

Sustainable, responsible and ethical investment (SRI) questionnaire

(Corresponding with Fund EcoMarket SRI Styles, Policies and Features filters)

Name:

Adviser name:

Date:

Q 1: Would you like to consider ethical, social environmental, sustainability or faith based issues when looking at where you might invest?
YES / NO

Q 2: If 'Yes' which - if any - of the following 'SRI Styles' are of interest to you?

SRI Fund Options (specific investment options where the strategies help direct where money is invested.)

<p>'Ethically Balanced' funds, which combine a wide range of positive and negative ethical criteria (eg favouring companies with strong social and environmental practices whilst avoiding major polluters and manufacturers of tobacco and armaments). Such funds often make pragmatic decisions regarding 'pros and cons' and apply 'best in sector' strategies to allow investment in a wide range of acceptable companies.</p>	
<p>'Negative Ethical' funds core ethical approach is to apply clear, often strict, negative 'ethical' avoidance criteria – this may include avoiding armaments, tobacco, gambling companies and organisations with poor social or environmental practices. These are often regarded as being 'traditional' ethical fund options.</p>	
<p>'Sustainability Themed' funds typically select companies with sound environmental, social and governance strategies - favouring those that encourage or are helping to facilitate the transition towards more sustainable lifestyles. Many also have ethical screening criteria and therefore avoid commonly excluded areas.</p>	
<p>'Environmental Themed' funds bring environmental issues into the heart of their investment strategies, sometimes alongside positive and or negative ethical screening criteria (similarly to 'Sustainability themed' funds). Some look for companies that manage environmental issues well (across many different areas of business) - others favour 'solutions' companies (eg clean energy, resource efficiency and/or waste management).</p>	
<p>'Social Themed' funds focus on 'people issues' (eg employment and basic necessities of life) and assess societal benefits as well as financial returns. (note – there are few funds in this area)</p>	
<p>'Faith Based' investments invest in line with specific religious principles (eg Shariah Law) (note – there are few funds in this area)</p>	

Corporate Strategies (activity undertaken by fund managers what may or may not influence where a fund invests.)

<p>'ESG Integration' – a 'corporate level' strategy whereby some fund managers consider 'Environmental, Social and Governance' issues as part of their regular investment research and decision making - often across all funds, normally to help manage investment risk.</p>	
<p>'Responsible Ownership' – a 'corporate level' strategy whereby a fund manager uses their position as an investor to encourage the companies they invest in to improve their environmental, social governance practices eg by holding meetings with senior management and voting shares at AGMs.</p>	

SRI Styles comments/requests:

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Q 3: Optional additional information

Which, if any, of the following options are most important to you?

SRI Policies (Issues considered by fund / investment selection strategy).		Other fund manager / SRI fund features: (How fund works in practice / additional key facts)	
Animal testing policy		Balances company 'pros and cons' / 'best in sector' approach	
Animal welfare policy		Eurosif transparency	
Avoids armaments manufacture		Faith friendly	
Avoids tobacco production		Favours cleaner, greener companies	
Climate change / GHG policy		Favours companies with strong social policies	
Coal, oil & / or gas majors excluded		Limited / few ethical screens	
Environmental policy		Negative selection bias	
Ethical policies		Norms focus	
Governance policy		Over 50% large cap	
Health & wellbeing policies		Positive selection bias	
Invests in clean energy/renewable		RSMR Rated	
Limits exposure to carbon intensive industries		Specialist / boutique fund manager	
Measures positive impacts		Sustainability theme	
Nuclear policy		'Strictly' screened ethical fund	
Social policy		Responsible Ownership / ESG a key differentiator*	
Sustainability policy		In house responsible ownership / voting expertise*	
ESG/SRI engagement*		Publish full voting record*	
Integrates ESG factors into all/most fund research*		Publish Responsible Ownership /Stewardship report*	
Responsible ownership policy for non SRI funds*		Review(ing) carbon / fossil fuel exposure for all funds*	
Vote all shares at AGMs/EGMs*		Regularly lead collaborative ESG initiatives*	
		UK Stewardship Code signatory*	

*These issues relate to the fund management company strategy not simply specific ethical funds

Additional comments/requests: