

ESG Awards – Types of forms & questions

XXXIV

Premios Fondos

2023

Expansión

 allfunds

ESG CATEGORIES

Best ESG Large Fund House _____ 1

Best ESG Boutique Fund House _____ 2

Best Environmental fund _____ 3

Best Social fund _____ 5



Best ESG Large Fund House

1. What's your name and surname?
2. What's the name of your company?
3. When did you start to implement SRI / ESG / Thematic / Impact strategies & products?
4. What is the current AUM invested in SRI / ESG / Impact / Thematic strategies and as % of total AUM??
5. Have you launched new or closed any SRI / ESG / Impact / Thematic strategies in the last twelve months?
6. Please provide details
7. Have you supported any new major shareholder alliances / collaborations in the last twelve months?
8. Please provide details
9. How are you leading innovation within the industry?
10. What are the resources dedicated to Sustainable Investing?
11. Who is responsible for Sustainability / ESG oversight and implementation?
12. What is your definition of a "Sustainable Investment"?
13. Now we would need some documents from you:
 - Corporate Sustainability/ESG Investment Policy and/or Presentation
 - Latest Company level Sustainability Report (if you have any)
 - Engagement/Stewardship/Proxy Voting Policies
 - Latest Engagement/Stewardship/Proxy Voting Reports (if you have any)
 - Diversity, Equality and Inclusion Policy (if you have any)
 - Please attach the Remuneration Policy

Best ESG Boutique Fund House

1. What's your name and surname?
2. What's the name of your company?
3. When did you start to implement SRI / ESG / Thematic / Impact strategies & products?
4. What is the current AUM invested in SRI / ESG / Impact / Thematic strategies and as % of total AUM??
5. Have you launched new or closed any SRI / ESG / Impact / Thematic strategies in the last twelve months?
6. Please provide details
7. Have you supported any new major shareholder alliances / collaborations in the last twelve months?
8. Please provide details
9. How are you leading innovation within the industry?
10. What are the resources dedicated to Sustainable Investing?
11. Who is responsible for Sustainability / ESG oversight and implementation?
12. What is your definition of a "Sustainable Investment"?
13. Now we would need some documents from you:
 - Corporate Sustainability/ESG Investment Policy and/or Presentation
 - Latest Company level Sustainability Report (if you have any)
 - Engagement/Stewardship/Proxy Voting Policies
 - Latest Engagement/Stewardship/Proxy Voting Reports (if you have any)
 - Diversity, Equality and Inclusion Policy (if you have any)
 - Please attach the Remuneration Policy

Best Environmental fund

1. What's your name and surname?
2. What's the name of your company?
3. When did you start to implement SRI / ESG / Thematic / Impact strategies & products?
4. What is the current AUM invested in SRI / ESG / Impact / Thematic strategies and as % of total AUM??
5. Have you launched new or closed any SRI / ESG / Impact / Thematic strategies in the last twelve months?
6. Please provide details
7. Have you supported any new major shareholder alliances / collaborations in the last twelve months?
8. Please provide details
9. How are you leading innovation within the industry?
10. What are the resources dedicated to Sustainable Investing?
11. Who is responsible for Sustainability / ESG oversight and implementation?
12. What is your definition of a "Sustainable Investment"?
13. Now we would need some documents from you:
 - Corporate Sustainability/ESG Investment Policy and/or Presentation
 - Latest Company level Sustainability Report (if you have any)
 - Engagement/Stewardship/Proxy Voting Policies
 - Latest Engagement/Stewardship/Proxy Voting Reports (if you have any)
 - Diversity, Equality and Inclusion Policy (if you have any)
 - Please attach the Remuneration Policy
14. Why do you believe the Fund would be a worthy winner of the award? Please highlight at least three key aspects that differentiate you from peers:
15. Who is responsible for managing the Fund?
16. What is the current Fund AUM versus expected capacity?
17. Is the Fund classified as Article 8 or 9 under SFDR?
18. Is there a formal minimum % in Sustainable Investments as defined by SFDR?
19. Please provide summary details:
20. Is there a formal minimum % in EU Taxonomy aligned investments?
21. Please provide summary details:
22. Is there quantitative and/or qualitative consideration of principal adverse impacts (PAI)?
23. Please provide summary details:
24. Does the Fund have a specific ESG integration or Sustainability policy? This question is required.

25. Please provide summary details:
26. Does the Fund have an ESG benchmark?
27. Please provide summary details:
28. Does the Fund have an exclusion policy on UNGC violations sector?
29. What % of exclusion policy does the Fund have on the Controversial weapons sector?
30. What % of exclusion policy does the Fund have on the Coal sector?
31. What % of exclusion policy does the Fund have on the Conventional weapons sector?
32. What % of exclusion policy does the Fund have on the Tobacco sector?
33. What % of exclusion policy does the Fund have on the Gambling sector?
34. What % of exclusion policy does the Fund have on the Pornography sector?
35. Does the Fund have a formal process to monitor controversial behaviors of the companies in its investable universe?
If yes, please provide details
36. If the fund has Engagement/Stewardship/Proxy Voting policies, please provide document:
37. If the fund has Engagement/Stewardship/Proxy Voting reporting, please provide document:
38. Now we would need some documents from you:
- Prospectus & KIID for primary institutional share class
 - Latest RFP/DDQ
 - Latest presentation
 - Latest factsheet
 - Latest portfolio holdings (within the last two months)
 - Any strategy specific ESG reporting
 - European ESG Template (EET)

Best Social fund

1. What's your name and surname?
2. What's the name of your company?
3. When did you start to implement SRI / ESG / Thematic / Impact strategies & products?
4. What is the current AUM invested in SRI / ESG / Impact / Thematic strategies and as % of total AUM??
5. Have you launched new or closed any SRI / ESG / Impact / Thematic strategies in the last twelve months?
6. Please provide details
7. Have you supported any new major shareholder alliances / collaborations in the last twelve months?
8. Please provide details
9. How are you leading innovation within the industry?
10. What are the resources dedicated to Sustainable Investing?
11. Who is responsible for Sustainability / ESG oversight and implementation?
12. What is your definition of a "Sustainable Investment"?
13. Now we would need some documents from you:
 - Corporate Sustainability/ESG Investment Policy and/or Presentation
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22. Is there quantitative and/or qualitative consideration of principal adverse impacts (PAI)?
23. Please provide summary details:
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25. Please provide summary details:

26. Does the Fund have an ESG benchmark?
27. Please provide summary details:
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29. What % of exclusion policy does the Fund have on the Controversial weapons sector?
30. What % of exclusion policy does the Fund have on the Coal sector?
31. What % of exclusion policy does the Fund have on the Conventional weapons sector?
32. What % of exclusion policy does the Fund have on the Tobacco sector?
33. What % of exclusion policy does the Fund have on the Gambling sector?
34. What % of exclusion policy does the Fund have on the Pornography sector?
35. Does the Fund have a formal process to monitor controversial behaviors of the companies in its investable universe?
- If yes, please provide details - This question is required.
36. If the fund has Engagement/Stewardship/Proxy Voting policies, please provide document:
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