


LEA 02	Decision: Mandatory	Reason: PRU 123
<p>Type of engagement</p> <p>Individual/ internal staff engagements</p> <p>Collaborative engagements</p> <p>Service provider engagements</p>	<p>Reason for interaction</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> To support investment decision-making in the investment selection ESG issues <input checked="" type="checkbox"/> To encourage improved ESG disclosure <input type="checkbox"/> Other: identify <input type="checkbox"/> To do risk mitigation on internal staff <input checked="" type="checkbox"/> To inform investment decision-making in the company selection ESG issues <input checked="" type="checkbox"/> To encourage improved ESG disclosure <input type="checkbox"/> Other: identify <input type="checkbox"/> To do risk mitigation on service providers <input checked="" type="checkbox"/> To inform investment decision-making in the company selection ESG issues <input checked="" type="checkbox"/> To encourage improved ESG disclosure <input type="checkbox"/> Other: identify 	

PRIVATE RI REPORT

2020

Prescient Investment Management

About this report

This report is an export of the individual Signatory organisation responses to the PRI Reporting Framework during the reporting period specified above. It shows your responses to all completed indicators, even those you chose to keep private. It is designed for your internal review or – if you wish - to share with your stakeholders. The PRI will **not publish** this report on its website. Instead, you will be able to access the public RI Transparency report of your organisation and that of other signatories on the PRI website.

The information is presented exactly as it was reported. Where an indicator offers a response option that is multiple-choice, all options that were available to the signatory to select are presented in this report. Presenting the information exactly as reported is a result of signatory feedback which suggested the PRI not summarise the information.

Confidentiality and sharing via the Data Portal

Private Transparency Reports are confidential and only accessible to the reporting signatory via the Reporting Tool and on the Data Portal. The Data Portal does facilitate signatories to share these reports bilaterally with other signatories.

To request access, use the “Find A Report” tab to search, and click “Request access”. To check pending requests on your own reports, go to “Settings and Requests” tab. Your nominated Data Portal Contact can approve or decline requests.

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00 01	Mandatory	Gateway/Peering	General
00 01.1 Select the services and funds you offer			
Select the services and funds you offer		% of asset under management (AUM) in ranges	
Fund management		<input type="radio"/> 0% <input type="radio"/> <10% <input type="radio"/> 10-50% <input checked="" type="radio"/> >50%	
Fund of funds, manager of managers, sub-advised products		<input checked="" type="radio"/> 0% <input type="radio"/> <10% <input type="radio"/> 10-50% <input type="radio"/> >50%	
Other		<input checked="" type="radio"/> 0% <input type="radio"/> <10% <input type="radio"/> 10-50% <input type="radio"/> >50%	
Total 100%			
Further options (may be selected in addition to the above)			
<input checked="" type="checkbox"/> Hedge funds <input type="checkbox"/> Fund of hedge funds			
00 02	Mandatory	Peering	General
00 02.1 Select the location of your organisation's headquarters.			
South Africa			
00 02.2 Indicate the number of countries in which you have offices (including your headquarters).			
<input type="radio"/> 1 <input checked="" type="radio"/> 2-5 <input type="radio"/> 6-10 <input type="radio"/> >10			
00 02.3 Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).			
48			
00 02.4 Additional information. [Optional]			
Excludes interns and contract workers.			
00 03	Mandatory	Descriptive	General
00 03.1 Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right.			
<input type="radio"/> Yes <input checked="" type="radio"/> No			
00 04	Mandatory	Gateway/Peering	General
00 04.1 Indicate the year end date for your reporting year.			
31/03/2020			
00 04.2 Indicate your total AUM at the end of your reporting year.			
Total AUM 98,436,417,163 ZAR 6706580197 USD			
00 04.4 Indicate the assets which are subject to an execution and/or advisory approach. Provide this figure based on the end of your reporting year			
<input checked="" type="checkbox"/> Not applicable as we do not have any assets under execution and/or advisory approach			
00 05	Mandatory to Report, Voluntary to Disclose	Gateway	General
00 05.1 Provide an approximate percentage breakdown of your AUM at the end of your reporting year using the following asset classes and investment strategies:			
	Internally managed (%)	Externally managed (%)	
Listed equity	10-50%	0	
Fixed income	>50%	0	
Private equity	0	0	
Property	0	0	
Infrastructure	0	0	
Commodities	0	0	
Hedge funds	<10%	0	
Fund of hedge funds	0	0	
Forestry	0	0	
Farmland	0	0	
Inclusive finance	0	0	

Cash	0	0
Money market instruments	10-50%	0
Other (1), specify	<10%	0
Other (2), specify	0	0

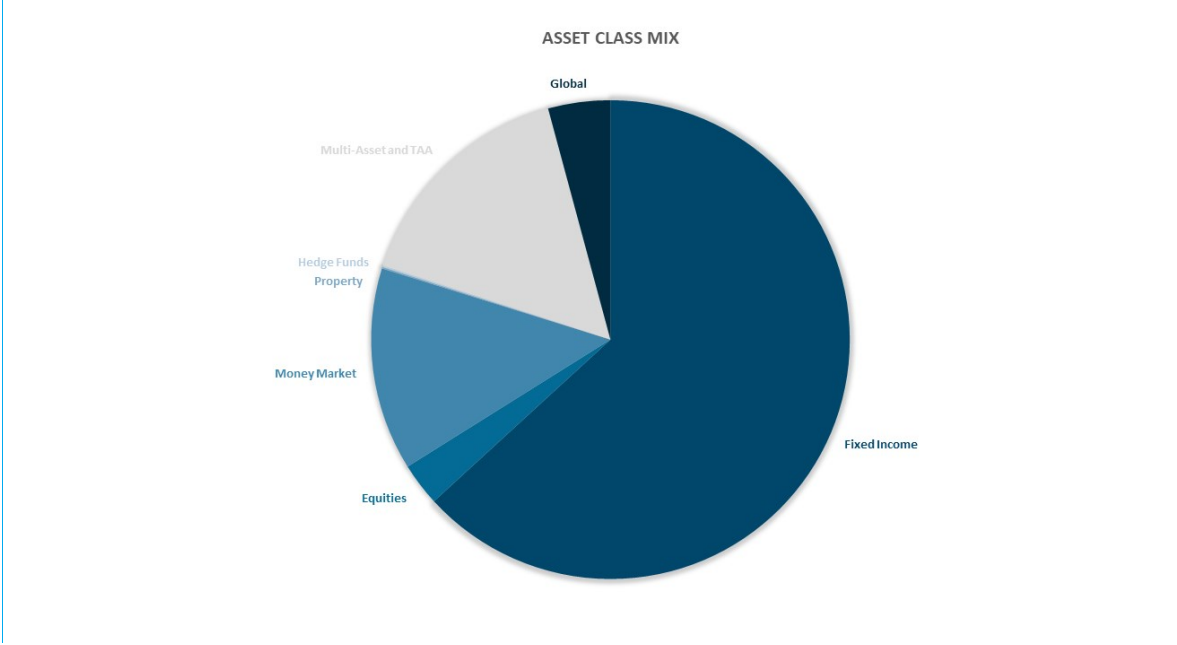
Internally managed 'Other (1)' description
Global

00 06 Mandatory Descriptive General

00 06.1 Select how you would like to disclose your asset class mix.

- as percentage breakdown
- as broad ranges

00 06.2 Publish asset class mix as per attached image [Optional].



00 06.3 Indicate whether your organisation has any off-balance sheet assets [Optional].

- Yes
- No

00 06.5 Indicate whether your organisation uses fiduciary managers.

- Yes, we use a fiduciary manager and our response to OO 5.1 is reflective of their management of our assets.
- No, we do not use fiduciary managers.

00 07 Mandatory to Report, Voluntary to Disclose Gateway General

00 07.1 Provide to the nearest 5% the percentage breakdown of your Fixed Income AUM at the end of your reporting year, using the following categories.

Internally managed	22	SSA
	60	Corporate (financial)
	18	Corporate (non-financial)
	0	Securitised
	0	

00 09 Mandatory Peering General

00 09.1 Indicate the breakdown of your organisation's AUM by market.

10	Developed Markets
90	Emerging Markets
0	Frontier Markets
0	Other Markets

00 10 Mandatory Gateway General

00 10.1 Select the active ownership activities your organisation implemented in the reporting year.

Listed equity – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We do not engage directly and do not require external managers to engage with companies on ESG factors.

Listed equity – voting

- We cast our (proxy) votes directly or via dedicated voting providers
- We do not cast our (proxy) votes directly and do not require external managers to vote on our behalf

Fixed income SSA – engagement

- We engage with SSA bond issuers on ESG factors via our staff, collaborations or service providers.
- We do not engage directly and do not require external managers to engage with SSA bond issuers on ESG factors. Please explain why you do not.

Fixed income Corporate (financial) – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.

Fixed income Corporate (non-financial) – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.

00 11	Mandatory	Gateway	General
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00 11.1 Select the internally managed asset classes in which you addressed ESG incorporation into your investment decisions and/or your active ownership practices (during the reporting year).

Listed equity

- We address ESG incorporation.
- We do not do ESG incorporation.

Fixed income - SSA

- We address ESG incorporation.
- We do not do ESG incorporation.

Fixed income - corporate (financial)

- We address ESG incorporation.
- We do not do ESG incorporation.

Fixed income - corporate (non-financial)

- We address ESG incorporation.
- We do not do ESG incorporation.

Hedge funds

- We address ESG incorporation.
- We do not do ESG incorporation.

Money market instruments

- We address ESG incorporation.
- We do not do ESG incorporation.

Other (1)

- We address ESG incorporation.
- We do not do ESG incorporation.

Other (1) [as defined in 00 05]

Global

00 12	Mandatory	Gateway	General
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00 12.1 Below are all applicable modules or sections you may report on. Those which are mandatory to report (asset classes representing 10% or more of your AUM) are already ticked and read-only. Those which are voluntary to report on can be opted into by ticking the box.

Core modules

- Organisational Overview
- Strategy and Governance

RI implementation directly or via service providers

Direct - Listed Equity incorporation

- Listed Equity incorporation

Direct - Listed Equity active ownership

- Engagements
- (Proxy) voting

Direct - Fixed Income

- Fixed income - SSA
- Fixed income - Corporate (financial)
- Fixed income - Corporate (non-financial)

Closing module

- Closing module

00 LE 01	Mandatory to Report, Voluntary to Disclose	Gateway	General
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00 LE 01.1 Provide a breakdown of your internally managed listed equities by passive, active - quantitative (quant), active - fundamental and active - other strategies.

93

Passive

0	Active - quantitative (quant)
0	Active - fundamental and active - other

OO LE 02 Mandatory to Report, Voluntary to Disclose Gateway General

OO LE 02.1 For strategies that account for less than 10% of your internally managed listed equities, indicate if you would still like to report your activities.

All active strategies

Yes

No

OO FI 01 Mandatory to Report, Voluntary to Disclose Gateway General

OO FI 01.1 Provide a breakdown of your internally managed fixed income securities by active and passive strategies

SSA	0	Passive
	100	Active - quantitative (quant)
	0	Active - fundamental and active - other
Corporate (financial)	0	Passive
	100	Active - quantitative (quant)
	0	Active - fundamental and active - other
Corporate (non-financial)	0	Passive
	100	Active - quantitative (quant)
	0	Active - fundamental and active - other

OO FI 03 Mandatory Descriptive General

OO FI 03.1 Indicate the approximate (+/- 5%) breakdown of your SSA investments, by developed markets and emerging markets.

SSA	0	Developed markets
	100	Emerging markets

OO FI 03.2 Indicate the approximate (+/- 5%) breakdown of your corporate and securitised investments by investment grade or high-yield securities.

Type	Investment grade (+/- 5%)	High-yield (+/- 5%)	Total internally managed
Corporate (financial)	<input checked="" type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input type="radio"/> 0%	<input type="radio"/> >50% <input type="radio"/> 10-50% <input checked="" type="radio"/> <10% <input type="radio"/> 0%	100%

OO FI 03.3 Additional information. [Optional]

not applicable

OO HF 01 Mandatory to Report, Voluntary to Disclose Descriptive General

OO HF 01.1 Please describe your hedge fund strategies and classification

Options presented for hedge funds

Main strategy	Strategy as % of hedge fund AUM	Sub-strategy
Equity Hedge	<input checked="" type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input type="radio"/> 0%	<input checked="" type="checkbox"/> Equity Market Neutral <input type="checkbox"/> Fundamental Growth <input type="checkbox"/> Fundamental Value <input type="checkbox"/> Quantitative Directional <input type="checkbox"/> Sector: Energy/Basic Materials <input type="checkbox"/> Sector: Healthcare <input type="checkbox"/> Sector: Technology <input type="checkbox"/> Short Bias <input checked="" type="checkbox"/> Multi-Strategy
Event Driven	<input type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input checked="" type="radio"/> 0%	

Global Macro	<input type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input checked="" type="radio"/> 0%	
Relative Value	<input type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input checked="" type="radio"/> 0%	
Risk Parity	<input type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input checked="" type="radio"/> 0%	
Blockchain	<input type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input checked="" type="radio"/> 0%	
Total 100% (of internal Hedge Fund AUM)		

OO Checks

Checks

If there are any messages below, please review them before continuing. If there are no messages below, please save this page and continue.

SG 01.1 Indicate if you have an investment policy that covers your responsible investment approach.

Yes

SG 01.2 Indicate the components/types and coverage of your policy.

Policy components/types	Coverage by AUM
<input checked="" type="checkbox"/> Policy setting out your overall approach	
<input type="checkbox"/> Formalised guidelines on environmental factors	
<input type="checkbox"/> Formalised guidelines on social factors	
<input checked="" type="checkbox"/> Formalised guidelines on corporate governance factors	
<input checked="" type="checkbox"/> Fiduciary (or equivalent) duties	<input checked="" type="checkbox"/> Applicable policies cover all AUM
<input checked="" type="checkbox"/> Asset class-specific RI guidelines	<input type="checkbox"/> Applicable policies cover a majority of AUM
<input type="checkbox"/> Sector specific RI guidelines	<input type="checkbox"/> Applicable policies cover a minority of AUM
<input checked="" type="checkbox"/> Screening / exclusions policy	
<input type="checkbox"/> Other, specify (1)	
<input type="checkbox"/> Other, specify(2)	

SG 01.3 Indicate if the investment policy covers any of the following

- Your organisation's definition of ESG and/or responsible investment and it's relation to investments
- Your investment objectives that take ESG factors/real economy influence into account
- Time horizon of your investment
- Governance structure of organisational ESG responsibilities
- ESG incorporation approaches
- Active ownership approaches
- Reporting
- Climate change
- Understanding and incorporating client / beneficiary sustainability preferences
- Other RI considerations, specify (1)
- Other RI considerations, specify (2)

SG 01.4 Describe your organisation's investment principles and overall investment strategy, interpretation of fiduciary (or equivalent) duties, and how they consider ESG factors and real economy impact.

Prescient is a quantitative investment manager aiming to deliver superior risk-adjusted returns for its clients over the long-term. Prescient's investment process covers all investment related principles from investment research and idea generation to security selection and portfolio construction, and finally portfolio monitoring and proxy voting. In line with the responsibility to ensure that capital flows are directed such that a balance is struck between short-term financial gain and long-term sustainability goals, Prescient incorporates ESG considerations at each of these stages.

Prescient understands that it bears a fiduciary responsibility to manage investments in a manner that best serves the client's long-term economic interests by enhancing and preserving shareholder/debtholder value. Corporate behaviours that diverge from the interests of investors are more likely to occur within an environment of stakeholder apathy. It is for this reason that fund managers must assume the responsibility of protecting the value of their clients' investments against potentially harmful management decisions and organizational behaviours.

No

SG 01.6 CC Indicate whether your organisation has identified transition and physical climate-related risks and opportunities and factored this into the investment strategies and products, within the organisation's investment time horizon.

Yes

Describe the identified transition and physical climate-related risks and opportunities and how they have been factored into the investment strategies/products.

Prescient has dedicated itself to playing an active role in alleviating the impact of carbon emissions to the environment. We have achieved this by structuring an investment strategy that directly addresses the impact of carbon emissions. The investment strategy is carried out through the Prescient Clean Energy and Infrastructure Debt Fund. The aim of the fund is to deliver sustainable long-term income to investors while maintaining a high level of Environmental and Social Impact in the investment portfolio.

The strategy is to provide debt financing to clean energy and infrastructure projects within South Africa that will reduce carbon emissions, create jobs for South African citizens, provide socio-economic and enterprise development upliftment as well as deliver the infrastructure needed to facilitate growth and greater prosperity. The project selection process aims to ensure that we have a well-diversified portfolio of assets, investing in proven clean energy technologies across the country, that meet sustainable long-term income objectives.

Aside from the investment strategy, our corporate culture champions sustainability. We take recycling seriously and have implemented energy saving measures.

No

SG 01.7 CC Indicate whether the organisation has assessed the likelihood and impact of these climate risks?

Yes

Describe the associated timescales linked to these risks and opportunities.

The environmental risks associated with carbon emissions are of a long-term nature. We have, therefore, structured the Clean Energy and Infrastructure Debt Fund to have a long-term view and returns' objectives. This further aligns with our overall approach as we are an investment manager that aims to deliver superior risk-adjusted returns for its clients over the long-term.

No

SG 01.8 CC Indicate whether the organisation publicly supports the TCFD?

Yes

No

Explain the rationale

We are in the process of developing a procedure for reporting on climate-change related risks.

SG 01.9 CC Indicate whether there is an organisation-wide strategy in place to identify and manage material climate-related risks and opportunities.

Yes

No

Describe how and over what time frame the organisation will implement an organisation-wide strategy that manages climate-related risks and opportunities.

We are yet to draft a company wide framework that manages climate-related risks and opportunities. We target to complete this within the next year (by March 2021).

SG 1.10 CC Indicate the documents and/or communications the organisation uses to publish TCFD disclosures.

- Public PRI Climate Transparency Report

- Annual financial filings
- Regular client reporting
- Member communications
- Other
- We currently do not publish TCFD disclosures

SG 02.1 Indicate which of your investment policy documents (if any) are publicly available. Provide a URL and an attachment of the document.

- Policy setting out your overall approach

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- Formalised guidelines on corporate governance factors

	URL/Attachment
<input type="checkbox"/> URL	
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- Fiduciary (or equivalent) duties

	URL/Attachment
<input type="checkbox"/> URL	
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- Asset class-specific RI guidelines

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- Screening / exclusions policy

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- Engagement policy

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- (Proxy) voting policy

	URL/Attachment
<input type="checkbox"/> URL	
<input checked="" type="checkbox"/> Attachment (will be made public)	
Files: link	
- We do not publicly disclose our investment policy documents

SG 02.2 Indicate if any of your investment policy components are publicly available. Provide URL and an attachment of the document.

- Your organisation's definition of ESG and/or responsible investment and it's relation to investments

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf
<input checked="" type="checkbox"/> Attachment	prescient_investment_management_esg_policy.pdf
- Your investment objectives that take ESG factors/real economy influence into account

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf
<input checked="" type="checkbox"/> Attachment	prescient_investment_management_esg_policy.pdf
- Governance structure of organisational ESG responsibilities
- ESG incorporation approaches

	URL/Attachment
<input checked="" type="checkbox"/> URL	https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf
<input checked="" type="checkbox"/> Attachment	

prescient_investment_management_esg_policy.pdf

Active ownership approaches

URL/Attachment
<input checked="" type="checkbox"/> URL https://prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf
<input checked="" type="checkbox"/> Attachment prescient_investment_management_engagement_policy.pdf

Reporting

URL/Attachment
<input checked="" type="checkbox"/> URL https://prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf
<input checked="" type="checkbox"/> Attachment prescient_investment_management_engagement_policy.pdf

Understanding and incorporating client / beneficiary sustainability preferences

We do not publicly disclose any investment policy components

SG 03	Mandatory	Core Assessed	General
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SG 03.1 Indicate if your organisation has a policy on managing potential conflicts of interest in the investment process.

Yes

SG 03.2 Describe your policy on managing potential conflicts of interest in the investment process.

Two areas for potential of conflict of interest:

The potential for portfolio managers to make security or portfolio selections that depart from our RI guidelines is controlled. Our decision makers are not permitted or eligible to receive any incentives from external instances that may give rise to a conflict of interest, and they are accountable for adhering to internal policy guidelines. There are different levels of checks built into the process to ensure that mandates are aligned with client, internal and regulatory requirements.

We engage with our clients on our commitment to RI principles and conduct with respect to the assets which we manage on their behalf. Where our RI choices may be in conflict with client agendas, we would in principle seek to persuade them of the merits of an approach incorporating sustainability considerations. If any of our clients reserve the right to make their own proxy-voting decisions in respect of securities held in their portfolios, we adhere to their wishes and feed through their elections to relevant custodians. However, this represents a negligible minority of mandates. Ultimately, we apply our minds to all cases and vote proxies according to our internal policies, on all securities held.

No

SG 04	Voluntary	Descriptive	General
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SG 04.1 Indicate if your organisation has a process for identifying and managing incidents that occur within investee entities.

Yes

No

SG 04.2 Describe your process on managing incidents

We have a comprehensive Engagement Policy that outlines a set of guidelines we follow when engaging with various stakeholders on material ESG issues across all asset classes. Given the diverse factors to consider when engaging with various stakeholders, our engagement guidelines are tailored for three distinct classes of engagement: Engagement with Investees, Engagement with Other Stakeholders and Engagement by Proxy Voting. Furthermore, we have an extensive network of brokers that help in identifying incidents that occur within portfolio companies.

SG 05	Mandatory	Gateway/Core Assessed	General
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SG 05.1 Indicate if and how frequently your organisation sets and reviews objectives for its responsible investment activities.

Quarterly or more frequently

Biannually

Annually

Less frequently than annually

Ad-hoc basis

It is not set/reviewed

SG 05.2 Additional information. [Optional]

We have quarterly ESG Committee meetings where we set and review objectives for our responsible investment activities. In addition, we hold frequent meetings to deliberate on our progress and on current issues.

SG 06	Voluntary	Descriptive	General
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SG 06.1 List the main responsible investment objectives that your organisation set for the reporting year.

Responsible investment processes					
<input checked="" type="checkbox"/> Provide training on ESG incorporation	<table border="1"> <tr> <th>Key performance indicator</th> <td>Awareness of our company's ESG Policy and a business-wide implementation of the ESG guidelines outlined in the company's ESG Policy.</td> </tr> <tr> <th>Progress achieved</th> <td>We successfully presented our ESG Policy to the company and engaged further regarding how each employee can play an active role in the implementation of the company's ESG goals as outlined in our ESG Policy. At this point, the entire business is aware of our ESG integration approach and all employees incorporate our ESG integration philosophy where need be.</td> </tr> </table>	Key performance indicator	Awareness of our company's ESG Policy and a business-wide implementation of the ESG guidelines outlined in the company's ESG Policy.	Progress achieved	We successfully presented our ESG Policy to the company and engaged further regarding how each employee can play an active role in the implementation of the company's ESG goals as outlined in our ESG Policy. At this point, the entire business is aware of our ESG integration approach and all employees incorporate our ESG integration philosophy where need be.
Key performance indicator	Awareness of our company's ESG Policy and a business-wide implementation of the ESG guidelines outlined in the company's ESG Policy.				
Progress achieved	We successfully presented our ESG Policy to the company and engaged further regarding how each employee can play an active role in the implementation of the company's ESG goals as outlined in our ESG Policy. At this point, the entire business is aware of our ESG integration approach and all employees incorporate our ESG integration philosophy where need be.				
<input checked="" type="checkbox"/> Provide training on ESG engagement	<table border="1"> <tr> <th>Key performance indicator</th> <td>Awareness of our company's Engagement Policy and a business-wide implementation of the engagement guidelines outlined in our Engagement Policy.</td> </tr> <tr> <th>Progress achieved</th> <td>We successfully presented our Engagement Policy to the company and engaged further regarding how each employee can play an active role in the implementation of the engagement guidelines outlined in our Engagement Policy. At this point, the entire business is aware of our engagement approach and all employees incorporate our engagement philosophy where need be.</td> </tr> </table>	Key performance indicator	Awareness of our company's Engagement Policy and a business-wide implementation of the engagement guidelines outlined in our Engagement Policy.	Progress achieved	We successfully presented our Engagement Policy to the company and engaged further regarding how each employee can play an active role in the implementation of the engagement guidelines outlined in our Engagement Policy. At this point, the entire business is aware of our engagement approach and all employees incorporate our engagement philosophy where need be.
Key performance indicator	Awareness of our company's Engagement Policy and a business-wide implementation of the engagement guidelines outlined in our Engagement Policy.				
Progress achieved	We successfully presented our Engagement Policy to the company and engaged further regarding how each employee can play an active role in the implementation of the engagement guidelines outlined in our Engagement Policy. At this point, the entire business is aware of our engagement approach and all employees incorporate our engagement philosophy where need be.				
<input checked="" type="checkbox"/> Improved communication of ESG activities within the organisation	<table border="1"> <tr> <th>Key performance indicator</th> <td>Quality and frequency of communication regarding ESG activities.</td> </tr> <tr> <th>Progress achieved</th> <td>We have improved our communication by ensuring that after each ESG Committee meeting we draft a report that properly outlines the various agenda points. Furthermore, we have ensured that the company understands that it is not only the ESG Committee that is responsible for ESG integration within the business, but all employees are responsible and should therefore always voice</td> </tr> </table>	Key performance indicator	Quality and frequency of communication regarding ESG activities.	Progress achieved	We have improved our communication by ensuring that after each ESG Committee meeting we draft a report that properly outlines the various agenda points. Furthermore, we have ensured that the company understands that it is not only the ESG Committee that is responsible for ESG integration within the business, but all employees are responsible and should therefore always voice
Key performance indicator	Quality and frequency of communication regarding ESG activities.				
Progress achieved	We have improved our communication by ensuring that after each ESG Committee meeting we draft a report that properly outlines the various agenda points. Furthermore, we have ensured that the company understands that it is not only the ESG Committee that is responsible for ESG integration within the business, but all employees are responsible and should therefore always voice				

their suggestions/concerns. On an ad hoc basis, we also circulate various ESG related communications within the business.

- Improved engagement to encourage change with regards to management of ESG issues
- Improved ESG incorporation into investment decision making processes

Key performance indicator
Finalise the development of our in-house ESG scorecard.
Progress achieved
We successfully completed our in-house ESG scorecard. The scorecard is generated via a systematic in-house ESG scoring tool.

- Other, specify (1)
- Other, specify (2)
- Other, specify (3)
- None of the above

SG 07	Mandatory	Core Assessed	General
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SG 07.1 Indicate the internal and/or external roles used by your organisation, and indicate for each whether they have oversight and/or implementation responsibilities for responsible investment.

Roles						
<input checked="" type="checkbox"/> Board members or trustees <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 						
<input checked="" type="checkbox"/> Internal Roles (triggers other options) <table border="1" style="margin-left: 20px;"> <tr> <td style="background-color: #0070c0; color: white;">Select from the below internal roles</td> </tr> <tr> <td> <input checked="" type="checkbox"/> Chief Executive Officer (CEO), Chief Investment Officer (CIO), Chief Operating Officer (COO), Investment Committee <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oversight/accountability for responsible investment <input type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment </td> </tr> <tr> <td> <input type="checkbox"/> Other Chief-level staff or head of department, specify </td> </tr> <tr> <td> <input checked="" type="checkbox"/> Portfolio managers <ul style="list-style-type: none"> <input type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment </td> </tr> <tr> <td> <input checked="" type="checkbox"/> Investment analysts <ul style="list-style-type: none"> <input type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment </td> </tr> <tr> <td> <input type="checkbox"/> Dedicated responsible investment staff <input type="checkbox"/> Investor relations <input type="checkbox"/> Other role, specify (1) <input type="checkbox"/> Other role, specify (2) </td> </tr> </table>	Select from the below internal roles	<input checked="" type="checkbox"/> Chief Executive Officer (CEO), Chief Investment Officer (CIO), Chief Operating Officer (COO), Investment Committee <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oversight/accountability for responsible investment <input type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 	<input type="checkbox"/> Other Chief-level staff or head of department, specify	<input checked="" type="checkbox"/> Portfolio managers <ul style="list-style-type: none"> <input type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 	<input checked="" type="checkbox"/> Investment analysts <ul style="list-style-type: none"> <input type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 	<input type="checkbox"/> Dedicated responsible investment staff <input type="checkbox"/> Investor relations <input type="checkbox"/> Other role, specify (1) <input type="checkbox"/> Other role, specify (2)
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<input type="checkbox"/> Other Chief-level staff or head of department, specify						
<input checked="" type="checkbox"/> Portfolio managers <ul style="list-style-type: none"> <input type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 						
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<input type="checkbox"/> Dedicated responsible investment staff <input type="checkbox"/> Investor relations <input type="checkbox"/> Other role, specify (1) <input type="checkbox"/> Other role, specify (2)						
<input type="checkbox"/> External managers or service providers						

SG 07.2 For the roles for which you have RI oversight/accountability or implementation responsibilities, indicate how you execute these responsibilities.
 The CEO, who is also a member of the ESG committee, reports to the Board and has overall responsibility for maintaining and implementing RI policies.

SG 07.3 Indicate the number of dedicated responsible investment staff your organisation has.
 38

SG 07 CC	Mandatory to Report, Voluntary to Disclose	Descriptive	General
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SG 07.5 CC Indicate the roles in the organisation that have oversight, accountability and/or management responsibilities for climate-related issues.

Board members or trustees
<input checked="" type="checkbox"/> Oversight/accountability for climate-related issues <input type="checkbox"/> Assessment and management of climate-related issues <input type="checkbox"/> No responsibility for climate-related issues
Chief Executive Officer (CEO), Chief Investment Officer (CIO), Chief Risk Officer (CRO), Investment Committee
<input checked="" type="checkbox"/> Oversight/accountability for climate-related issues <input type="checkbox"/> Assessment and management of climate-related issues <input type="checkbox"/> No responsibility for climate-related issues
Portfolio managers
<input checked="" type="checkbox"/> Oversight/accountability for climate-related issues <input checked="" type="checkbox"/> Assessment and management of climate-related issues <input type="checkbox"/> No responsibility for climate-related issues
Investment analysts
<input type="checkbox"/> Oversight/accountability for climate-related issues <input checked="" type="checkbox"/> Assessment and management of climate-related issues <input type="checkbox"/> No responsibility for climate-related issues

SG 07.6 CC For board-level roles that have climate-related issue oversight/accountability or implementation responsibilities, indicate how these responsibilities are executed.
 The CEO, who is also a member of the ESG committee, reports to the board and is responsible for ensuring climate-related issues oversight.

SG 08	Voluntary	Additional Assessed	General
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SG 08.1	Indicate if your organisation's performance management, reward and/or personal development processes have a responsible investment element.	
Board members/Board of trustees		
SG 08.1b	Ri in personal development and/or training plan	
<input type="checkbox"/> Responsible investment included in personal development and/or training plan <input checked="" type="checkbox"/> None of the above		
Chief Executive Officer (CEO), Chief Investment Officer (CIO), Chief Operating Officer (COO), Investment Committee		
SG 08.1a	Ri in objectives, appraisal and/or reward	
<input checked="" type="checkbox"/> Responsible investment KPIs and/or goals included in objectives <input type="checkbox"/> Responsible investment included in appraisal process <input type="checkbox"/> Variable pay linked to responsible investment performance <input type="checkbox"/> None of the above		
SG 08.1b	Ri in personal development and/or training plan	
<input checked="" type="checkbox"/> Responsible investment included in personal development and/or training plan <input type="checkbox"/> None of the above		
Portfolio managers		
SG 08.1a	Ri in objectives, appraisal and/or reward	
<input checked="" type="checkbox"/> Responsible investment KPIs and/or goals included in objectives <input checked="" type="checkbox"/> Responsible investment included in appraisal process <input type="checkbox"/> Variable pay linked to responsible investment performance <input type="checkbox"/> None of the above		
SG 08.1b	Ri in personal development and/or training plan	
<input checked="" type="checkbox"/> Responsible investment included in personal development and/or training plan <input type="checkbox"/> None of the above		
Investment analysts		
SG 08.1a	Ri in objectives, appraisal and/or reward	
<input checked="" type="checkbox"/> Responsible investment KPIs and/or goals included in objectives <input checked="" type="checkbox"/> Responsible investment included in appraisal process <input type="checkbox"/> Variable pay linked to responsible investment performance <input type="checkbox"/> None of the above		
SG 08.1b	Ri in personal development and/or training plan	
<input checked="" type="checkbox"/> Responsible investment included in personal development and/or training plan <input type="checkbox"/> None of the above		

SG 09	Mandatory	Core Assessed	PRI 4, 5
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SG 09.1	Select the collaborative organisation and/or initiatives of which your organisation is a member or in which it participated during the reporting year, and the role you played.		
<input checked="" type="checkbox"/> Principles for Responsible Investment			
		Your organisation's role in the initiative during the reporting period (see definitions)	
		Moderate	
		Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]	
		<ul style="list-style-type: none"> Attended seminars/conferences hosted by UNPRI. Participated in discussions in the UNPRI online platform. 	
<input type="checkbox"/> Asian Corporate Governance Association <input type="checkbox"/> Australian Council of Superannuation Investors <input type="checkbox"/> AVCA: Sustainability Committee <input type="checkbox"/> France Invest – La Commission ESG <input type="checkbox"/> BVCA – Responsible Investment Advisory Board <input type="checkbox"/> CDP Climate Change <input type="checkbox"/> CDP Forests <input type="checkbox"/> CDP Water <input type="checkbox"/> CFA Institute Centre for Financial Market Integrity <input type="checkbox"/> Climate Action 100+			
<input checked="" type="checkbox"/> Code for Responsible Investment in SA (CRISA)			
		Your organisation's role in the initiative during the reporting period (see definitions)	
		Moderate	
		Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]	
		Acted as an active spokesperson Initiated Collaboration Provided general support for the initiative in various non-public forums. Other Role: The CRISA code has now been incorporated as a standard in the statutory regulations for retirement fund conduct in SA (Regulation 28)	
<input type="checkbox"/> Council of Institutional Investors (CII) <input type="checkbox"/> Eumedion <input type="checkbox"/> Extractive Industries Transparency Initiative (EITI) <input type="checkbox"/> ESG Research Australia <input type="checkbox"/> Invest Europe Responsible Investment Roundtable <input type="checkbox"/> Global Investors Governance Network (GIGN) <input type="checkbox"/> Global Impact Investing Network (GIIN)			

- Global Real Estate Sustainability Benchmark (GRESB)
- Green Bond Principles
- HKVCA: ESG Committee
- Institutional Investors Group on Climate Change (IIGCC)
- Interfaith Center on Corporate Responsibility (ICCR)
- International Corporate Governance Network (ICGN)
- Investor Group on Climate Change, Australia/New Zealand (IGCC)
- International Integrated Reporting Council (IIRC)
- Investor Network on Climate Risk (INCR)/CERES
- Local Authority Pension Fund Forum
- Principles for Financial Action in the 21st Century
- Principles for Sustainable Insurance
- Regional or National Social Investment Forums (e.g. UKSIF, EuroSif, ASRIA, RIAA), specify

Social Investment Forums

Your organisation's role in the initiative during the reporting period (see definitions)

Moderate

Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]

- Provided general support for the initiative in various non-public forums.
- Supported to some degree in leadership and / or preparation of documents

- Responsible Finance Principles in Inclusive Finance
- Shareholder Association for Research and Education (Share)
- United Nations Environmental Program Finance Initiative (UNEP FI)
- United Nations Global Compact
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify

SG 10 **Mandatory** **Core Assessed** **PRI 4**

SG 10.1 **Indicate if your organisation promotes responsible investment, independently of collaborative initiatives.**

Yes

SG 10.2 **Indicate the actions your organisation has taken to promote responsible investment independently of collaborative initiatives. Provide a description of your role in contributing to the objectives of the selected action and the typical frequency of your participation/contribution.**

- Provided or supported education or training programmes (this includes peer to peer RI support) Your education or training may be for clients, investment managers, actuaries, broker/dealers, investment consultants, legal advisers etc.)

Description

Our training was company specific and our main objective was to ensure that our ESG integration philosophy is disseminated and implemented business-wide.

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Provided financial support for academic or industry research on responsible investment
- Provided input and/or collaborated with academia on RI related work
- Encouraged better transparency and disclosure of responsible investment practices across the investment industry

Description

We encouraged better transparency and disclosure through our engagements with our investees and other stakeholders.

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Spoke publicly at events and conferences to promote responsible investment
- Wrote and published in-house research papers on responsible investment
- Encouraged the adoption of the PRI

Description

We drafted and finalised our ESG Policy, Engagement Policy and Corporate and Proxy Voting Policy. We further presented the various policies to the entire investment team to ensure that all employees are aware of our approach and seriousness regarding the integration of ESG factors in our overall investment process.

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Responded to RI related consultations by non-governmental organisations (OECD, FSB etc.)
- Wrote and published articles on responsible investment in the media

Description
We wrote and published an article titled "Sustainable Investing, Beyond the Box Ticking and Questionnaires" and featured in the 2020 ESG Green Pages publication.
Frequency of contribution
<input type="radio"/> Quarterly or more frequently <input type="radio"/> Biannually <input type="radio"/> Annually <input type="radio"/> Less frequently than annually <input checked="" type="radio"/> Ad hoc <input type="radio"/> Other
<input type="checkbox"/> A member of PRI advisory committees/ working groups, specify <input type="checkbox"/> On the Board of, or officially advising, other RI organisations (e.g. local SIFs) <input type="checkbox"/> Other, specify <input type="radio"/> No

SG 10.3 Describe any additional actions and initiatives that your organisation has taken part in during the reporting year to promote responsible investment [Optional]

We view RI as an area of industry conduct where collaborative outcomes are potentially more effective than individual firm initiatives. Pursuant to this we have sought, and continue to seek, engagements with our peers to bring about co-operative models for monitoring of ESG deficits and engagements with issuers/investees

SG 11	Voluntary	Additional Assessed	PRI 4,5,6
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SG 11.1 Indicate if your organisation - individually or in collaboration with others - conducted dialogue with public policy makers or regulators in support of responsible investment in the reporting year.

Yes
 No

SG 12	Mandatory	Core Assessed	PRI 4
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SG 12.1 Indicate whether your organisation uses investment consultants.

Yes, we use investment consultants

SG 12.4 Indicate whether you use investment consultants for any the following services. Describe the responsible investment components of these services.

Custodial services

Describe how responsible investment is incorporated

We ensure that they are aware of our ESG integration philosophy.

Investment policy development

Describe how responsible investment is incorporated

We ensure that they are aware of our ESG integration philosophy and guidelines.

Strategic asset allocation

Investment research

Describe how responsible investment is incorporated

We ensure that they are aware of our ESG integration philosophy.

Other, specify (1)
 Other, specify (2)
 Other, specify (3)
 None of the above

No, we do not use investment consultants.

SG 13	Mandatory	Descriptive	PRI 1
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SG 13.1 Indicate whether the organisation carries out scenario analysis and/or modelling, and if it does, provide a description of the scenario analysis (by asset class, sector, strategic asset allocation, etc.).

Yes, in order to assess future ESG factors
 Yes, in order to assess future climate-related risks and opportunities
 No, our organisation does not currently carry out scenario analysis and/or modelling

SG 14	Mandatory to Report, Voluntary to Disclose	Additional Assessed	PRI 1
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SG 14.1 Some investment risks and opportunities arise as a result of long term trends. Indicate which of the following are considered.

Changing demographics
 Climate change
 Resource scarcity
 Technological developments
 Other, specify(1)
 Other, specify(2)
 None of the above

SG 14.2 Indicate which of the following activities you have undertaken to respond to climate change risk and opportunity

Established a climate change sensitive or climate change integrated asset allocation strategy

Targeted low carbon or climate resilient investments

Specify the AUM invested in low carbon and climate resilient portfolios, funds, strategies or asset classes.

Total AUM
1,281,835,885 ZAR
87332873 USD

Specify the framework or taxonomy used.

The Clean Energy and Infrastructure Debt Fund the aims to deliver sustainable long-term income to investors while maintaining a high level of Environmental and Social Impact in the investment portfolio. Furthermore, the fund follows an investment strategy that seeks to invest in clean energy and other infrastructure that will have a positive social and environmental impact by integrating the environmental and social impact assessment into our investment decision making process. The target is to build a portfolio of infrastructure investments that improves the sustainability of our energy supply and provides the infrastructure that is vital for the development of South Africa.

- Phase out your investments in your fossil fuel holdings
- Reduced portfolio exposure to emissions intensive or fossil fuel holdings
- Used emissions data or analysis to inform investment decision making
- Sought climate change integration by companies
- Sought climate supportive policy from governments
- Other, specify
- None of the above

SG 14.3 Indicate which of the following tools the organisation uses to manage climate-related risks and opportunities.

- Scenario analysis
- Disclosures on emissions risks to clients/trustees/management/beneficiaries
- Climate-related targets
- Encouraging internal and/or external portfolio managers to monitor emissions risks
- Emissions-risk monitoring and reporting are formalised into contracts when appointing managers
- Weighted average carbon intensity
- Carbon footprint (scope 1 and 2)
- Portfolio carbon footprint
- Total carbon emissions
- Carbon intensity
- Exposure to carbon-related assets
- Other emissions metrics
- Other, specify
- None of the above

SG 14 CC Voluntary General

SG 14.6 CC Provide further details on the key metric(s) used to assess climate-related risks and opportunities.

Metric Type	Coverage	Purpose	Metric Unit	Metric Methodology
Climate-related targets	Minority of assets	Screening within the bounds of our Clean Energy and Infrastructure Debt Fund investment guidelines.	Tonnes CO2/kWh	
Total carbon emissions	Minority of assets	Screening within the bounds of our Clean Energy and Infrastructure Debt Fund investment guidelines.	Tonnes CO2	
Exposure to carbon-related assets	Minority of assets	Screening within the bounds of our Clean Energy and Infrastructure Debt Fund investment guidelines.	Tonnes CO2	

SG 14.7 CC Describe in further detail the key targets.

Target type	Baseline year	Target year	Description	Attachments

SG 14.8 CC Indicate whether climate-related risks are integrated into overall risk management and explain the risk management processes used for identifying, assessing and managing climate-related risks.

- Processes for climate-related risks are integrated into overall risk management
- Processes for climate-related risks are not integrated into overall risk management

SG 14.9 CC Indicate whether your organisation, and/or external investment manager or service providers acting on your behalf, undertake active ownership activities to encourage TCFD adoption.

- Yes
- No, we do not undertake active ownership activities.
- No, we do not undertake active ownership activities to encourage TCFD adoption.

SG 15 Mandatory to Report, Voluntary to Disclose Descriptive PRI 1

SG 15.1 Indicate if your organisation allocates assets to, or manages, funds based on specific environmental and social themed areas.

Yes

SG 15.2 Indicate the percentage of your total AUM invested in environmental and social themed areas.

1.29%

SG 15.3 Specify which thematic area(s) you invest in, indicate the percentage of your AUM in the particular asset class and provide a brief description.

Area		
<input type="checkbox"/> Energy efficiency / Clean technology <input checked="" type="checkbox"/> Renewable energy		
<table border="1"> <thead> <tr> <th>Asset class invested</th> </tr> </thead> <tbody> <tr> <td> <input type="checkbox"/> Listed equity <input type="checkbox"/> Fixed income - SSA <input type="checkbox"/> Fixed income - Corporate (financial) <input type="checkbox"/> Fixed income - Corporate (non-financial) <input checked="" type="checkbox"/> Fixed income - Securitised 1.29Percentage of AUM (+/-5%) per asset class invested in the area <input type="checkbox"/> Hedge funds <input type="checkbox"/> Other (1) </td> </tr> </tbody> </table>	Asset class invested	<input type="checkbox"/> Listed equity <input type="checkbox"/> Fixed income - SSA <input type="checkbox"/> Fixed income - Corporate (financial) <input type="checkbox"/> Fixed income - Corporate (non-financial) <input checked="" type="checkbox"/> Fixed income - Securitised 1.29Percentage of AUM (+/-5%) per asset class invested in the area <input type="checkbox"/> Hedge funds <input type="checkbox"/> Other (1)
Asset class invested		
<input type="checkbox"/> Listed equity <input type="checkbox"/> Fixed income - SSA <input type="checkbox"/> Fixed income - Corporate (financial) <input type="checkbox"/> Fixed income - Corporate (non-financial) <input checked="" type="checkbox"/> Fixed income - Securitised 1.29Percentage of AUM (+/-5%) per asset class invested in the area <input type="checkbox"/> Hedge funds <input type="checkbox"/> Other (1)		
<table border="1"> <thead> <tr> <th>Brief description and measures of investment</th> </tr> </thead> <tbody> <tr> <td> Prescient has a renewable energy fund (Prescient Clean Energy and Infrastructure Debt Fund) that focusses specifically on funding debt into renewable energy projects. </td> </tr> </tbody> </table>	Brief description and measures of investment	Prescient has a renewable energy fund (Prescient Clean Energy and Infrastructure Debt Fund) that focusses specifically on funding debt into renewable energy projects.
Brief description and measures of investment		
Prescient has a renewable energy fund (Prescient Clean Energy and Infrastructure Debt Fund) that focusses specifically on funding debt into renewable energy projects.		
<input type="checkbox"/> Green buildings <input type="checkbox"/> Sustainable forestry <input type="checkbox"/> Sustainable agriculture <input type="checkbox"/> Microfinance <input type="checkbox"/> SME financing		

- Social enterprise / community investing
- Affordable housing
- Education
- Global health
- Water
- Other area, specify

No

SG 16 Mandatory Descriptive General

SG 16.1 Describe how you address ESG issues for internally managed assets for which a specific PRI asset class module has yet to be developed or for which you are not required to report because your assets are below the minimum threshold.

Asset Class	Describe what processes are in place and the outputs or outcomes achieved
Money market instruments	Not Applicable
Other (1) [as defined in Organisational Overview module]	Not Applicable

SG 18 Voluntary Descriptive General

SG 18.1 Indicate whether any specific features of your approach to responsible investment are particularly innovative.

Yes

SG 18.2 Describe any specific features of your approach to responsible investment that you believe are particularly innovative.

We believe that specific features of our responsible investment approach are particularly innovative. Furthermore, our quantitative investment approach does not exclude us from the responsibility to monitor and evaluate issuers on ESG considerations and to seek ways to engage them.

The Clean Energy and Infrastructure Debt Fund offers us a great platform to be innovative in an impactful way. For instance, the project selection process within the fund aims to ensure that we have a well-diversified portfolio of assets, investing in proven clean energy technologies across the country, that meet sustainable long-term income objectives. Furthermore, for ESG screening across our other investment portfolios, we have a systematic and automated procedure for analysing the ESG-related risks and opportunities associated with the different counterparties.

No

SG 19 Mandatory Core Assessed PRI 2, 6

SG 19.1 Indicate whether your organisation typically discloses asset class specific information proactively. Select the frequency of the disclosure to clients/beneficiaries and the public, and provide a URL to the public information.

Listed equity - Incorporation

Do you disclose?

- We do not proactively disclose it to the public and/or clients/beneficiaries
- We disclose to clients/beneficiaries only.
- We disclose it publicly

The information disclosed to clients/beneficiaries is the same

- Yes
- No

Disclosure to public and URL

Disclosure to public and URL

- Broad approach to ESG incorporation
- Detailed explanation of ESG incorporation strategy used

Annually

<https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf>

Listed equity - Engagement

Do you disclose?

- We do not disclose to either clients/beneficiaries or the public.
- We disclose to clients/beneficiaries only.
- We disclose to the public

The information disclosed to clients/beneficiaries is the same

- Yes
- No

Disclosure to public and URL

Disclosure to public and URL

- Details on the overall engagement strategy
- Details on the selection of engagement cases and definition of objectives of the selections, priorities and specific goals
- Number of engagements undertaken
- Breakdown of engagements by type/topic
- Breakdown of engagements by region
- An assessment of the current status of the progress achieved and outcomes against defined objectives
- Examples of engagement cases
- Details on eventual escalation strategy taken after the initial dialogue has been unsuccessful (i.e. filing resolutions, issuing a statement, voting against management, divestment etc.)
- Details on whether the provided information has been externally assured
- Outcomes that have been achieved from the engagement
- Other information

Annually

<https://prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf>

Listed equity – (Proxy) Voting

Do you disclose?

- We do not disclose to either clients/beneficiaries or the public.
- We disclose to clients/beneficiaries only.
- We disclose to the public

Disclosure to clients/beneficiaries

Disclosure to clients/beneficiaries

- Disclose all voting decisions
- Disclose some voting decisions
- Only disclose abstentions and votes against management

Ad hoc/when requested

Fixed income

Do you disclose?

- We do not disclose to either clients/beneficiaries or the public.
- We disclose to clients/beneficiaries only.
- We disclose to the public

The information disclosed to clients/beneficiaries is the same

- Yes
- No

Disclosure to public and URL

Disclosure to public and URL

- Broad approach to RI incorporation
- Detailed explanation of RI incorporation strategy used

Annually

<https://prescient.co.za/media/5754/prescient-investment-management-esg-policy.pdf>
<https://prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf>

Hedge Funds

Do you disclose?

- We do not disclose to either clients/beneficiaries or the public.
- We disclose to clients/beneficiaries only.
- We disclose to the public

SG Checks

Checks

If there are any messages below, please review them before continuing. If there are no messages below, please save this page and continue.

LEI 11	Mandatory to Report, Voluntary to Disclose	Descriptive	PRI 1
LEI 11.1	Indicate if you manage passive listed equity funds that incorporate ESG factors in the index construction methodology.		
<input type="radio"/> Yes			
<input checked="" type="radio"/> No			
LEI Checks			Checks
<input checked="" type="checkbox"/> If there are any messages below, please review them before continuing. If there are no messages below, please save this page and continue.			

LEA 01.1 Indicate whether your organisation has an active ownership policy (includes engagement and/or voting).

Yes

LEA 01.2 Attach or provide a URL to your active ownership policy.

- Attachment provided:
- URL provided:
<https://www.prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf>

LEA 01.3 Indicate what your active engagement policy covers:

General approach to Active Ownership

- Conflicts of interest
- Alignment with national stewardship code requirements
- Assets/funds covered by active ownership policy
- Expectations and objectives
- Engagement approach

Engagement

- ESG issues
- Prioritisation of engagement
- Methods of engagement
- Transparency of engagement activities
- Due diligence and monitoring process
- Insider information
- Escalation strategies
- Service Provider specific criteria
- Other, (specify)

(Proxy) voting approach

Voting

- ESG issues
- Prioritisation and scope of voting activities
- Methods of voting
- Transparency of voting activities
- Regional voting practice approaches
- Filing or co-filing resolutions
- Company dialogue pre/post-vote
- Decision-making processes
- Securities lending processes
- Other, (specify)

- Other
- None of the above

No

LEA 01.4 Do you outsource any of your active ownership activities to service providers?

Yes

LEA 01.5 Where active ownership activities are conducted by service providers, indicate whether your active ownership policy covers any of the following:

- Outline of service provider's role in implementing your organisation's active ownership policy
- Description of considerations included in service provider selection and agreements
- Identification of key ESG frameworks which service providers must follow
- Outline of information sharing requirements of service providers
- Description of service provider monitoring processes
- Other, (specify)
- None of the above

No

LEA 02.1 Indicate the method of engagement, giving reasons for the interaction.

Type of engagement	Reason for interaction
Individual / Internal staff engagements	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence it) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> To gain an understanding of ESG strategy and/or management <input type="checkbox"/> We do not engage via internal staff
Collaborative engagements	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence it) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> To gain an understanding of ESG strategy and/or management <input type="checkbox"/> We do not engage via collaborative engagements
Service provider engagements	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence it) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> To gain an understanding of ESG strategy and/or management <input type="checkbox"/> We do not engage via service providers

LEA 02.2 Indicate whether your organisation plays a role in the engagement process that your service provider conducts.

✓ Yes

LEA 02.3 Indicate the role(s) you play in engagements that your service provider conducts on your behalf.

- We discuss the topic of the engagement (or ESG issue(s)) of engagement
- We discuss the rationale for the engagement
- We discuss the objectives of the engagement
- We select the companies to be engaged with
- We discuss the frequency/intensity of interactions with companies
- We discuss the next steps for engagement activity
- We participate directly in certain engagements with our service provider
- Other, specify
- We play no role in engagements that our service provider conducts.

No

LEA 03	Mandatory	Core Assessed	PRI 2
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LEA 03.1 Indicate whether your organisation has a formal process for identifying and prioritising engagements.

✓ Yes

LEA 03.2 Indicate the criteria used to identify and prioritise engagements for each type of engagement.

Type of engagement	Criteria used to identify/prioritise engagements		
Individual / Internal staff engagements	<table border="1" style="width: 100%;"> <thead> <tr> <th style="background-color: #0070C0; color: white;">Individual / Internal staff engagements</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Geography/market of the companies <input checked="" type="checkbox"/> Materiality of the ESG factors <input checked="" type="checkbox"/> Exposure (size of holdings) <input checked="" type="checkbox"/> Responses to ESG impacts that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input checked="" type="checkbox"/> Follow-up from a voting decision <input checked="" type="checkbox"/> Client request <input checked="" type="checkbox"/> Breaches of international norms <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our individual engagements </td> </tr> </tbody> </table>	Individual / Internal staff engagements	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Geography/market of the companies <input checked="" type="checkbox"/> Materiality of the ESG factors <input checked="" type="checkbox"/> Exposure (size of holdings) <input checked="" type="checkbox"/> Responses to ESG impacts that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input checked="" type="checkbox"/> Follow-up from a voting decision <input checked="" type="checkbox"/> Client request <input checked="" type="checkbox"/> Breaches of international norms <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our individual engagements
Individual / Internal staff engagements			
<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Geography/market of the companies <input checked="" type="checkbox"/> Materiality of the ESG factors <input checked="" type="checkbox"/> Exposure (size of holdings) <input checked="" type="checkbox"/> Responses to ESG impacts that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input checked="" type="checkbox"/> Follow-up from a voting decision <input checked="" type="checkbox"/> Client request <input checked="" type="checkbox"/> Breaches of international norms <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our individual engagements 			
Collaborative engagements	<table border="1" style="width: 100%;"> <thead> <tr> <th style="background-color: #0070C0; color: white;">Collaborative engagements</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Potential to enhance knowledge of ESG issues through other investors <input checked="" type="checkbox"/> Ability to have greater impact on ESG issues <input checked="" type="checkbox"/> Ability to add value to the collaboration <input checked="" type="checkbox"/> Geography/market of the companies targeted by the collaboration <input checked="" type="checkbox"/> Materiality of the ESG factors addressed by the collaboration <input checked="" type="checkbox"/> Exposure (size of holdings) to companies targeted by the collaboration <input checked="" type="checkbox"/> Responses to ESG impacts addressed by the collaboration that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Follow-up from a voting decision <input type="checkbox"/> Alleviate the resource burden of engagement <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our collaborative engagement providers </td> </tr> </tbody> </table>	Collaborative engagements	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Potential to enhance knowledge of ESG issues through other investors <input checked="" type="checkbox"/> Ability to have greater impact on ESG issues <input checked="" type="checkbox"/> Ability to add value to the collaboration <input checked="" type="checkbox"/> Geography/market of the companies targeted by the collaboration <input checked="" type="checkbox"/> Materiality of the ESG factors addressed by the collaboration <input checked="" type="checkbox"/> Exposure (size of holdings) to companies targeted by the collaboration <input checked="" type="checkbox"/> Responses to ESG impacts addressed by the collaboration that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Follow-up from a voting decision <input type="checkbox"/> Alleviate the resource burden of engagement <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our collaborative engagement providers
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Service-provider engagements	<table border="1" style="width: 100%;"> <thead> <tr> <th style="background-color: #0070C0; color: white;">Service-provider engagements</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Geography/market of the companies <input checked="" type="checkbox"/> Materiality of the ESG factors <input checked="" type="checkbox"/> Exposure (size of holdings) <input checked="" type="checkbox"/> Responses to ESG impacts that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input checked="" type="checkbox"/> Follow-up from a voting decision <input checked="" type="checkbox"/> Client request <input checked="" type="checkbox"/> Breaches of international norms <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our service providers </td> </tr> </tbody> </table>	Service-provider engagements	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Geography/market of the companies <input checked="" type="checkbox"/> Materiality of the ESG factors <input checked="" type="checkbox"/> Exposure (size of holdings) <input checked="" type="checkbox"/> Responses to ESG impacts that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input checked="" type="checkbox"/> Follow-up from a voting decision <input checked="" type="checkbox"/> Client request <input checked="" type="checkbox"/> Breaches of international norms <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our service providers
Service-provider engagements			
<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Geography/market of the companies <input checked="" type="checkbox"/> Materiality of the ESG factors <input checked="" type="checkbox"/> Exposure (size of holdings) <input checked="" type="checkbox"/> Responses to ESG impacts that have already occurred <input checked="" type="checkbox"/> Responses to divestment pressure <input checked="" type="checkbox"/> Consultation with clients/beneficiaries <input type="checkbox"/> Consultation with other stakeholders (e.g. NGOs, trade unions, etc.) <input checked="" type="checkbox"/> Follow-up from a voting decision <input checked="" type="checkbox"/> Client request <input checked="" type="checkbox"/> Breaches of international norms <input type="checkbox"/> Other, (specify) <input type="checkbox"/> We do not outline engagement criteria for our service providers 			

No

LEA 04	Mandatory	Core Assessed	PRI 2
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LEA 04.1 Indicate whether you define specific objectives for your organisation's engagement activities.

Individual / Internal staff engagements	<ul style="list-style-type: none"> <input checked="" type="radio"/> All engagement activities <input type="radio"/> Majority of engagement activities <input type="radio"/> Minority of engagement activities <input type="radio"/> We do not define specific objectives for engagement activities carried out by internal staff
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Collaborative engagements	<input type="radio"/> All engagement activities <input checked="" type="radio"/> Majority of engagement activities <input type="radio"/> Minority of engagement activities <input type="radio"/> We do not define specific objectives for engagement activities carried out through collaboration
Service-provider engagements	<input checked="" type="radio"/> All engagement activities <input type="radio"/> Majority of engagement activities <input type="radio"/> Minority of engagement activities <input type="radio"/> We do not define specific objectives for engagement activities carried out by our service providers

LEA 05	Mandatory	Core Assessed	PRI 2
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LEA 05.1 Indicate whether you monitor and/or review engagement outcomes.

Individual / Internal staff engagements	<input checked="" type="radio"/> Yes, in all cases <input type="radio"/> Yes, in a majority of cases <input type="radio"/> Yes, in a minority of cases <input type="radio"/> We do not monitor, or review engagement outcomes when the engagement is carried out by our internal staff.
Collaborative engagements	<input checked="" type="radio"/> Yes, in all cases <input type="radio"/> Yes, in a majority of cases <input type="radio"/> Yes, in a minority of cases <input type="radio"/> We do not monitor, or review engagement outcomes when the engagement is carried out through collaboration.
Service-provider engagements	<input checked="" type="radio"/> Yes, in all cases <input type="radio"/> Yes, in a majority of cases <input type="radio"/> Yes, in a minority of cases <input type="radio"/> We do not monitor, or review engagement outcomes when the engagement is carried out by our service providers.

LEA 05.2 Indicate whether you do any of the following to monitor and/or review the progress of engagement activities.

Individual / Internal staff engagements	<input type="checkbox"/> Define timelines/milestones for your objectives <input type="checkbox"/> Track and/or monitor progress against defined objectives and/or KPIs <input type="checkbox"/> Track and/or monitor the progress of action taken when original objectives are not met <input checked="" type="checkbox"/> Revisit and, if necessary, revise objectives on a continuous basis <input type="checkbox"/> Other, specify
Collaborative engagements	<input type="checkbox"/> Define timelines/milestones for your objectives <input type="checkbox"/> Track and/or monitor progress against defined objectives and/or KPIs <input type="checkbox"/> Track and/or monitor the progress of action taken when original objectives are not met <input checked="" type="checkbox"/> Revisit and, if necessary, revise objectives on a continuous basis <input type="checkbox"/> Other, specify
Service-provider engagements	<input type="checkbox"/> Define timelines/milestones for your objectives <input type="checkbox"/> Track and/or monitor progress against defined objectives and/or KPIs <input type="checkbox"/> Track and/or monitor the progress of action taken when original objectives are not met <input checked="" type="checkbox"/> Revisit and, if necessary, revise objectives on a continuous basis <input type="checkbox"/> Other, specify

LEA 06	Mandatory	Additional Assessed	PRI 2,4
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LEA 06.1 Indicate whether your organisation has an escalation strategy when engagements are unsuccessful.

- Yes
- No

LEA 07	Voluntary	Additional Assessed	PRI 1,2
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LEA 07.1 Indicate whether insights gained from your organisation's engagements are shared with investment decision-makers.

Type of engagement	Insights shared
Individual / Internal staff engagements	<input checked="" type="radio"/> Yes, systematically <input type="radio"/> Yes, occasionally <input type="radio"/> No
Collaborative engagements	<input checked="" type="radio"/> Yes, systematically <input type="radio"/> Yes, occasionally <input type="radio"/> No
Service-provider engagements	<input checked="" type="radio"/> Yes, systematically <input type="radio"/> Yes, occasionally <input type="radio"/> No

LEA 07.2 Indicate the practices used to ensure that information and insights gained through engagements are shared with investment decision-makers.

- Involving investment decision-makers when developing an engagement programme
- Holding investment team meetings and/or presentations
- Using IT platforms/systems that enable data sharing
- Internal process that requires portfolio managers to re-balance holdings based on interaction and outcome levels
- Other, specify
- None

LEA 07.3 Indicate whether insights gained from your organisation's engagements are shared with your clients/beneficiaries.

Type of engagement	Insights shared
Individual/Internal staff engagements	<input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No
Collaborative engagements	<input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No
Service-provider engagements	<input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No

LEA 08	Mandatory	Gateway	PRI 2
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LEA 08.1 Indicate whether you track the number of your engagement activities.

Type of engagement	Tracking engagements
Individual/Internal staff engagements	<input checked="" type="radio"/> Yes, we track the number of our engagements in full <input type="radio"/> Yes, we partially track the number of our engagements <input type="radio"/> We do not track
Collaborative engagements	<input checked="" type="radio"/> Yes, we track the number of collaborative engagements in full <input type="radio"/> Yes, we partially track the number of our collaborative engagements <input type="radio"/> We do not track
Service-provider engagements	<input checked="" type="radio"/> Yes, we track the number of service-provider engagements in full <input type="radio"/> Yes, we partially track the number of our service-provider engagements <input type="radio"/> We do not track

LEA 09	Mandatory to Report, Voluntary to Disclose	Core Assessed	PRI 2
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LEA 09.1 Indicate the proportion of companies in your listed equities portfolio with which your organisation engaged during the reporting year.

	We did not complete any engagements in the reporting year.	Number of companies engaged (avoid double counting, see explanatory notes)	Proportion of companies engaged with, out of total listed equities portfolio
Individual / Internal staff engagements	<input checked="" type="checkbox"/> We did not complete any engagements in the reporting year.		
Collaborative engagements	<input checked="" type="checkbox"/> We did not complete any engagements in the reporting year.		
Service-provider engagements	<input type="checkbox"/> We did not complete any engagements in the reporting year.	90	90

LEA 09.2 Indicate the breakdown of engagements conducted within the reporting year by the number of interactions (including interactions made on your behalf).

No. of interactions with a company	% of engagements
One interaction	<input checked="" type="radio"/> >76% <input type="radio"/> 51-75% <input type="radio"/> 11-50% <input type="radio"/> 1-10% <input type="radio"/> None
2 to 3 interactions	<input type="radio"/> >76% <input type="radio"/> 51-75% <input type="radio"/> 11-50% <input checked="" type="radio"/> 1-10% <input type="radio"/> None
More than 3 interactions	<input type="radio"/> >76% <input type="radio"/> 51-75% <input type="radio"/> 11-50% <input type="radio"/> 1-10% <input checked="" type="radio"/> None
Total	100%

LEA 09.4 Indicate the percentage of your service-provider engagements in which you had some involvement during the reporting year.

Type of engagement	% of engagements with some involvement
Service-provider engagements	<input checked="" type="radio"/> >50% <input type="radio"/> 10-50% <input type="radio"/> <10% <input type="radio"/> None

LEA 10	Voluntary	Additional Assessed	PRI 2
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LEA 10.1 Indicate which of the following your engagement involved.

- Letters and emails to companies
 - In a minority of cases
 - In a majority of cases

- In all cases
- Meetings and/or calls with board/senior management
- Meetings and/or calls with the CSR, IR or other management
- Visits to operations
- Visits to supplier(s) in supplier(s) from the company's supply chain
- Participation in roadshows
 - In a minority of cases
 - In a majority of cases
 - In all cases
- Other

(specify)

Proxy Voting on all resolution tabled at AGMs

- In a minority of cases
- In a majority of cases
- In all cases

LEA 11 Voluntary Descriptive **PRI 2**

LEA 11.1 Provide examples of the engagements that your organisation or your service provider carried out during the reporting year.

Add Example 1

ESG Topic	<input checked="" type="checkbox"/> Executive Remuneration <input checked="" type="checkbox"/> Company leadership issues <input checked="" type="checkbox"/> General ESG
Conducted by	Service provider
Objectives	To ensure good corporate governance. Good corporate governance means that directors can direct, monitor and supervise the conduct and operation of the company and its management in a manner that ensures accountability, stewardship, leadership, direction and control. To this end we believe that corporate governance and qualitative inputs around management process may impact on returns.
Scope and Process	<p>Governance: From a governance perspective we are concerned in ensuring that the board sets the agenda for management, and not the other way around. The board should comprise an appropriate balance between executive and experienced non-executive directors who are able to act independently and represent shareholder's interests.</p> <p>Remuneration: The levels of remuneration clearly have impact on company performance and thus shareholder's returns. Performance evaluation and remuneration policies and practice must be transparent and disclosed. Above all it is important that the incentives embedded in the remuneration models co-align management and staff with the short, medium- and long-term objectives of sustainable wealth creation that we espouse.</p>
Outcomes	Voting

Add Example 2

ESG Topic	<input checked="" type="checkbox"/> Shareholder rights <input checked="" type="checkbox"/> Sustainability reporting
Conducted by	Service provider
Objectives	To ensure good corporate governance. Good corporate governance means that directors can direct, monitor and supervise the conduct and operation of the company and its management in a manner that ensures accountability, stewardship, leadership, direction and control. To this end we believe that corporate governance and qualitative inputs around management process may impact on returns.
Scope and Process	<p>Shareholder rights: The creation and issue of new shares and the purchase/cancellation of existing shares are critical factors, as a wide range of abuses is possible, many of which can enrich select shareholder clienteles at the expense of shareholders at large. We thus pay attention to these issues, with emphasis on not placing blanket control over the issue and repurchase of shares in the hands of managers. Beyond this we are concerned to monitor the assumption of financial risk and the payment of dividends to ensure that they are all congruent with sustainability and shareholder value creation agendas.</p> <p>Sustainability Reporting: Understanding and integrating social, economic and environmental aspects (the so-called "triple bottom line") into the framework of a company's day-to-day activities achieves true long-term sustainability for an organization. While these factors are hard to measure and to judge and may impose costs on shareholders from time to time, the actions of companies should be held up to the litmus test of enhancing long term sustainability of earnings, from which shareholder value creation will ultimately flow.</p>
Outcomes	Voting

- Add Example 3
- Add Example 4
- Add Example 5
- Add Example 6
- Add Example 7
- Add Example 8
- Add Example 9
- Add Example 10

LEA 12 Mandatory Descriptive **PRI 2**

LEA 12.1 Indicate how you typically make your (proxy) voting decisions.

Approach

- We use our own research or voting team and make voting decisions without the use of service providers.
- We hire service providers who make voting recommendations and/or provide research that we use to guide our voting decisions.

Based on

- The service-provider voting policy we sign off on
- Our own voting policy
- Our clients' requests or policies
- Other (explain)

- We hire service providers who make voting decisions on our behalf, except in some pre-defined scenarios where we review and make voting decisions.
- We hire service providers who make voting decisions on our behalf.

LEA 12.2 Provide an overview of how you ensure that your agreed-upon voting policy is adhered to, giving details of your approach when exceptions to the policy are made.

Prescient understands that adequate integration requires continuous monitoring and disclosure of our active ownership activities as part of our regular reporting framework. All policies, including our active ownership policy, goals and progress made are continuously monitored and reviewed on a periodic basis. Reports covering policy implementation results, impacts and amendments are prepared for various stakeholders and made available upon request. Such reports are intended to ensure that the various beneficiaries, trustees, and the broader public can help hold the organisation accountable to any newly incorporated policy.

LEA 12.3		Additional information [Optional]	
<p>Prescient makes use of services of Institutional Shareholder Services Inc. (ISS), a world leader in the provision of corporate governance and responsible investing services. Over and above the research obtained from ISS Prescient also aggregates several third-party independent research reports across many investment names. This ensures a consistent third-party foundational view across all governance and proxy voting requirements. Voting on Ordinary and Special Resolutions is decided on a case-by-case basis, and portfolio managers are expected to apply their minds to each issue. However, we have general guidelines for our portfolio managers. Each resolution and special resolution will be listed and the Fund Manager will mark 'In Favour, Against or Abstain'. In some cases however due to ISS being an international entity PIM uses its discretion in voting for issues relating to social conditions in South Africa. This often relates to debt issuance in support of BBBEE which might not fall into specific international covenants.</p>			
LEA 14	Voluntary	Additional Assessed	PRI 2
LEA 14.1		Does your organisation have a securities lending programme?	
<input type="radio"/> Yes <input checked="" type="radio"/> No			
LEA 14.2		Describe why your organisation does not lend securities.	
		Securities lending is not part of our core areas of expertise.	
LEA 15	Mandatory	Descriptive	PRI 2
LEA 15.1		Indicate the proportion of votes participated in within the reporting year in which where you or the service providers acting on your behalf raised concerns with companies ahead of voting.	
<input type="radio"/> 100% <input type="radio"/> 99-75% <input type="radio"/> 74-50% <input type="radio"/> 49-25% <input checked="" type="radio"/> 24-1% <input type="radio"/> Neither we nor our service provider(s) raise concerns with companies ahead of voting			
LEA 15.2		Indicate the reasons for raising your concerns with these companies ahead of voting.	
<input type="checkbox"/> Vote(s) concerned selected markets <input type="checkbox"/> Vote(s) concerned selected sectors <input checked="" type="checkbox"/> Vote(s) concerned certain ESG issues <input checked="" type="checkbox"/> Vote(s) concerned companies exposed to controversy on specific ESG issues <input type="checkbox"/> Vote(s) concerned significant shareholdings <input type="checkbox"/> Client request <input type="checkbox"/> Other			
LEA 16	Mandatory	Core Assessed	PRI 2
LEA 16.1		Indicate the proportion of votes where you, and/or the service provider(s) acting on your behalf, communicated the rationale to companies for abstaining or voting against management recommendations. Indicate this as a percentage out of all eligible votes.	
<input type="radio"/> 100% <input type="radio"/> 99-75% <input type="radio"/> 74-50% <input type="radio"/> 49-25% <input checked="" type="radio"/> 24-1% <input type="radio"/> We do not communicate the rationale to companies <input type="radio"/> Not applicable because we and/or our service providers did not abstain or vote against management recommendations			
LEA 16.2		Indicate the reasons why your organisation would communicate to companies, the rationale for abstaining or voting against management recommendations.	
<input type="checkbox"/> Vote(s) concern selected markets <input type="checkbox"/> Vote(s) concern selected sectors <input checked="" type="checkbox"/> Vote(s) concern certain ESG issues <input checked="" type="checkbox"/> Vote(s) concern companies exposed to controversy on specific ESG issues <input type="checkbox"/> Vote(s) concern significant shareholdings <input type="checkbox"/> Client request <input type="checkbox"/> Other			
LEA 16.3		In cases where your organisation does communicate the rationale for abstaining or voting against management recommendations, indicate whether this rationale is made public.	
<input type="radio"/> Yes <input checked="" type="radio"/> No			
LEA 17	Mandatory	Core Assessed	PRI 2
LEA 17.1		For listed equities in which you or your service provider have the mandate to issue (proxy) voting instructions, indicate the percentage of votes cast during the reporting year.	
<input checked="" type="radio"/> We do track or collect this information			
		Votes cast (to the nearest 1%)	
		100%	
		Specify the basis on which this percentage is calculated	
<input type="radio"/> Of the total number of ballot items on which you could have issued instructions <input checked="" type="radio"/> Of the total number of company meetings at which you could have voted <input type="radio"/> Of the total value of your listed equity holdings on which you could have voted			
<input type="radio"/> We do not track or collect this information			
LEA 18	Voluntary	Additional Assessed	PRI 2
LEA 18.1		Indicate whether you track the voting instructions that you or your service provider on your behalf have issued.	
<input checked="" type="radio"/> Yes, we track this information			
LEA 18.2		Of the voting instructions that you and/or third parties on your behalf have issued, indicate the proportion of ballot items that were:	

Voting instructions Breakdown as percentage of votes cast For (supporting) management recommendations

92%
Against (opposing) management recommendations
8%
Abstentions
0%

No, we do not track this information

LEA 18.3 In cases where your organisation voted against management recommendations, indicate the percentage of companies which you have engaged.
0

LEA 19 **Mandatory** **Core Assessed** **PRI 2**

LEA 19.1 Indicate whether your organisation has a formal escalation strategy following unsuccessful voting.

Yes
 No

LEA 20 **Voluntary** **Descriptive** **PRI 2**

LEA 20.1 Indicate whether your organisation, directly or through a service provider, filed or co-filed any ESG shareholder resolutions during the reporting year.

Yes
 No

LEA 21 **Voluntary** **Descriptive** **PRI 2**

LEA 21.1 Provide examples of the (proxy) voting activities that your organisation and/or service provider carried out during the reporting year.

Add Example 1

ESG Topic	<input checked="" type="checkbox"/> Executive Remuneration <input checked="" type="checkbox"/> Climate Change <input checked="" type="checkbox"/> Human rights <input checked="" type="checkbox"/> Pollution <input checked="" type="checkbox"/> General ESG <input checked="" type="checkbox"/> Diversity <input checked="" type="checkbox"/> Water risks <input checked="" type="checkbox"/> Anti-bribery and corruption <input checked="" type="checkbox"/> Deforestation <input checked="" type="checkbox"/> Plastics
Conducted by	Individual/Internal
Objectives	PIM has a strong view on executive remuneration in particular how debt is raised to fund various activities relating to the company structure and director enrichment.
Scope and Process	Board Structure and leadership Directors Remuneration practice Capital Structure Auditing and Accounting Integrated sustainability and reporting Governance of Risk Compliance with laws and rules
Outcomes	Other

- Add Example 2
- Add Example 3
- Add Example 4
- Add Example 5
- Add Example 6
- Add Example 7
- Add Example 8
- Add Example 9
- Add Example 10

LEA Checks **Checks**

If there are any messages below, please review them before continuing. If there are no messages below, please save this page and continue.

FI 01.1	Indicate (1) Which ESG incorporation strategy and/or combination of strategies you apply to your actively managed fixed income investments; and (2) The proportion (+/- 5%) of your total actively managed fixed income investments each strategy applies to.
---------	---

SSA	Screening alone	0
	Thematic alone	0
	Integration alone	0
	Screening + integration strategies	100
	Thematic + integration strategies	0
	Screening + thematic strategies	0
	All three strategies combined	0
	No incorporation strategies applied	0
	Corporate (financial)	Screening alone
Thematic alone		0
Integration alone		0
Screening + integration strategies		100
Thematic + integration strategies		0
Screening + thematic strategies		0
All three strategies combined		0
No incorporation strategies applied		0
Corporate (non-financial)		Screening alone
	Thematic alone	0
	Integration alone	0
	Screening + integration strategies	100
	Thematic + integration strategies	0
	Screening + thematic strategies	0
	All three strategies combined	0
	No incorporation strategies applied	0

FI 01.2	Describe your reasons for choosing a particular ESG incorporation strategy and how combinations of strategies are used.
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The Prescient fixed income process has a well-defined yet flexible framework for ESG integration into the investment process. The approach is to implement a quantitative security selection process based on our credit rating process and include the evaluation of ESG factors as a qualitative overlay in the portfolio construction process. Furthermore, we engage investees on material ESG issues where we deem the available information surrounding the ESG risks and opportunities associated with the counterparty to be insufficient. Our objective is to adopt a holistic and integrative approach to sustainable investing. This is underpinned by our firm belief that corporates with superior ESG principles are more sustainable in the long term.

FI 14.1	Indicate the proportion of your fixed income assets on which you engage. Please exclude any engagements carried out solely in your capacity as a shareholder.
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Category	Proportion of assets
SSA	<input checked="" type="checkbox"/> >50% <input type="checkbox"/> 26-50% <input type="checkbox"/> 5-25% <input type="checkbox"/> More than 0%, less than 5%
	FI 14.2 Indicate your motivations for conducting engagement (SSA fixed income assets). <input checked="" type="checkbox"/> To gain an understanding of ESG strategy and/or management <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> To influence issuer practice (or identify the need to influence) on ESG issue

Corporate (financial)	<input checked="" type="radio"/> >50% <input type="radio"/> 26-50% <input type="radio"/> 5-25% <input type="radio"/> More than 0%, less than 5%
	FI 14.2 Indicate your motivations for conducting engagement (Corporate, Financial fixed income assets)
	<input checked="" type="radio"/> To gain an understanding of ESG strategy and/or management <input checked="" type="radio"/> To encourage improved/increased ESG disclosure <input type="radio"/> To influence issuer practice (or identify the need to influence) on ESG issue
Corporate (non-financial)	<input checked="" type="radio"/> >50% <input type="radio"/> 26-50% <input type="radio"/> 5-25% <input type="radio"/> More than 0%, less than 5%
	FI 14.2 Indicate your motivations for conducting engagement (Corporate, non-financial fixed income assets)
	<input checked="" type="radio"/> To gain an understanding of ESG strategy and/or management <input checked="" type="radio"/> To encourage improved/increased ESG disclosure <input type="radio"/> To influence issuer practice (or identify the need to influence) on ESG issue

FI 15 Mandatory to Report, Voluntary to Disclose Additional Assessed PRI 1,2

FI 15.1 Indicate how you typically engage with issuers as a fixed income investor, or as both a fixed income and listed equity investor. (Please do not include engagements where you are both a bondholder and shareholder but engage as a listed equity investor only.)

Type of engagement	SSA	Corporate (financial)	Corporate (non-financial)
Individual/Internal staff engagements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Collaborative engagements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service provider engagements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 15.2 Indicate how your organisation prioritises engagements with issuers.

	SSA	Corporate (financial)	Corporate (non-financial)
Size of holdings	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Credit quality of the issuer	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Duration of holdings	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Quality of transparency on ESG	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Specific markets and/or sectors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Specific ESG themes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Issuers in the lowest ranks of ESG benchmarks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Issuers in the highest ranks of ESG benchmarks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Specific issues considered priorities for the investor based on input from clients and beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 15.3 Indicate when your organisation conducts engagements with issuers.

	SSA	Corporate (financial)	Corporate (non-financial)
We engage pre-investment.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
We engage post-investment.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
We engage proactively in anticipation of specific ESG risks and/or opportunities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
We engage in reaction to ESG issues that have already affected the issuer.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
We engage prior to ESG-related divestments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other, describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 15.4 Indicate what your organisation conducts engagements with issuers on.

	SSA	Corporate (financial)	Corporate (non-financial)
We engage on ESG risks and opportunities affecting a specific bond issuer or its issuer.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
We engage on ESG risks and opportunities affecting the entire industry or region that the issuer belongs to.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
We engage on specific ESG themes across issuers and industries (e.g., human rights).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other, describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 15.5 Indicate how your organisation ensures that information and insights collected through engagement can feed into the investment decision-making process.

	SSA	Corporate (financial)	Corporate (non-financial)
Ensuring regular cross-team meetings and presentations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sharing engagement data across platforms that is accessible to ESG and investment teams.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Encouraging ESG and investment teams to join engagement meetings and roadshows.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Delegating some engagement dialogue to portfolio managers/credit analysts.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Involving portfolio managers when defining an engagement programme and developing engagement decisions.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Establishing mechanisms to rebalance portfolio holdings based on levels of interaction and outcomes of engagements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Considering active ownership as a mechanism to assess potential future investments.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other, describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
We do not ensure that information and insights collected through engagement can feed into the investment decision-making process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 16 Mandatory to Report, Voluntary to Disclose Additional Assessed PRI 1,2

FI 16.1 Indicate if your publicly available policy documents explicitly refer to fixed income engagement separately from engagements in relation to other asset classes.

Yes

FI 16.2 Please attach or provide a URL to your fixed income engagement policy document. [Optional]

<https://www.prescient.co.za/media/5755/prescient-investment-management-engagement-policy.pdf>
Files: link

No

FI 17 Mandatory to Report, Voluntary to Disclose Additional Assessed General

FI 17.1 Indicate whether your organisation measures how your incorporation of ESG analysis in fixed income has affected investment outcomes and/or performance.

	SSA	Corporate (financial)	Corporate (non-financial)
We measure whether incorporating ESG impacts portfolio risk.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
We measure whether incorporating ESG impacts portfolio returns.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
We measure the ESG performance/profile of portfolios (relative to the benchmark).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 18 Voluntary Descriptive PRI 1,2

FI 18.1 Provide examples of how your incorporation of ESG analysis and/or your engagement of issuers has affected your fixed income investment outcomes during the reporting year.

Example 1

Corporate (non-financial)	
	ESG issue and explanation
Counterparty issued bonds amid oil spillage controversies. Prescient initiated engagement to ascertain severity and environmental impact of the incident. However, the management of the counterparty seemed to have not assessed the extent of the ESG-related and financial consequences surrounding the incident. We believed the lack of sufficient disclosure hindered the ability of debt investors to fully price in the ESG risks associated with the counterparty.	
	Engagement
	Impact on investment decision or performance
Deemed it prudent to not participate in the counterparties credit auction due to lack of satisfactory answers.	

Example 2

SSA	
	ESG issue and explanation
The counterparty had high materiality and high risk across the environmental, social and governance spectrum. It scored poorly in our internal ESG assessment as well as in our internal credit rating process.	
	Screening
	Impact on investment decision or performance
Excluded counterparty from investable universe.	

Example 3

Example 4

Example 5

CM1 01	Mandatory	Additional Assessed	General				
CM1 01.1	Indicate whether the reported information you have provided for your PRI Transparency Report this year has undergone:						
<input type="checkbox"/> Third party assurance over selected responses from this year's PRI Transparency Report <input type="checkbox"/> Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year <input type="checkbox"/> Third party assurance or audit of the correct implementation of RI processes (that have been reported to the PRI this year) <input type="checkbox"/> Internal audit of the correct implementation of RI processes and/or accuracy of RI data (that have been reported to the PRI this year) <input checked="" type="checkbox"/> Internal verification of responses before submission to the PRI (e.g. by the CEO or the board) <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Whole PRI Transparency Report has been internally verified <input type="checkbox"/> Selected data has been internally verified <input type="checkbox"/> Other, specify <input type="checkbox"/> None of the above							
CM1 02	Mandatory	Descriptive	General				
CM1 02.1	We undertook third party assurance on last year's PRI Transparency Report						
<input type="radio"/> Whole PRI Transparency Report was assured last year <input type="radio"/> Selected data was assured in last year's PRI Transparency Report <input checked="" type="radio"/> We did not assure last year's PRI Transparency report <input type="radio"/> None of the above, we were in our preparation year and did not report last year.							
CM1 03	Mandatory	Descriptive	General				
CM1 03.1	We undertake confidence building measures that are unspecific to the data contained in our PRI Transparency Report:						
<input type="checkbox"/> We adhere to an RI certification or labelling scheme <input type="checkbox"/> We carry out independent/third party assurance over a whole public report (such as a sustainability report) extracts of which are included in this year's PRI Transparency Report <input type="checkbox"/> ESG audit of holdings <input type="checkbox"/> Other, specify <input checked="" type="checkbox"/> None of the above							
CM1 04	Mandatory	Descriptive	General				
CM1 04.1	Do you plan to conduct third party assurance of this year's PRI Transparency report?						
<input type="radio"/> Whole PRI Transparency Report will be assured <input type="radio"/> Selected data will be assured <input checked="" type="radio"/> We do not plan to assure this year's PRI Transparency report							
CM1 07	Mandatory	Descriptive	General				
CM1 07.1	Indicate who has reviewed/verified internally the whole - or selected data of the - PRI Transparency Report - and if this applies to selected data please specify what data was reviewed						
<input checked="" type="checkbox"/> CEO or other Chief-Level staff <table border="1" style="margin-left: 20px;"> <tr> <td colspan="2">Sign-off or review of responses</td> </tr> <tr> <td><input type="checkbox"/> Sign-off</td> <td><input checked="" type="checkbox"/> Review of responses</td> </tr> </table> <input type="checkbox"/> The Board <input type="checkbox"/> Investment Committee <input type="checkbox"/> Compliance Function <input checked="" type="checkbox"/> RI/ESG Team <input type="checkbox"/> Investment Teams <input type="checkbox"/> Legal Department <input type="checkbox"/> Other (specify)				Sign-off or review of responses		<input type="checkbox"/> Sign-off	<input checked="" type="checkbox"/> Review of responses
Sign-off or review of responses							
<input type="checkbox"/> Sign-off	<input checked="" type="checkbox"/> Review of responses						