

ESG QUESTIONNAIRE FOR INVESTMENT MANAGERS

We expect our investment managers to incorporate leading responsible investment approaches in order to create long-term value for our portfolio, and sustainable benefits for the economy, the environment and society.

When evaluating the performance of our investment managers, we consider the degree to which environmental, social and governance (“ESG”) priorities and strategies are integrated across our manager’s asset allocation, stewardship, voting and other firm activities that may pertain to the oversight of our university’s investments.

The attached ESG questionnaire is designed to obtain relevant, meaningful, comparable, and transparent reporting from our managers on ESG performance. As much as possible, we have collaborated with other universities to develop a common set of questions in order to a) set consistent expectations of asset managers, and b) reduce the burden on managers in responding to multiple questionnaires on the same topic.

USE OF THIS QUESTIONNAIRE

- We will evaluate responses to the questionnaire on an annual basis as part of our review of investment manager performance.
- Data from the questionnaire responses received from our investment managers may be aggregated for comparison purposes.
- In addition, we reserve the right to publish responses on our website, at our sole discretion.

ORGANIZATION OF THE QUESTIONNAIRE

The investment manager questionnaire is broken down into five functional areas for questions:

Management: How the organization is structured and managed. This section is largely focused on the policies and resources within your organization related to responsible investment

Strategy: How the organization prioritizes ESG issues

Integration: How the organization integrates ESG into investment decision-making. This section is largely focused on how you use data, evaluate investments, and assess results

Stewardship: How the organization votes, engages and promotes best practices within the portfolio.

Advocacy & partnerships: How the organization collaborates with other investors and engages with policy-makers.

Issue focus: Each section includes a subset of questions related to specific issues such as climate change, human rights, and diversity, equity and inclusion (DEI) and Indigenous reconciliation.

Questions: Each question has been framed as a positive statement. When responding to each question, you will need to affirm if you adhere to a certain practice by checking the box next to the question. You will then be prompted to provide additional evidence or commentary, as necessary, to substantiate each response, in a fillable field underneath the question. You may include links to external documents, websites, or note that you are appending a document to the response, with an indication of where to find the appropriate information. If you cannot check the box affirming a particular statement, that's fine, just leave it empty and move on to the next question.

Baseline expectations: Some of the questions within this questionnaire will represent advanced practices which some managers will not yet have applied. They are included to identify potential directions for improvement over time. Within most question sets, however, some questions are identified as "baseline expectations" which, based on current practice, represent reasonable expectations of practice for our managers.

Scope and application: Some questions will not be appropriate for certain asset classes or geographically-specific portfolios and you may not be expected to answer them. We have marked some of these by changing the colour of the question number to red. If there are additional questions that are inapplicable to the manager's practice, however, please use the text boxes to explain why.

DEFINITIONS AND ADDITIONAL RESOURCES

The questionnaire refers to several external initiatives and resources which are outlined here in alphabetical order, for additional clarity:

1.5 degrees Celsius scenario: A scenario showing the impacts of global warming of 1.5 °C above pre-industrial levels and related global greenhouse gas emission pathways, in the context of strengthening the global response to the threat of climate change, sustainable development, and efforts to eradicate poverty. <https://www.ipcc.ch/sr15/>

Black North Initiative: The BlackNorth Initiative is on a mission to end anti-Black systemic racism throughout all aspects of our lives by utilizing a business-first mindset. <https://blacknorth.ca/>

Canadian Council for Aboriginal Business (CCAB): CCAB builds bridges between Indigenous and non-Indigenous peoples, businesses, and communities through diverse programming, providing tools, training, network building, major business awards, and national events. <https://www.ccab.com/>

CFA Institute Diversity, Equity, and Inclusion "DEI" Code: This voluntary code provides a structured framework supporting employers, executive leaders, investment professionals, DEI specialists, and HR professionals in crafting impactful and measurable strategies to enable better people management in the investment industry. <https://www.cfainstitute.org/en/ethics-standards/codes/diversity-equity-inclusion>

Climate Action 100+: Climate Action 100+ is a global investor-led initiative to ensure the world's largest corporate greenhouse gas emitters take necessary action on climate change. 700 investors, responsible for over \$68 trillion in assets under management, are engaging companies on improving climate change governance, cutting emissions and strengthening climate-related financial disclosures. <https://www.climateaction100.org>

Climate Engagement Canada: Climate Engagement Canada is a finance-led Canadian initiative that drives dialogue between finance and industry to promote a just transition to a net zero economy. <https://climateengagement.ca/>

Human Capital Management Coalition: The Human Capital Management Coalition (HCMC or Coalition) is a cooperative effort among a diverse group of asset owners to further elevate human capital management as a critical component in company performance. The Coalition engages companies and other market participants with the aim of understanding and improving how human capital management contributes to the creation of long-term shareholder value.

<https://www.hcmcoalition.org>

ILO Declaration on Fundamental Principles and Rights at Work: The International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at Work, adopted in 1998 and amended in 2022, is an expression of commitment by governments, employers' and workers' organizations to uphold basic human values - values that are vital to our social and economic lives.

<https://www.ilo.org/declaration/lang--en/index.htm>

Investor Alliance for Human Rights: The Investor Alliance for Human Rights is a collective action platform for responsible investment that is grounded in respect for people's fundamental rights. It is a membership-based, non-profit initiative focusing on the investor responsibility to respect human rights, corporate engagements that drive responsible business conduct, and standard-setting activities that push for robust business and human rights policies. <https://investorsforhumanrights.org>

International Trade Union Confederation's Global Rights Index: Each year the International Trade Union Confederation rates countries depending on their compliance with collective labour rights and document violations by governments and employers of internationally recognised rights.

<https://www.globalrightsindex.org/en/2022>

LEED-certification: Leadership in Energy and Environmental Design (LEED) is an international symbol of sustainability excellence and green building leadership. LEED's proven and holistic approach helps virtually all building types lower carbon emissions, conserve resources, and reduce operating costs by prioritizing sustainable practices. <https://www.cagbc.org/our-work/certification/leed/>

Net Zero Asset Managers Initiative: The Net Zero Asset Managers initiative is an international group of asset managers committed to supporting the goal of net zero greenhouse gas emissions by 2050 or sooner, in line with global efforts to limit warming to 1.5 degrees Celsius; and to supporting investing aligned with net zero emissions by 2050 or sooner. <https://www.netzeroassetmanagers.org/>

Net-zero objective: Put simply, net zero means cutting greenhouse gas emissions to as close to zero as possible, with any remaining emissions re-absorbed from the atmosphere, by oceans and forests for instance. Companies can commit to set a long-term science-based target to reach net-zero value chain GHGs emissions by no later than 2050, and to align their business with a 1.5°C future.

<https://sciencebasedtargets.org/net-zero>

Paris Agreement: The Paris Agreement is a legally binding international treaty on climate change. It was adopted by 196 Parties at COP 21 in Paris, on 12 December 2015 and entered into force on 4 November 2016. Its goal is to limit global warming to well below 2, preferably to 1.5 degrees Celsius, compared to pre-industrial levels. <https://unfccc.int/process-and-meetings/the-paris-agreement/the-paris-agreement>

Principles for Responsible Investment: The PRI works to support an international network of investor signatories in incorporating ESG factors into their investment and ownership decisions.

www.unpri.org

Progressive Aboriginal Relations (PAR) certification: PAR is a certification program that confirms corporate performance in Indigenous relations at the Bronze, Silver or Gold level. Certified companies

promote their level with a PAR logo signaling to communities that they are good business partners; great places to work; committed to prosperity in Indigenous communities.

<https://www.ccab.com/programs/progressive-aboriginal-relations-par/>

Responsible Contractor Policy: A policy intended to ensure that contractors will be selected based upon demonstrated ability to provide high quality services, as evidenced by their record of compliance with applicable statutes and payment of fair wages and benefits to employees, as well as by their experience, reputation, responsiveness, fees, and dependability. For a sample policy, see <https://www.calpers.ca.gov/page/investments/sustainable-investments-program/human-capital/responsible-contractor-program>

Task Force on Climate-Related Financial Disclosures: The Financial Stability Board created the Task Force on Climate-related Financial Disclosures (TCFD) to improve and increase reporting of climate-related financial information. In 2017, the TCFD released climate-related financial disclosure recommendations designed to help companies provide better information to support informed capital allocation. <https://www.fsb-tcfd.org/>

Truth and Reconciliation Commission's Call to Action 92: The TRC's mandate was to inform all Canadians about what happened in residential schools. The TRC documented the truth of Survivors, their families, communities and anyone personally affected by the residential school experience. This included First Nations, Inuit and Métis former residential school students, their families, communities, the churches, former school employees, government officials and other Canadians. The TRC concluded its mandate in 2015. In order to redress the legacy of residential schools and advance the process of Canadian reconciliation, the TRC made 94 calls to action. Number 92 was focused on Business & Reconciliation. https://ehprnh2mwo3.exactdn.com/wp-content/uploads/2021/01/Calls_to_Action_English2.pdf

Organizational Information

Tell us about your organization:

Organization Name: Click or tap here to enter text.

Contact Name: Click or tap here to enter text.

Contact Email: Click or tap here to enter text.

Contact Phone: Click or tap here to enter text.

Mandate you manage on behalf of our institution: Choose an item.

Date Submitted: Click or tap here to enter text.

INSTRUCTIONS: On the following pages, please check the box next to each of the statements that applies to your organization. For statements that you have checked, please provide the requested additional information or commentary in the box provided.

A: Management of Responsible Investment

Management: Organization

Baseline Expectations

A1. Our firm has a responsible investment policy.¹

Please link or append your firm's responsible investment policy:

Click or tap here to enter text.

A2. Our responsible investment policy applies to all assets under management (AUM).²

Please provide the percentage of AUM covered by this policy:

Click or tap here to enter text.

A3. Our firm has assigned oversight of our responsible investment policy and practices to senior executives.³

Please describe the governance structure for RI activities:

Click or tap here to enter text.

A4. Our staff are trained on ESG issues and processes.⁴

Please list and describe any internal and/or external ESG-related training conducted within the last year:

Click or tap here to enter text.

A5. Responsible investment objectives are incorporated into individual or team employee performance reviews and compensation mechanisms.⁵

Please describe how this is done:

Click or tap here to enter text.

A6. We formally embed ESG requirements into external contracts (e.g. sub-advisors, external managers, Limited Partnership Agreements).

Please provide examples of these requirements and the instruments in which they are included:

Click or tap here to enter text.

¹ If the respondent is a PRI signatory, the organization's answers to PRI PGS 1 and PRI SLS 1 may be used here.

² If the respondent is a PRI signatory, the organization's answers to PRI PGS 8 and PRI PGS 9 may be used here.

³ If the respondent is a PRI signatory, the organization's answer to PRI PGS 11 may be used here.

⁴ If the respondent is a PRI signatory, the organization's answer to PRI PGS 15 may be used here.

⁵ If the respondent is a PRI signatory, the organization's answers to PRI PGS 13 and PRI PGS 14 may be used here.

Management: Climate Change

- A7. Our firm has an overall net zero objective.

Please describe or append the objective (and if none, explain), and identify whether the objective relates to its own activities and emissions or to the assets in its portfolios:

Click or tap here to enter text.

- A8. Our firm has produced its own Task Force on Climate-Related Financial Disclosures (TCFD) report.⁶

Please append or provide a link to the most recent report:

Click or tap here to enter text.

⁶ If the respondent is a PRI signatory, the organization's answer to PRI PGS 17 may be used here.

Management: Human Rights

Baseline Expectations

A9. Our firm has recognized that investee companies have a responsibility to respect the fundamental rights state in the ILO Declaration on Fundamental Principles and Rights at Work for their direct workforce. This is distinct from “human capital management” practices.
Please provide links or attach documents where this is recognized:
Click or tap here to enter text.

- A10. We have developed our own human rights due diligence process which: a) identifies actual and potential adverse human rights impacts in pre-investment (where applicable) and post-investment phases; b) Seeks to prevent or mitigate adverse human rights impacts through its stewardship practices; and c) tracks results.⁷

Please provide links or attach documents outlining this process:

Click or tap here to enter text.

- A11. Our firm has adopted a responsible contractor policy governing, at minimum, our real assets portfolio.

Please provide a link to the policy or append it here:

Click or tap here to enter text.

- A12. Our firm has a mechanism to receive, assess and address complaints about the human rights impacts of our operations and investments.

Please provide details and/or documentation:

Click or tap here to enter text.

⁷ If the respondent is a PRI signatory, the organization’s answer to PRI PGS 49 may be used here.

Management: DEI and Reconciliation

Baseline Expectations

A13. Our firm has a clear policy on diversity, equity and inclusion (“DEI”).

Please provide a link or append the policy:

Click or tap here to enter text.

A14. Our firm has conducted internal education on Indigenous history and reconciliation, consistent with the Truth and Reconciliation Commission’s Call to Action 92.

Please identify the percentage of staff and senior management that have participated in training:

Click or tap here to enter text.

A15. Our firm is majority-owned by members of equity-deserving groups (e.g. women, people with disabilities, BIPOC individuals).

A16. Our board of directors includes at least 40% women.

Please indicate the percentage:

Click or tap here to enter text.

A17. Our board includes directors who are Black, Indigenous or People of Colour (BIPOC).

A18. Our senior management includes people who are Black, Indigenous or People of Colour.

Please indicate in the aggregate, the percentage of senior management that identify as Black, Indigenous or People of Colour:

Click or tap here to enter text.

A19. We have set time-based targets for improvements in diversity, equity and inclusion at our firm.⁸

Please provide examples of the targets set and progress in meeting them over the past two years:

Click or tap here to enter text.

A20. Our firm has achieved or is pursuing Progressive Aboriginal Relations (PAR) certification with the Canadian Council for Aboriginal Business (CCAB).

Please provide the firm’s certification level, if so (e.g. Bronze, Silver, Gold):

Click or tap here to enter text.

A21. Our firm has achieved or is pursuing other relevant certifications related to diversity, equity & inclusion.

⁸ If the respondent is a PRI signatory, the organization’s answer to PRI PGS 50 may be used here.

Please identify the relevant certifications and your firm's status:

Click or tap here to enter text.

- A22. Our firm has a supplier diversity policy.

Please provide a link or append the policy:

Click or tap here to enter text.

B: Strategy

Strategy: Organization

- B1. Our firm proactively assesses emerging risks.

Please provide one emerging ESG issue or trend that you believe will increasingly become material to the mandate from our institution over the next 3-4 years and how your firm is addressing it in your policies and practices:

Click or tap here to enter text.

- B2. Our firm has processes to identify and address systemic (i.e. portfolio-level or non-diversifiable) ESG risks.

Please provide at least three examples of how you have identified and addressed systemic risks within investment portfolios within the past two years:

Click or tap here to enter text.

Strategy: Climate Change

Baseline Expectations

B3. We have analyzed the resilience of our investment strategies, taking into account different climate-related scenarios, including a 1.5 degrees Celsius scenario.

If so, please describe the results of the analysis and the scenarios used:

Click or tap here to enter text.

B4. Our firm measures the carbon footprint of our portfolio holdings.⁹

Please describe the methodology, metrics and data sources used. Please include the current footprint of the relevant portfolio(s):

Click or tap here to enter text.

B5. We set targets for reductions in the carbon footprint of our portfolio holdings.

Please list your targets and timelines:

Click or tap here to enter text.

B6. Our firm successfully achieved its previous targets for reductions in the carbon footprint of our portfolio holdings.

Please list the targets you met and the timelines in which they were achieved:

Click or tap here to enter text.

⁹ If the respondent is a PRI signatory, the organization's answer to PRI PGS 45 may be used here.

Strategy: DEI and Reconciliation

Baseline Expectations

B7. Our firm recognizes that investee companies have a responsibility to improve diversity at the board and executive level.

Please provide links or attach documents where this is recognized relevant to our asset class:

Click or tap here to enter text.

B8. Our firm has recognized that investee companies have a responsibility to improve diversity across the entire employee base.

Please provide links or attach documents where this is recognized:

Click or tap here to enter text.

B9. Our firm has explicitly identified racial equity and/or Indigenous Reconciliation as relevant matters in fund design or policy statements.

Please provide links or attach documents where this is recognized:

Click or tap here to enter text.

B10. Our firm has prioritized investments in vehicles that have a positive impact in racialized or Indigenous communities.

Please provide at least one example from within the past two years:

Click or tap here to enter text.

C: Integration

Integration: Organization

Baseline Expectations

C1. Our firm uses specific ESG data in our investment process.

Please list your sources of ESG data and information (e.g., third-party research and analysis, public information, stakeholder research, direct engagement with companies) and at which stage of the investment cycle and how you make use of is data:

Click or tap here to enter text.

C2. Our firm integrates analysis of ESG factors with traditional financial analysis for securities, sectors and countries.

Please describe whether the results of these analyses are implemented in a qualitative manner (i.e. to inform a buy/sell/hold decisions) or quantitative manner (i.e. to adjust forecasted variables), or both, and provide at least three examples of how these analyses have influenced specific investment decisions within the past two years

Click or tap here to enter text.

C3. Our firm has periodic reviews of our ESG process and approach to assess its effectiveness.

Please provide examples of changes made as a result of these reviews within the past two years:

Click or tap here to enter text.

Integration: Climate Change

Baseline Expectations

C4. Our firm identifies and analyzes the climate-related risks and opportunities for our investment portfolio over the short, medium and long term.

Please describe the results of this analysis:

Click or tap here to enter text.

C5. Climate-related risks and opportunities are integrated into pre-investment analysis.¹⁰

Please describe how the firm integrates climate risks in its analysis:

Click or tap here to enter text.

C6. We can provide at least three examples of instances where climate or environmental sustainability factors affected our firm's investment decisions within the past two years.

Please provide at least three examples from within the past two years:

Click or tap here to enter text.

C7. We assess the credibility of a company's emission reduction targets.

Please describe how you make that assessment (attaching documents if needed):

Click or tap here to enter text.

C8. We assess the alignment of a company's climate action plans with the Paris Agreement objectives.

Please describe how you make that assessment (attaching documents if needed) and, for the mandate you manage for our institution, provide the percentage of entities in the portfolio (if applicable) that, in your view, have Paris-aligned plans:

Click or tap here to enter text.

C9. Within the past year, we have changed portfolio asset valuations due to our assessment of their outlook in the transition to a low-carbon economy or other environmental factors.

Please provide an example of how and why the valuations changed:

Click or tap here to enter text.

C10. Our firm looks for third-party certifications that provide credibility on environmental performance, such as LEED certification for real assets.

Please list the relevant certifications and the percentage of applicable assets which have reached the highest standard of certification:

Click or tap here to enter text.

¹⁰ If the respondent is a PRI signatory, the organization's answers to PRI PGS 41, PRI PGS 41.1 and PRI PGS 44 may be used here.

Integration: Human rights

Baseline Expectations

C11. Human-rights related risk and opportunities are integrated into pre-investment analysis.

Please describe how the firm integrates human rights risks in its analysis:

Click or tap here to enter text.

C12. We can provide at least three examples of instances where human rights or labour rights factors changed our firm's investment decisions from within the past two years.

Please provide at least three examples from within the past two years:

Click or tap here to enter text.

C13. We have changed portfolio asset valuations due to our assessment of management of human rights or labour rights concerns in their operations or supply chains.

Please provide an example of how and why the valuations changed:

Click or tap here to enter text.

C14. Information from trade unions (such as the International Trade Union Confederation's Global Rights Index) and/or labour rights NGOs is included in the total mix of information that guides our investment process.

Please identify sources referred to in the past two years:

Click or tap here to enter text.

Integration: DEI and Reconciliation

Baseline Expectations

C15. We have identified sectors, firms, products, services or technologies that call for specific attention around racial equity impacts, such as: private prisons and immigration-related technology, communications, services; real estate; and financial sectors.

Please provide examples and the reasons for specific attention:

Click or tap here to enter text.

- C16. We can provide an example of an occasion within the past two years in which the position held in a portfolio asset was changed (increased or decreased) due to racial equity or Indigenous rights considerations.

Please provide at least one example from within the past two years:

Click or tap here to enter text.

- C17. We have identified Indigenous issues as a unique factor in our pre-investment analysis.

Please provide examples of factors or data that are considered in pre-investment analysis:

Click or tap here to enter text.

- C18. We have identified racial equity impacts as a unique factor in our pre-investment analysis.

Please provide examples of factors or data that are considered in pre-investment analysis:

Click or tap here to enter text.

- C19. We solicit information from investee companies on their approach to Indigenous rights and/or racial equity.

Please provide at least one example from within the past two years:

Click or tap here to enter text.

- C20. We solicit information from investee companies on potential differential environmental impacts of their operations, products or services on communities of colour.

Please provide at least one example within the past two years:

Click or tap here to enter text.

D: Stewardship

Stewardship: Organization

Baseline Expectations

- D1. Our firm has a proxy voting policy.

Please link or append your firm's proxy voting policy:

Click or tap here to enter text.

- D2. We have reviewed our voting decisions, and they are aligned with our policy.

Please provide at least three examples of how your proxy voting activities aligned with your policy within the past two years:

Click or tap here to enter text.

- D3. Our firm uses a third-party proxy advisor with a specific ESG policy and focus.

Please list the advisor and the policy used:

Click or tap here to enter text.

- D4. Our firm has an ESG-oriented engagement strategy (applicable to the asset class).

Please describe the firm's engagement goals, activities and outcomes in each of the last three years

Click or tap here to enter text.

- D5. Our firm has a policy on escalation when ESG issues are not successfully addressed through engagement or voting.

Please provide this policy and an example of when it was used:

Click or tap here to enter text.

Stewardship: Climate Change

Baseline Expectations

D6. We vote in favour of climate-or environment-related shareholder proposals.
Please describe the number and/or percentage of climate-or environment-related shareholder proposals you have supported in the past two years:
Click or tap here to enter text.

- D7.** We set climate-related and or environment-related objectives for our engagement with management of portfolio assets.

Please provide at least three examples of engagement with management to promote climate-or environment-related objectives from within the past two years:

Click or tap here to enter text.

- D8.** We set outcome/action-based goals (e.g. emissions reductions) and not just disclosure goals (e.g. emissions reporting) for our engagements with management.

Please provide examples of outcome-based goals, how many companies you engaged on those goals in the past year, and whether the outcome has been achieved with any of the companies engaged:

Click or tap here to enter text.

- D9.** We vote against management proposals when the company is underperforming on climate or biodiversity.

Please provide at least three examples where you voted against directors or auditor appointments for climate- or biodiversity-related reasons from within the past two years:

Click or tap here to enter text.

- D10.** Our firm is an active participant in collaborative climate-related engagements with Climate Engagement Canada and/or Climate Action 100+.

Please specify your role and details of your contribution to the initiative and its outcomes:

Click or tap here to enter text.

Stewardship: Human Rights

Baseline Expectations

D11. We vote in favour of human rights or labour rights-related shareholder proposal. *Please describe the percentage of human rights or labour rights-related shareholder proposals applicable to our portfolio which you have supported in the past two years:*
Click or tap here to enter text.

- D12.** An investee company's responsibility to uphold fundamental labour rights is incorporated in the proxy voting guidelines we use to execute our voting rights (if applicable to the asset class).

Please identify the applicable guidelines:

Click or tap here to enter text.

- D13.** We have prioritized engagements with management of portfolio companies on adverse human rights or labour rights-related impacts.

Please provide at least three examples of engagement with management to promote human rights or labour rights-related objectives from within the past two years:

Click or tap here to enter text.

- D14.** We set outcome/action-based goals (e.g. changes to policy or practice) and not just disclosure goals (e.g. reporting workforce metrics) for our engagement with management.

Please provide examples of outcome-based goals, how many companies you engaged on those goals in the past year, and whether the outcome has been achieved with any of the companies engaged

Click or tap here to enter text.

- D15.** Our firm engages with trade unions and/or human rights NGO's as part of our process of identifying and mitigating adverse labour rights or human rights impacts.

Please provide examples:

Click or tap here to enter text.

- D16.** We vote against certain management proposals when the company is subject to material human rights or labour rights controversies (if applicable to the asset class).

Please provide at least one or two examples where you voted against director appointments for human rights or labour rights-related reasons from within the past two years:

Click or tap here to enter text.

Stewardship: DEI & Reconciliation

Baseline Expectations

D17. Racial equity and diversity are incorporated in the proxy voting guidelines used to execute our voting rights.

Please provide a link to the relevant guidelines or provide an excerpt here:

Click or tap here to enter text.

D18. Indigenous reconciliation is incorporated in the proxy voting guidelines used to execute our voting rights.

Please provide a link to the relevant guidelines or provide an excerpt here:

Click or tap here to enter text.

D19. We have voted in favour of shareholder proposals related to racial equity and/ or Indigenous reconciliation.

Please provide examples from within the past two years:

Click or tap here to enter text.

D20. We have voted against director appointments (e.g. Chair of Nominating Committee) when a board of directors does not include any BIPOC individuals.

Please provide examples from within the past two years:

Click or tap here to enter text.

D21. Our firm has racial equity and Indigenous reconciliation goals for our engagement with investee companies.

Please provide examples of outcome-based goals, how many companies you engaged on those goals in the past year, and whether the outcome has been achieved with any of the companies engaged:

Click or tap here to enter text.

E: Advocacy and Partnerships

Advocacy & Partnerships: Organization

Baseline Expectations

E1. Our firm is a Principles for Responsible Investment Signatory.

E2. Our firm has met or exceeded the median score for investment managers in its latest PRI assessment report card. *Please select one of the following statements:*

- Our firm scored five (5) stars in our most recent PRI report.
- Our firm scored four (4) stars in our most recent PRI report.
- Our firm scored three (3) stars or below in our most recent PRI report.

E3. Our firm is a member or signatory to the following collaborative ESG initiatives:

Please list the collaborative ESG initiatives (ie. Net Zero Asset Managers Initiative, Climate Engagement Canada, etc) that you participate in and describe how your participation has enhanced your firm's approach to ESG:

Click or tap here to enter text.

E4. Our firm plays an active role in the collaborative investor initiatives to which it belongs.

Please specify your role and details of your contribution to the initiative and its outcomes:

Click or tap here to enter text.

Advocacy & Partnerships: Climate Change

Baseline Expectations

E5. Our firm has taken a public position on risks and opportunities related to climate action and environmental sustainability.

Please provide links or attach examples:

Click or tap here to enter text.

- E6. Our firm has directly or indirectly participated in efforts to influence standards, regulations or legislation related to climate change or biodiversity.

Please provide examples of policy engagement and the position you supported:

Click or tap here to enter text.

Advocacy & Partnerships: Human Rights

- E7. In addition to collaborative investor initiatives listed above, our firm is also a signatory/member of human rights or labour rights initiatives (e.g. the Human Capital Management Coalition, the Investor Alliance for Human Rights, the Labour Rights Investor Network).

Please list the relevant initiatives:

Click or tap here to enter text.

- E8. Our firm has directly or indirectly participated in efforts to influence standards, regulations or legislation related to human rights or labour rights.

Please provide examples of policy engagement and the position you supported:

Click or tap here to enter text.

Advocacy & Partnerships: DEI and Reconciliation

- E9. Our firm is a signatory/member of initiatives which address racial equity and/or Indigenous reconciliation (e.g. Black North Initiative).

Please list relevant initiatives:

Click or tap here to enter text.

- E10. Our firm has supported initiatives to increase opportunities for equity-seeking groups in the investment industry (e.g. scholarships, bursaries).

Please provide examples:

Click or tap here to enter text.

- E11. Our firm has supported research or external programs on reconciliation, Indigenous rights, and/or racial equity.

Please provide links or append documents:

Click or tap here to enter text.

- E12. Our firm has directly or indirectly participated in efforts to influence standards, regulations or legislation related to Indigenous reconciliation and/or racial equity.

Please provide examples of policy engagement and the position you supported:

Click or tap here to enter text.

- E13. Our firm has engaged directly with Indigenous governments, organizations or initiatives to understand the impacts of our investments.

Please provide at least one example from within the past two years:

Click or tap here to enter text.

- E14. Our firm has engaged directly with organizations focused on diversity and racial equity to understand the impacts of our investments.

Please provide at least one example from within the past two years:

Click or tap here to enter text.