



ASSESSMENT REPORT

2021 PILOT

FiNet Asset Management AG

Generated 2022-08-18

ABOUT THIS REPORT

The assessment report is designed to provide feedback to signatories and support ongoing learning and development. The high-level assessment methodology can be found [here](#) and question-level assessment criteria can be found after each indicator in the Investor Reporting Framework, [here](#). Note that the 2021 scoring methodology has changed to reflect the new Reporting Framework, and is incomparable with scores from previous PRI years.

Assessment Reports are confidential and only accessible to the reporting signatory on the Data Portal.

A dataset of medians based on all signatories' scores can be referenced [here](#).

PUBLICATION GUIDELINES

In the 2021 Reporting Framework, the PRI introduced accountability measures around the accurate representation of PRI Assessment Reports externally. This came as a result of an increasing level of disclosure of PRI Assessment Results externally. Alongside the higher level of disclosure, came an increasing amount of misrepresentation. As such, the publication guidelines were developed to ensure consistent and accurate representation of PRI reporting outputs. The guidelines state that signatories should not:

- disclose select modules scores in isolation (e.g., disclosing higher-scoring modules without disclosing lower-scoring modules),
- disclose scores that from selected parts of modules only (e.g., disclosing above-average performance in parts of a module without disclosing the median score for the module), and
- present any scores/grades/classification generated internally or by a third party, for a module of the overall Assessment Report, as being from the PRI (e.g., recalculating, or recompiling PRI scores).

Publication of any part of an Assessment Report must be accompanied by access to both the signatory's full:

- Assessment Report
- Transparency Report

Assessment Reports are the intellectual property of PRI. Under no circumstances, can this report or any of its contents be sold to third parties. Consent from the reporting signatory must be provided when sharing with third parties.

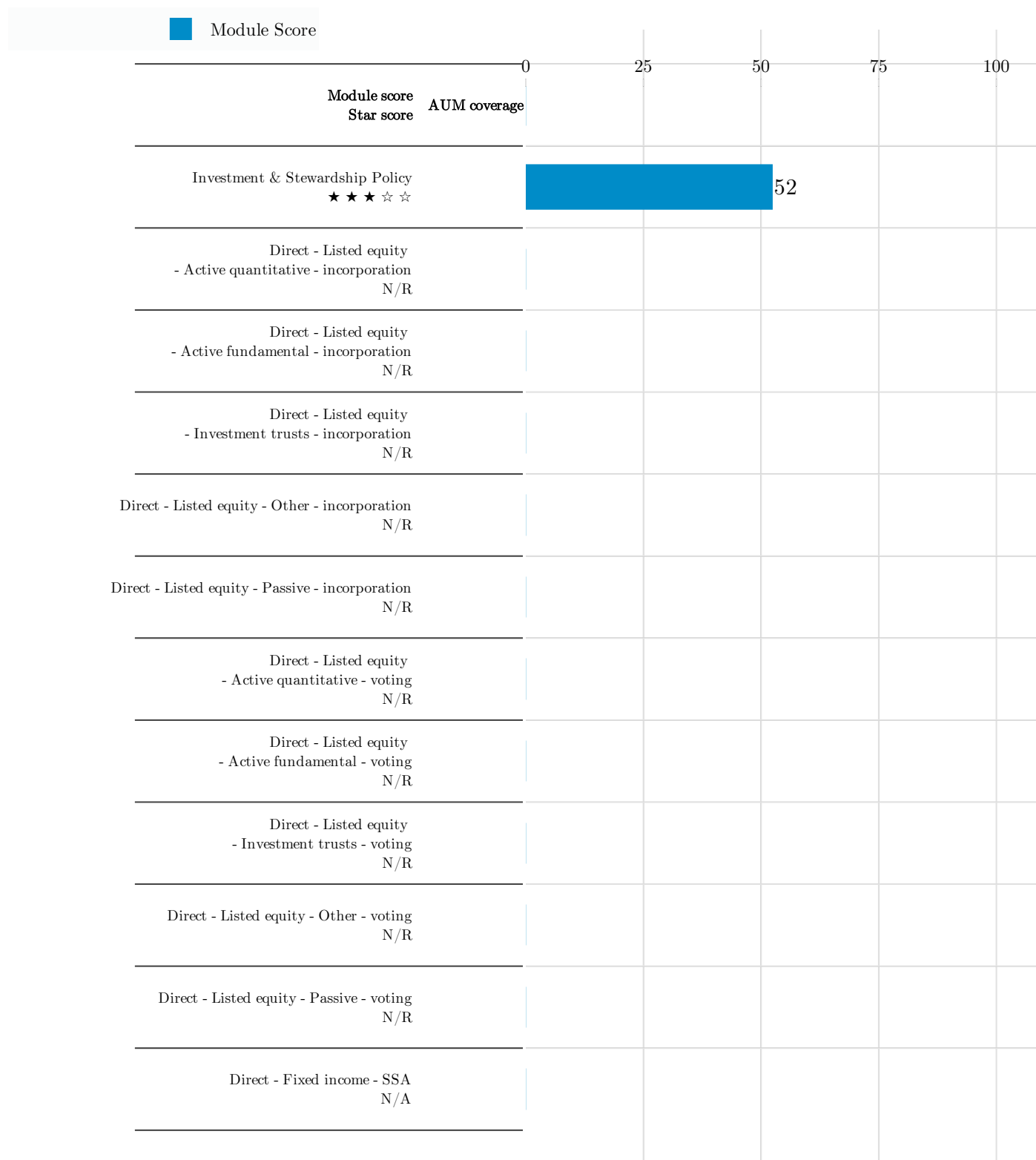
PRI DISCLAIMER

This document presents information reported directly by signatories in the 2021 reporting cycle. This information has not been audited by the PRI or any other party acting on its behalf. While this information is believed to be reliable, no representations or warranties are made as to the accuracy of the information presented. The PRI has taken reasonable action to ensure that data submitted by signatories in the reporting tool is reflected in their official PRI reports accurately. However, it is possible that small data inaccuracies and/or gaps remain, and the PRI shall not be responsible or liable for such inaccuracies and gaps.

Table of Contents

	Content	Page
	Summary Scorecard	4
	Indicator Level Scores For Investment & Stewardship Policy	7
	Indicator Level Scores For Indirect - Listed equity - Passive	9
	Indicator Level Scores For Indirect - Listed equity - Active	10
	Indicator Level Scores For Indirect - Fixed income - Passive	11
	Indicator Level Scores For Indirect - Fixed income - Active	12
	Indicator Level Scores For Indirect - Real estate	13

Summary Scorecard

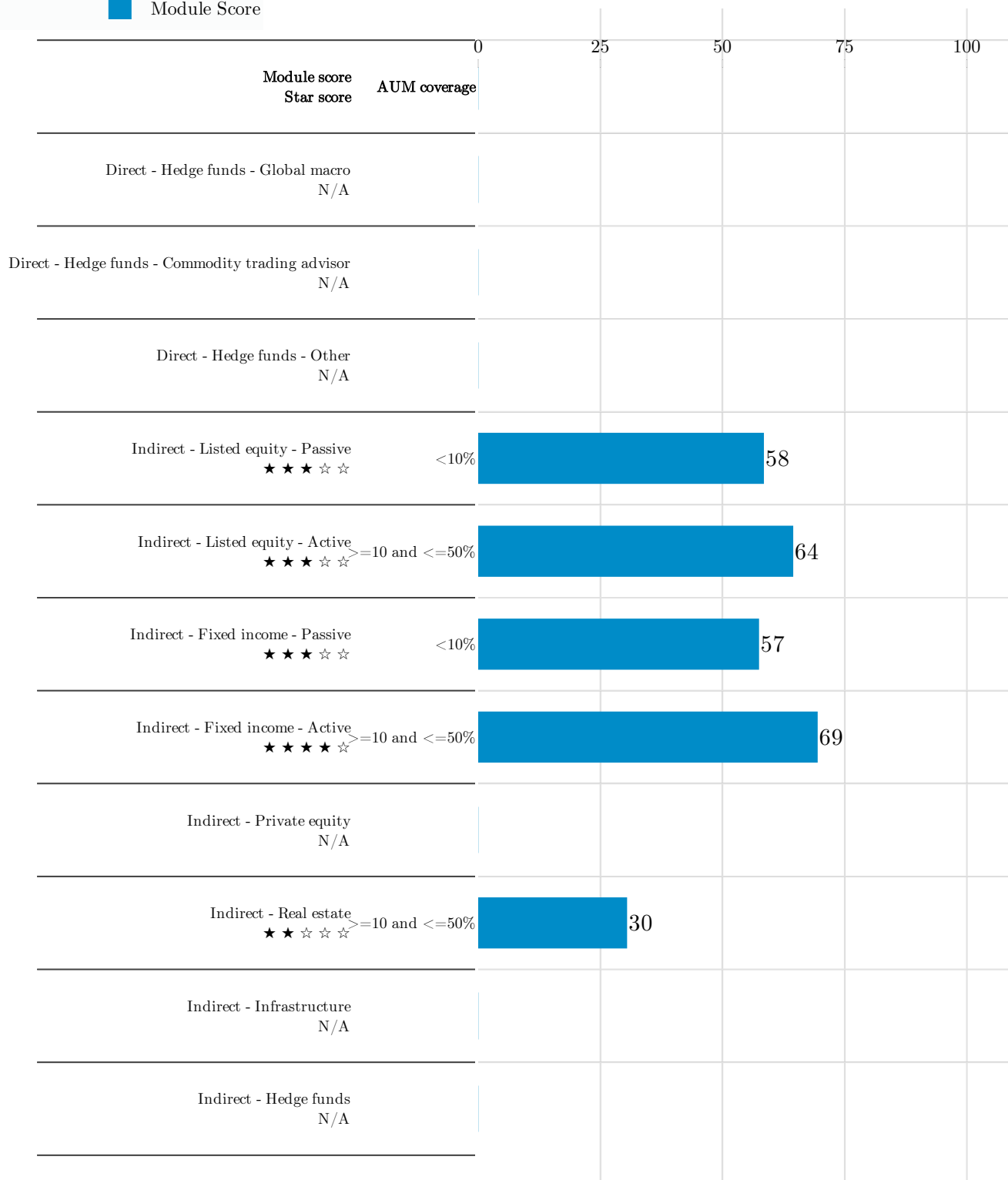


Summary Scorecard (continued)

<div> <div></div> Module Score </div>		0
	<div> <div>Module score</div> <div>Star score</div> </div> <div>AUM coverage</div>	
Direct - Fixed income - Corporate	N/A	
Direct - Fixed income - Securitised	N/A	
Direct - Fixed income - Private debt	N/A	
Direct - Private equity	N/A	
Direct - Real estate	N/A	
Direct - Infrastructure	N/A	
Direct - Hedge funds - Multi-strategy	N/A	
Direct - Hedge funds - Long/short equity - incorporation	N/A	
Direct - Hedge funds - Long/short equity - voting	N/A	
Direct - Hedge funds - Long/short credit	N/A	
Direct - Hedge funds - Distressed, special situations, and event-driven fundamental	N/A	
Direct - Hedge funds - Structured credit	N/A	

Summary Scorecard (continued)

Module Score



Indicator Level Scores For Investment & Stewardship Policy

Section	Sub-section	Topic	Indicator	Your Score
Responsible investment policy & governance	Responsible investment policy	Signatories responsible investment policy	ISP 1	200/200
Responsible investment policy & governance	Responsible investment policy	Signatories with elements of responsible investment policy	ISP 1.1	40/200
Responsible investment policy & governance	Responsible investment policy	Signatories with public responsible policy elements	ISP 2	200/200
Responsible investment policy & governance	Responsible investment policy	Coverage of responsible policy elements	ISP 3	150/200
Responsible investment policy & governance	Responsible investment policy	Contents of exclusion policy	ISP 4	100/100
Responsible investment policy & governance	Governance	Roles with formal oversight and accountability for responsible investment	ISP 6	150/150
Responsible investment policy & governance	Governance	Roles with implementation responsibilities for responsible investment	ISP 7	100/100
Responsible investment policy & governance	People and capabilities	Staff objectives for responsible investment practices	ISP 8	150/150
Responsible investment policy & governance	People and capabilities	Bonuses for responsible investment practices	ISP 8.2	0/100
Responsible investment policy & governance	People and capabilities	Frequency at which staff training for responsible investment is reassessed	ISP 9	32/100
Responsible investment policy & governance	Strategic asset allocation	Signatories incorporating ESG factors in strategic asset allocation	ISP 10.1	112/150
Stewardship	Stewardship policy	Coverage of stewardship policy	ISP 11	0/200
Stewardship	Stewardship objectives	Primary objective of stewardship policy	ISP 15	0/200
Stewardship	Stewardship prioritisation	Criteria for prioritising engagement targets	ISP 16	0/100
Climate change	Public support	Signatories publicly supporting the Paris Agreement	ISP 26	150/150
Climate change	Public support	Signatories publicly supporting the TCFD	ISP 27	0/150
Climate change	Governance	Board oversight for climate-related risks and opportunities [TCFD Governance A]	ISP 28	50/200
Climate change	Governance	Management responsibility for climate-related risks and opportunities [TCFD Governance B]	ISP 29	100/200
Climate change	Strategy	Time horizon for climate risks and opportunities [TCFD Strategy A]	ISP 30.1	200/200

Indicator Level Scores For Investment & Stewardship Policy (continued)

Section	Sub-section	Topic	Indicator	Your Score
Climate change	Strategy	Climate risks and opportunities identified beyond investment horizon [TCFD Strategy A]	ISP 31	50/200
Climate change	Strategy: Scenario analysis	Use of climate scenario analysis	ISP 33	0/200
Sustainability outcomes	Identify sustainability outcomes	Tools and frameworks used to identify and map activities onto sustainability outcomes	ISP 44	128/200
Sustainability outcomes	Identify sustainability outcomes	Levels at which sustainability outcomes are identified and mapped	ISP 44.1	150/150
Sustainability outcomes	Identify sustainability outcomes	Processes for identifying most salient sustainability outcomes	ISP 45	200/200
Transparency & Confidence-Building Measures	Information disclosed – ESG assets	Information shared regarding ESG products	ISP 46	75/150
Transparency & Confidence-Building Measures	Information disclosed – Passive ESG assets	Communication of information regarding passive ESG products	ISP 47	0/200
Transparency & Confidence-Building Measures	Client reporting – ESG assets	Information included in regular client reporting for ESG products	ISP 48	75/150
Transparency & Confidence-Building Measures	Information disclosed – All assets	Information shared	ISP 49	96/150
Transparency & Confidence-Building Measures	Client reporting – All assets	ESG information included in regular client reporting	ISP 50	50/200
Transparency & Confidence-Building Measures	Frequency of client reporting – All assets	Frequency of client reporting of ESG information	ISP 51	50/100
Transparency & Confidence-Building Measures	Confidence-building measures	Confidence building measures	ISP 52	64/200

Indicator Level Scores For Indirect - Listed equity - Passive

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	142/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	131/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	125/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	125/200
Selection	Documentation and track record	Review of information in manager selection	SAM 11	150/200
Appointment	Pooled funds	Manager appointment for pooled funds	SAM 12	138/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	94/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	94/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	66/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	0/150

Indicator Level Scores For Indirect - Listed equity - Active

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	142/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	150/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	150/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	143/200
Selection	Documentation and track record	Review of information in manager selection	SAM 11	150/200
Appointment	Pooled funds	Manager appointment for pooled funds	SAM 12	138/200
Appointment	Segregated mandates	Contractual requirements in manager appointment for segregated funds	SAM 13	0/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	112/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	113/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	100/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	120/150

Indicator Level Scores For Indirect - Fixed income - Passive

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	142/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	131/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	125/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	125/200
Selection	Stewardship	Manager selection criteria: fixed income stewardship	SAM 9	94/150
Selection	Documentation and track record	Review of information in manager selection	SAM 11	150/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	94/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	94/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	66/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	0/150

Indicator Level Scores For Indirect - Fixed income - Active

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	142/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	134/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	150/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	125/200
Selection	Stewardship	Manager selection criteria: fixed income stewardship	SAM 9	94/150
Selection	Documentation and track record	Review of information in manager selection	SAM 11	150/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	112/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	113/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	100/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	120/150

Indicator Level Scores For Indirect - Real estate

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	142/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	134/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	0/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	0/200
Selection	Documentation and track record	Review of information in manager selection	SAM 11	150/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	0/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	0/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	66/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	0/150