |
| **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. |
| **Gilts / government bonds - exclude all**  Find funds that do not invest in, or exclude, gilts and/or government bonds. |
| **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. |
| **Invests in sovereigns as an unscreened asset class**  Find funds that invest in financial instruments issued by governments, typically for risk reasons, but do not screen them for environmental and social characteristics. See fund literature for more information. |
| **Invests in sovereigns subject to screening criteria**  Find funds that invest in financial instruments issued by governments, but will only hold those that meet certain environmental and or social criteria.  This may, for example mean certain assets are excluded in line with eg Freedom House research.  Strategies vary, see fund literature for more information |
| **Does not invest in sovereigns**  Find funds that do not invest in / exclude sovereigns |
| **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. |
| **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). |
| **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. |
| **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. |
| **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 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. |
| **Responsible mining policy**  Fund has a policy that explains their position on which mining companies they may or may not invest in. Typically, this may mean only investing in assets with high environmental and social standards. This is a growing concern given demand for rare earth metals e.g. lithium, cobalt. See fund information. |
| **Mining exclusion**  All mining companies excluded |
| **Vulnerable / gig workers protection policy**  Fund has a policy aimed at protecting vulnerable workers such as those on zero hour / informal contracts working in the gig economy |
| **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. |
| **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. |
| **Invests in social property (freehold)**  Find funds that invest in social housing property freeholds. Strategies vary. See fund literature for further information. |
| **Invests > 5% in social housing**  Find funds that have significant investment in social housing or similar assets. |
| **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 > 50% in social housing**  Find funds that invest more than 50% in social housing or similar assets. |
| **Green infrastructure focus**  Fund focuses on (i.e. directs a significant proportion of its investment towards) green infrastructure, e.g. the clean energy supply chain. See fund details. |
| **Plant based / smart food production theme**  Fund has a theme that may direct investment towards newer forms of food such as plant based meat alternatives. A fund may have one or many themes. See fund information. |
| **Responsible food production or agriculture theme**  Fund has a responsible food production or agriculture theme or strand of investment. Funds may have a single theme or many themes. See fund information. |
| **Healthcare / medical theme**  Healthcare and or medical theme or area of investment - the fund may have a single theme or many themes |
| **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. |
| **GOVERNANCE & FINANCIALS** |
| **BANKING & FINANCIALS** |
| **Invests in banks**  Find funds that include banks as part of their holdings / portfolio |
| **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 - particularly coal, oil and gas. |
| **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. |
| **Financial institutions exclusion**  Exclude all companies in the banking, insurance, finance and related sectors. |
| **Predatory lending exclusion**  Fund excludes financial services companies with widely criticised, aggressive lending practices where interest rates are typically very high, includes doorstep lending) |
| **Exclude banks that finance fossil fuels extraction**  The fund avoids banks that finance fossil fuels extraction (coal, oil, gas) |
| **Invests in financial instruments issued by banks**  Finds funds that include financial instruments (cash, derivatives and / or foreign exchange) issued by banks. See fund literature for further information as strategies vary. |
| **Exclude all or most insurance companies**  Find funds that explicitly avoid investing in insurance companies, typically because of the organisations they insure.  See fund literature for more information as strategies vary. |
| **Exclude insurers of major fossil fuel companies**  Find funds that avoid investing in insurance companies that insure major fossil fuels companies – particularly coal, oil and gas. Strategies (eg definition of ‘major’) vary. See fund literature for further information. |
| **Invests in insurers**  Funds that do or may invest in insurance companies. |
| **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. |
| **UN sanctions exclusion**  Exclude companies that are subject to United Nations sanctions. |
| **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). |
| **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 |
| **Require investee companies to report climate risk in R&A**  The fund manager requires the companies they invest in to report on climate risks that are relevant to their business in their report and accounts |
| **FUND GOVERNANCE** |
| **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.) |
| **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. |
| **ASSET SIZE & METRICS** |
| **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 Â£5 to Â£10 billion. |
| **Invests in small, mid and large cap companies / assets (Only select 1 of 3)** Find a fund that invests in a combination of small, medium and larger (potentially multinational) companies. |
| **Invests mostly in large cap companies** **/ assets (only select 1 of 3)** Find funds that have SRI strategies and focus their investment stock selection on larger companies. (e.g. over circa £10bn) |
| **Invests mostly in small or mid cap companies / assets (Only select 1 of 3)**  Find funds that have SRI strategies and focus their investment stock selection on small or mid cap companies. (e.g. below circa £10bn) |
| **Invest in supranationals**  International entities or bodies with agreed remits that are broadly similar to those that may otherwise be undertaken by individual governments e.g. the UN |
| **METHODS & INTENTIONS / AIMS** |
| **HOW THE FUND WORKS** |
| **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. |
| **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. |
| **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 |
| **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. |
| **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. |
| **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 |
| **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. |
| **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. |
| **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. |
| **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. |
| **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. |
| **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. |
| **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). |
| **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). |
| **All assets (except cash) meet published sustainability criteria**  All assets held in the fund - except cash - meet the sustainability criteria published in fund documentation. |
| **Fund uses unscreened ‘diversifiers’ to help manage risk**  Fund invests in assets that have not passed its usual sustainability criteria or screening standards in order to help manage investment risk. This may be limited or significant. See literature. |
| **Different risk options of this strategy are available**  See fund information for different risk options of this fund strategy |
| **Participated in sustainability solutions IPOs or new issuances**  This fund does (and has recently) invested in newly listed companies’ other assets (e.g. bonds) which are significantly focused on the provision of products and/or services which are designed to solve environmental and/or social problems. |
| **Use stock / securities lending** This fund uses, or can use, specialist strategies to aid performance which involve ‘lending’ fund assets to others at specific points in time. |
| **Do not use stock/securities lending** This fund does not use stock lending for performance or risk purposes |
| **Use sustainable cash funds for all fund cash holdings** The cash held within this fund has a sustainability strategy; strategies vary |
| **Converted from ‘non ESG’ strategy**  This fund has 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. |
| **Described as an ‘impact investment fund’**  Funds that are specifically marketed as Impact investments funds will work to deliver both financial performance and specific, measurable positive, real world social and/or environmental benefits. Strategies vary. |
| **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. |
| **Aim to deliver positive impacts through engagement**  Fund aims to deliver positive environmental and or social impacts (real world benefits) through its engagement with investee assets |
| **Over 50% in assets providing environmental or social ‘solutions’**  Over 50% of the assets in the fund by value must derive at least 25% of their turnover from the provision of environmental and / or social solutions (these may be products or services but must directly address E&S problems). |
| **Publish ‘theory of change’ explanation**  This fund has an explanation of the way in which the manager believes things need to change in order to deliver a more sustainable future, which they are working to help achieve. |
| **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. |
| **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. |
| **SDR Labelled (see above field)**  SDR Labelled (see above field) - Find funds that have chosen to adopt one of the Financial Conduct Authority (FCA) SDR labels. Please note: there are  a range of reasons why potentially relevant funds may not use an SDR label eg adopting a label may be work in progress, the manager may not yet be allowed to do so because of the product type, a manager may feel their fund is insufficiently aligned to SDR requirements.  Read fund literature and / or our blogs for further information. |
| **London Stock Exchange Green Economy Mark** Finds funds certified by the London Stock Exchange as having over 50% of its assets contributing to the green economy <https://www.londonstockexchange.com/raise-finance/sustainable-finance/green-economy-mark> |
| **INTENDED CLIENTS & PRODUCT OPTIONS** |
| **Intended for investors interested in sustainability** Finds funds designed to meet the needs of individual investors with an interest in sustainability issues. |
| **Intended for investors interested in ethical issues** Find funds designed for clients who care about ethical and values-based issues, often alongside sustainability issues also. |
| **Intended for clients who want to have a positive impact**  Finds funds designed to meet the needs of individual investors with an interest in â€˜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. |
| **Intended for vegetarians and / or vegans**  Find funds that are specifically designed to be appropriate for vegetarians and vegans - be aware that strategies may vary |
| **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. |
| **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 |

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| **Asset Management company wide stewardship feature** |
| **RESPONSIBLE OWNERSHIP: WHO?** |
| **ABOUT THE BUSINESS** |
| **Boutique / specialist fund management company**  Find fund management companies that are smaller or specialise in particular areas - notably, ideally ESG related. Strategies vary. |
| **Specialist 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. |
| **Responsible ownership / stewardship policy or strategy (AFM company wide)**  Finds fund management companies that have a published company wide stewardship, engagement and / or responsible ownership policy or strategy that covers all investments. Stewardship typically involves encouraging higher ESG standards through voting and dialogue |
| **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. |
| **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.) |
| **Responsible ownership / ESG a key differentiator (AFM company wide)**  Find fund managers that consider responsible ownership and ESG to be a key differentiator for their business. |
| **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. |
| **Senior management KPIs include environmental goals (AFM company wide)**  The leadership team of this asset manager have performance targets linked to environmental goals. |
| **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. |
| **Responsible ownership policy for non SRI funds (AFM company 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. |
| **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. |
| **In-house 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. |
| **Diversity, equality & inclusion engagement policy (AFM company wide)**  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). |
| **Vulnerable client policy on website (AFM company wide)**  Asset manager has information on their website that explains how they treat 'vulnerable clients' (as set out in FCA regulation) |
| **Just Transition policy on website (AFM company wide)**  This asset management company has published information on their website about the delivery of a 'just transition' - i.e. the delivery of the necessary shift to a sustainable future that takes full account of social implications - how change effects people. |
| **Invests in newly listed companies (AFM company wide)**  This asset management company invests in companies which have recently listed on a stock exchange (which is important as it can help grow new businesses). |
| **Invests in new sustainability linked bond issuances (AFM company wide)**  Asset management company has investments in bonds designed to meet sustainability requirements - however these assets may not be 'ringfenced' for this purpose. See fund manager website for details. |
| **Offer structured intermediary training on sustainable investment**  Fund management entity offers unstructured intermediary training on sustainable investment (i.e. for financial advisers and wealth managers) |
| **Offer unstructured intermediary sustainable investment training**  Fund management entity offers unstructured intermediary training on sustainable investment (i.e. for financial advisers and wealth managers) |
| **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 company 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. |
| **Investment Association (IA) member**  Fund management entity is a member of the Investment Association https://www.theia.org/ |
| **ACCREDITATIONS** |
| **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. |
| **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' |
| **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'. |
| **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. |
| **Engaging on climate change issues**  Fund manager has stewardship /responsible ownership strategy that is focused on addressing climate change with investee assets. |
| **Engaging with fossil fuel companies on climate change**  Asset manager has a stewardship /responsible ownership strategy that involves working with fossil fuel companies on climate change related issues. See fund manager website for details. |
| **Engaging to reduce plastics pollution / waste**  Asset manager has stewardship /responsible ownership strategy with involves encouraging investee asset to reduce plastic waste and pollution. |
| **Engaging to encourage responsible mining practices**  Asset manager has a stewardship / responsible ownership policy that means they are working to encourage more responsible mining practices - where environmental and social issues are properly dealt with by the companies they invest in. |
| **Engaging on biodiversity / nature issues**  The asset manager has a responsible ownership / stewardship strategy that focuses on biodiversity and nature issues relating to the assets they invest the aim of which will be to reduce harm and or deliver improvement. Strategies vary. https://tnfd.global |
| **Engaging to encourage a Just Transition**  Asset manager has a responsible ownership / stewardship strategy which means they are working to encourage the shift to more sustainable business practices in ways that respect and are sensitive to social issues and the impact change has on people effected by the changes that are taking place. https://www.transitionpathwayinitiative.org/ https://transitiontaskforce.net/ |
| **Engaging on human rights issues**  Asset manager has responsible ownership / stewardship strategy in place which aims to address human rights issues in investee companies (and potentially their suppliers) with the aim of raising standards |
| **Engaging on labour / employment issues**  Asset manager has responsible ownership / stewardship strategy in place that aims to improve labour standards for the benefit of employees in investee companies (and potentially their suppliers) |
| **Engaging on diversity, equality and / or inclusion issues**  Asset management company has a stewardship strategy in place which involves working to raise diversity, equality and inclusion standards across investee assets |
| **Engaging on governance issues**  Fund managers have stewardship strategies in place that focus on improving governance standards across investee assets |
| **Engaging on mental health issues**  Asset manager has stewardship strategy in place which involves discussing mental health issues with investee companies - with the aim of raising standards |
| **Engaging on responsible supply chain issues**  Has a stewardship / responsible ownership strategy that encourages responsible supply chain - i.e. the managers will discuss environmental, social and governance issues with investee companies with the aim of raising standards |
| **Engaging to encourage more sustainable diversifiers**  Funds may use assets that are not directly aligned with sustainability objectives in order to help manage investment risk. Engaging for more sustainable options will aid alignment with fund objectives. |
| **Engaging on responsible use of AI** Working to address sustainability, ESG and related concerns around artificial intelligence. |
| **Engaging to stop modern slavery** working with the assets they hold to help stamp out modern slavery - where direct or indirect company employees are exploited for business benefits. |
| **COMPANY WIDE EXCLUSIONS** |
| **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.) |
| **Review(ing)carbon / fossil fuel exposure for all funds (AFM company 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 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. |
| **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. |
| **Do not invest in companies with fossil fuel reserves**  Asset management company excludes companies with fossil fuel reserves across all assets/funds |
| **CLIMATE & NET ZERO TRANSITION** |
| **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. |
| **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. |
| **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. |
| **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. |
| **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 company 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 - offset carbon as part of our net zero plan (AFM company 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 so that the end result is net zero. Calculations and scope vary. |
| **Carbon offsetting – do NOT offset carbon as part of net zero plan (AFM company wide)**  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 company wide)**  Find fund management companies that are working to reduce their own (fund management company) carbon/greenhouse gas emissions. |
| **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'. |
| **Committed to SBTi / Science Based Targets Initiative**  See https://sciencebasedtargets.org/ |
| **TRANSPARENCY** |
| **Publish responsible ownership / stewardship report (AFM company 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. |
| **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. |
| **Sustainability transition plan publicly available (AFM company 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. |
| **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 company wide)**  This asset management company has published a plan that explains how they are going to achieve net zero greenhouse gas / CO2e emissions. |

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

**The Fund EcoMarket database is designed ‘for information only’ for authorised intermediaries (IFAs, wealth managers etc) but open to everyone. It 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 sustainability, ethical, ESG and responsible investment information. We do not carry financial data.**

**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 retail financial services intermediaries however the information is open to everyone – i.e. in the public domain. It is also used by third party data providers and portfolio managers, and we share an API feed with a fund platform. Please ensure the information you supply is appropriate, can be evidenced and meets relevant regulatory requirements. 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 e.g. for compliance reasons. You may supply further information or request changes at any time.
* 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 typographical and formatting edits if necessary.
* For IT reasons 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](mailto:julia@sriServices.co.uk) [julia@sriServices.co.uk](mailto: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**](mailto:funds@sriservices.co.uk) **asap - or let us know if you have any questions**.

**Go to** [**www.FundEcoMarket.co.uk**](http://www.FundEcoMarket.co.uk) **to see how this information is presented.**

You are invited to **add a URL link** to our site (from your site) if you wish.