



Ethical Fact Find

Name of Client:

Positive Criteria

i) Which of the following company activities would you like to aim to support?

Company Activity	Activity supported by fund
Basic Necessities	Yes / No / Desirable
Community Involvement	Yes / No / Desirable
Clean Energy / Renewables	Yes / No / Desirable
Climate Change Management	Yes / No / Desirable
Environmental Management	Yes / No / Desirable
Equal Opportunities	Yes / No / Desirable
Healthcare, Safety and Wellbeing	Yes / No / Desirable
Positive Labour Relations	Yes / No / Desirable
Positive Sustainability Strategies	Yes / No / Desirable
Sustainable Development	Yes / No / Desirable
Training & Education	Yes / No / Desirable

Negative Criteria

ii) Which of the following company activities would you like to aim to avoid investing in?

Company Activity	Activity avoided by fund
Alcohol – Production	Yes / No / Desirable
Animal Intensive Farming – Retail	Yes / No / Desirable
Animal Intensive Farming – Wholesale	Yes / No / Desirable
Animal Testing – Cosmetics and Toiletries	Yes / No / Desirable
Animal Testing – Pharmaceuticals	Yes / No / Desirable
Banks / Financial Services	Yes / No / Desirable
Coal / Oil / Gas Extraction	Yes / No / Desirable
Environmental Abuse	Yes / No / Desirable
Gambling	Yes / No / Desirable
Human Rights Abuse	Yes / No / Desirable
Military	Yes / No / Desirable
Nuclear Energy	Yes / No / Desirable
Pornography	Yes / No / Desirable
Tobacco	Yes / No / Desirable

Responsible Engagement

- i) Responsible engagement information is available via Synaptic research tools and/or direct from the product provider or fund manager.

Fund Manager Activity	
Is it important to you whether a fund management group is involved in trying to encourage better business practices?	Yes / No / Desirable
Would you like to know more about the responsible engagement activity carried out by the fund management group, such as what they do and how?	Yes / No / Desirable
Do you consider it important for a fund management group to adopt a responsible engagement process across their full ranges of funds, not just their ethical range?	Yes / No / Desirable
Do you consider it important for a fund management group to engage with companies outside of the UK?	Yes / No / Desirable
Would you prefer to invest with a fund manager that considers Environmental, Social and Governance issues as part of its regular investment decision making process, rather than just within ethical fund options?	Yes / No / Desirable

Broader Fund Management Group/Product Provider Activity

- i) The following areas can be indicators of a fund management group or product provider's commitment to responsible practices. Please indicate which you would like to know more about:

Fund Manager Activity	
Whether they have a publicly available "Corporate Social Responsibility" report?	Yes / No / Desirable
Whether they support the development of SRI (Sustainable and Responsible Investment) e.g. through membership of the UKSIF?	Yes / No / Desirable
Whether they are a signatory of the European SRI Transparency Guidelines?	Yes / No / Desirable
Whether they are a signatory of the UN Principles of Responsible Investment? (UN PRI)	Yes / No / Desirable
Whether they are a signatory of the UK Stewardship Code?	Yes / No / Desirable
Whether they aim to measure the positive impact of their investment strategies?	Yes / No / Desirable

Comments:

Adviser:

Company Name:

Adviser Signature:

Date:

Client Signature:

Date:

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Alcohol – Production

The fund's policy includes a level of avoidance of companies involved in alcohol sale/production.

Animal Intensive Farming – Retail

The fund's policy includes a level of avoidance of companies involved in animal intensive farming, for retail purposes. This includes companies marketing or selling products from animals that have been intensively reared.

Animal Intensive Farming – Wholesale

The fund's policy includes a level of avoidance of companies involved in animal intensive farming, for wholesale purposes. This includes companies carrying out intensive animal farming and husbandry.

Animal Testing – Cosmetics and Toiletries

The fund's policy includes a level of avoidance of companies involved in animal testing for the purposes of cosmetics and toiletries.

Animal Testing – Pharmaceuticals

The fund's policy includes a level of avoidance of companies involved in animal testing for pharmaceutical purposes.

Banks/Financial Services

The fund's policy includes a level of avoidance of companies involved in banking and other financial services companies such as insurance, investment with particular emphasis on those that are consistent with other Negative Criteria.

Basic Necessities

The fund's policy states that it will seek to invest in companies associated with basic necessities. This includes companies manufacturing, supplying and/or selling products and services that are considered as being necessary for everyday living such as water, food, clothing and housing.

Clean Energy / Renewables

The fund's policy states that the fund will seek to invest in companies associated with technologies aimed at lower carbon, cleaner forms of energy production.

Climate Change Management

The fund's policy states that it will seek to invest in companies that have sound policies and practices in place to aid the management of their direct and indirect carbon emissions and other climate change related impacts.

Coal / Oil / Gas Extraction

The fund has policies in place that significantly reduce the fund's investment in fossil fuel related extractive industries such as coal, oil and gas.

Community Involvement

The fund's policy states that it will seek to invest in companies associated with community involvement. This includes companies making financial donations to initiatives or groups within the community.

Environmental Abuse

The fund's policy includes a level of avoidance of companies involved in environmental abuse. This includes companies that derive turnover from activities adversely affecting the environment.

Environmental Management

The fund's policy states that it will seek to invest in companies that have sound environmental management policies.

Equal Opportunities

The fund's policy states that it seek to invest in companies that have strong equal opportunities employment policies.

Gambling

The fund's policy includes a level of avoidance of companies involved in gambling. This includes companies engaging in gambling and related activities such as the supply of gambling equipment.

Health, Safety and Wellbeing

The fund's policy states that it will seek to invest in companies associated with strong health and safety policies and that contribute to healthier lifestyles. This includes companies producing goods and services for the purpose of saving, protecting or enhancing human life.

Human Rights Abuse

The fund's policy includes a level of avoidance of companies involved in human rights abuses.

Military

The fund's policy includes a level of avoidance of companies involved in military. This includes companies engaged in the production and sale of military hardware and technology.

Nuclear Energy

The fund's policy includes a level of avoidance of companies involved in nuclear energy. This includes companies whose turnover is derived through the production of nuclear energy and/or the supply of goods and services to the nuclear industry.

Pornography

The fund's policy includes a level of avoidance of companies involved in pornography. This includes companies engaging in the production and/or distribution of offensive material.

Positive Labour Relations

The fund's policy states that it will seek to invest in companies associated with positive labour relations. This includes companies that practice and are able to prove a committed approach to positive labour relations to all staff.

Positive Sustainability Strategies

The fund has policies, strategies or objectives that are consistent with supporting business activities which will aid the transition towards more sustainable lifestyles.

Sustainable Development

The fund's policy states that the fund will seek to invest in companies associated with development that meets the needs of the present without compromising the ability of future generations to meet their own needs – in particular the essential needs of the world's poor.

Tobacco

The fund's policy includes a level of avoidance of companies involved in tobacco. This includes companies whose annual turnover derives from the production and/or sale of tobacco and tobacco related products.

Training & Education

The fund's policy states that the fund will seek to invest in companies associated with training & education. This includes companies that practice high standards of internal staff training and/or provide training facilities and resources to other parties.