



## Sustainable Investing

Thank you for participating in this survey for SpareBank 1-alliansen, facilitated by The Governance Group AS.

*Please note that you are only asked to fill in information for the funds you provide to SpareBank 1-alliansen. When asked for additional information, i.e. parameters for monitoring sustainability impact, please keep your response precise and short.*

The survey consists of three parts:

In the first part you will be asked to provide information regarding exclusion criteria.

The second part will ask for information regarding funds with positive screening criteria.

The third part will cover active ownership.

\* 1. Please state the name of the company you represent:

\* 2. For verification purposes, please enter your email address:

\* Is the company a signatory of the Principles for Responsible Investment (PRI)?

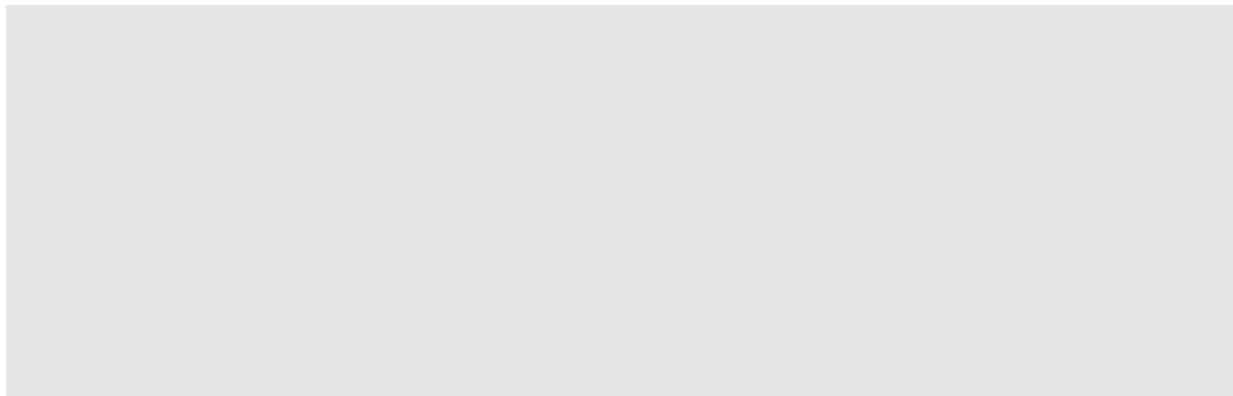
Yes

No

**\* 3. Please enter the fund(s) accordingly:**

**LEI - Name - AUM  
(etc.)**

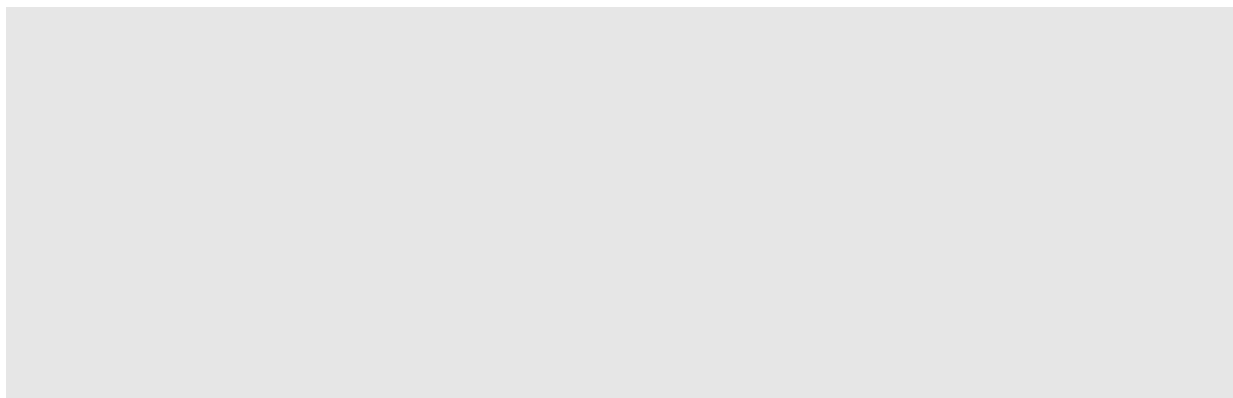
**State the value of the fund(s) (AUM) converted to NOK (per 31/12/2018).**



**4. If you measure the carbon footprint of your fund(s), please enter information accordingly:**

**LEI - Name - MMT CO<sub>2</sub>  
(etc.)**

**State the total carbon footprint (million metric tonnes of carbon dioxide equivalents) of the fund(s) for the last year.**



## Part 1 - Exclusions

**\* 5. In your fund management, do you exclude financial instruments based on criteria related to product or conduct?**

Yes

No

## Part 1 - Exclusions

\* 6. Do you apply the same exclusion criteria for all your funds in this category?

- Yes, all exclusions are based on the same set of criteria
- No, we have different sets of exclusion criteria for different funds



## Part 1 - Exclusions

The following section will ask questions regarding your funds' exclusion criteria.

This section should be filled out for each of your funds with exclusion criteria. However, if two or more funds have identical criteria, they can be grouped together and answered for in the same section.

You will have the opportunity to list the fund(s) you answer for at the beginning of each new section.

\* 7. Please list the fund(s) that will be included in this section by name(s):

A large, empty grey rectangular box intended for the user to list the names of the funds to be included in this section.

**\* 8. Please indicate which exclusion criteria you apply for your fund(s):**

- Production of weapons that violate fundamental humanitarian principles through their normal use
- Production of tobacco
- Provision of weapons or military equipment to states that are subject to investment restrictions on government bonds (I.e. EU or US sanctions)
- Serious or systematic human rights violations (deprivation of liberty, forced labour and the worst forms of child labour)
- Serious violations of the rights of individuals in situations of war or conflict
- Severe environmental damage
- Mining companies and power producers which themselves or through entities they control derive a substantial part or all of their income from thermal coal or base a substantial part or all of their operations on thermal coal.
- Acts or omissions that on an aggregate company level lead to unacceptable greenhouse gas emissions
- Gross corruption
- Production of or trade in illicit drugs
- Provision of gambling services
- Production of pornography
- Production of alcohol

**\* 9. What is your process for monitoring exclusions in your investment universe:**

- Data provided by rating agency (Sustainalytics, MSCI, S-Ray, etc)
- External ESG screening
- Other (please specify)

**\* 10. What is the frequency of monitoring your investment universe:**

- Daily
- Monthly
- Quarterly
- Annually

**Please briefly describe your ongoing screening processes**

**\* 11. Please describe the process of how you re-integrate companies that were previously excluded from your investment universe:**

**12. Please insert link to where information and guidelines related to the exclusion criteria can be found:**

## Part 2 - Positive screening

This is the second part of the survey. In this part, we will ask you to provide information about your funds that are subject to sustainable investment criteria related to positive screening.

Positive screening strategies in this section covers positive/best-in-class screening (selecting companies with especially strong ESG performance), sustainability-themed investing (such as in a fund focused on access to clean water or renewable energy) or impact investing (investing in companies that make a positive impact on an ESG issue).

**\* 19. Do you provide funds based on such positive screening strategies?**

Yes

No





## Part 2 - Positive screening

The following section will ask questions regarding your funds' positive screening criteria as defined on the previous page.

This section should be filled out for each of your funds with positive screening criteria. However, if two or more funds have identical criteria, they can be grouped together and answered for in the same section.

You will have the opportunity to list the fund(s) you answer for at the beginning of each new section.

\* 20. Please list the fund(s) that will be included in this section by name(s):

A large, empty grey rectangular box intended for the user to list the names of the funds included in this section.

**\* 21. Please indicate the investment criteria:**

- Climate change mitigation
- Climate change adaptation
- Sustainable use and protection of water and marine resources
- Transition to a circular economy, including waste prevention and increasing the uptake of secondary raw materials
- Pollution prevention and control
- Protection of biodiversity and healthy ecosystems, and restoration of degraded ecosystems
- Other sustainability criteria, i.e. social inclusion, gender equality, ESG ranking etc. (please specify)

[Redacted area for specifying other sustainability criteria]

**\* 22. For the investment criteria chosen above, please specify in detail which sub-parameters you assess when selecting your investments:**

- Climate change mitigation [Redacted]
- Climate change adaptation [Redacted]
- Pollution prevention and control [Redacted]
- Protection of biodiversity and healthy ecosystems [Redacted]
- Sustainable use and protection of water and marine resources [Redacted]
- Circular economy (waste prevention/reuse of raw materials) [Redacted]
- Other criteria, i.e. social inclusion, gender equality [Redacted]

**\* 23. Do you use the UN Sustainable Development Goals as an investment framework?**

Yes

No

Please comment/specify

[Redacted comment area]

**\* 24. What is your process for monitoring these companies in your investment universe:**

Data provided by rating agency (Sustainalytics, MSCI, S-Ray, etc)

External ESG screening

Other (please specify)

[Redacted comment area]

**\* 25. What is the frequency of monitoring your investment universe:**

Daily

Monthly

Quarterly

Annually

Please briefly describe your ongoing screening processes

[Redacted comment area]

**26. Please insert link to where information and guidelines related to the positive screening criteria can be found:**

[Redacted comment area]

**\* 27. Is your fund disclosing information on the fund's ratio of investments based on positive screening?**

Yes

No

**Part 2 - Positive screening**

\* 28. Please indicate the percentage of such investments for this fund/group of funds:

### Part 3 - Active Ownership

This is the third part of the survey. In this part, we will ask you to provide information about your active ownership activities and whether your fund exercises its investor influence to influence companies on sustainability issues.

**\* 89. Is your company engaged in active ownership activities, exercising investor influence on portfolio companies on ESG related issues?**

Yes

No

### Part 3 - Active Ownership

\* 90. How are you conducting your active ownership?

- Communicating with the companies on ESG issues
- Leveraging active ownership in cooperation with other investors
- Voting at General Meetings
- Participation in nomination procedures in order to influence the composition of the Board
- Other (please specify)

91. What ESG topics do you emphasize in your active ownership processes?

\* 92. Are you reporting on your active ownership?

- Yes
- No

### Part 3 - Active Ownership

\* 93. When reporting, which parameters do you use to track your active ownership impact?

\* 94. Do you report this information publicly?

Yes

No

If yes, please provide a link to where reporting on your active ownership can be found: