

onemarkets

# Rockefeller Global Innovation Equity Fund Website Disclosure – Summary document

## 1. NO SUSTAINABLE INVESTMENT OBJECTIVE

This financial product promotes environmental or social characteristics but does not have as its objective sustainable investment.

The Sub-Fund plans to allocate a minimum of 50% of its assets in issuers with favourable ESG characteristics and a minimum of 5% in sustainable investments.

A combination of proprietary quantitative screens and data from third party data providers is utilised to measure the attainment of the Sub-Fund's environmental and social characteristics.

## 2. ENVIRONMENTAL AND / OR SOCIAL CHARACTERISTICS PROMOTED BY THE FUND

The Sub-Fund primarily invests in equity securities of public companies whose business activities have a growth catalyst tied to underlying global innovation & transitions in Technology, Health and Wellness, Demographics, and Decarbonization ("Global Innovation & Transition Companies").

## 3. INVESTMENT STRATEGY

The Sub-Fund invests primarily in equity securities of companies that have been identified on a global basis by the Investment Manager as having exposure to the potential growth related to global innovation & transition themes developed by the Investment Manager. The Sub-Fund expects to be diversified across sectors.

A minimum of 50% of the Sub-Fund's net assets will be invested in securities deemed to maintain sustainable characteristics. Favourable ESG characteristics are determined by reference to proprietary ESG scores with exclusion criteria and engagement processes.

## 4. PROPORTION OF INVESTMENTS

The Sub-Fund will invest a minimum of 50% of its assets in issuers with favourable ESG characteristics and a minimum of 5% in sustainable investments.

## 5. MONITORING OF ENVIRONMENTAL OR SOCIAL CHARACTERISTICS

The Investment Manager uses a two-phase approach to monitor the attainment of environmental and social characteristics being promoted by the Sub-Fund, beginning with a quantitative screen using metrics from a third-party data provider, International Shareholder Services ("ISS"), and measuring those results against the Investment Manager's proprietary thresholds. If a company fails the first phase, a second phase is conducted which is qualitative in nature and draws upon all aspects of the Investment Manager's fundamental research.

## 6. METHODOLOGIES

The Investment Manager combines an assessment of proprietary ESG scores with exclusion criteria and engagement processes as the methodology to measure how the environmental and social characteristics promoted by the Sub-Fund are met. The Investment Manager uses a two-phase approach, beginning with a quantitative screen using metrics from

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third party data provider, ISS, and measuring those results against the Investment Manager's proprietary thresholds. If a company fails the first phase, a second phase is conducted which is qualitative in nature and draws upon all aspects of the Investment Manager's fundamental research.

### 7. DATA SOURCES AND PROCESSING

The Investment Manager's investment process uses both internal fundamental research and external data provided by ISS to assist in attaining each of its promoted environmental and social characteristics.

### 8. LIMITATIONS TO METHODOLOGIES AND DATA

As the Investment Manager relies on data provided by ISS, it acknowledges that limitations do exist, such as missing, unavailable, or unreliable data sets.

While it is acknowledged that data limitations exist in the industry, the Investment Manager believes that it receives sufficient data in order to manage the Sub-Fund in a manner which is aligned with the environmental and social characteristics promoted by the Sub-Fund.

### 9. DUE DILIGENCE

The Investment Manager conducts due diligence on underlying assets on both a pre-investment and an ongoing basis. The Investment Manager relies on engaging with investee companies directly, reading sustainability reports and other regulatory filings, as well as data provided by ISS.

As detailed above, the Sub-Fund seeks to invest in companies that meet the Investment Manager's ESG Improvers analysis, and a diverse team of ESG-integrated research analysts integrate ESG Improvers information into the Investment Manager's security selection process.

### 10. ENGAGEMENT POLICIES

If the Investment Manager determines that a portfolio company no longer meets its ESG Improvers criteria, the Investment Manager will first seek to remediate through engagement with the portfolio company.

The Investment Manager has also developed voting principles and guidelines that seeks to encourage progress and leadership from companies in areas such as:

- i. Production of products and services in a manner that is aligned with the sustainable development of the world's economy
- ii. Human capital management policies and practices
- iii. Environmental practices and risk mitigation

### 11. DESIGNATED REFERENCE BENCHMARK

The Sub-Fund does not have a reference benchmark that has been designated for the purpose of attaining the environmental or social characteristics promoted by the Sub-Fund.