

**Submission ID**

F01009

**Region**

Hong Kong

**Category**

Corporate Responsibility and Strength

**Name of firm**

China Asset Management (Hong Kong) Limited

**1. Firm-level Commitment to active engagement/stewardship. Please select the statement(s) that describe your approach to stewardship[i].**

We do NOT yet have an explicit, clearly spelled out stewardship policy/framework/principle, but we are in the process of finalizing one within the next 12 months

**Additional remarks, if any (maximum 250 words)**

We do not have an ESG framework yet but we are working on it.

**3. Are you a Signatory/Member of the following sustainable programs?**

No, we have no plans to become a signatory of any responsible investing initiatives in the near future

**4. Firm-level Responsible Investment Policy: Our firm has a clear responsible investment policy set out to govern our organization's stewardship policy [iv]:**

None of the above elements are captured in our stewardship policy

**5. What percentage of your assets under management does your stewardship policy cover? AUM coverage:****(A) Listed equity**

0

**(B) Fixed income**

0

**(C) Private equity**

0

**(D) Real estate**

0

**(E) Infrastructure**

0

**(F) Hedge funds**

0

**6. Firm-level Responsible Investment Policy Disclosure [iv]: Indicate which of your responsible investment policy elements are publicly available and provide links:**

Our responsible investment policy elements are not publicly available

**7. Governance Oversight [iv]: Who, in your organization's board, chief-level staff, investment committee, and/or head of a department have formal oversight and accountability for responsible investment?**

None of the above roles have oversight and accountability for responsible investment

**8. Governance Implementation [iv]: In your organization, which internal or external roles have responsibility for implementing responsible investment?**

We do not have roles with responsibility for implementing responsible investment

**9. Corporate Risk Management: Please select all statements that apply to your firm:**

The annual bonus, both for investment and non-investment staff, is based partly on meeting investors' needs. Factors such as defending investors' interests, refraining from taking risks that are out of line with target investors' profiles, product innovation to meet investors' unmet needs, and other actions aligned with investors weight 30% or more in determining bonuses

The annual bonus may be clawed back if a staff member has acted out of alignment with investors' interests during any year. Examples include, but are not limited to, taking risks exceeding target investors' risk profile, trading for personal benefit over investors', making representations to distributors/investors/the public/regulators/other parties that obscure the actual situation of a fund or the firm, among other possible infringements of fiduciary or moral responsibility to investors

An independent director leads our compensation committee to ensure objectivity and fairness for employees at all levels

We have clear, unambiguous procedures AND protections for whistleblowing

**10. Corporate Citizenship: Please select all statements that apply to your firm:**

Our firm participates in or organizes investor education (or financial literacy) events/resources for children, youth, and/or women at least two times a year -- WITHOUT presenting our products and services.

**11. Transparency about material redemptions[i]: This question relates to your firm's duty of care toward intermediaries and, ultimately, end investors. When a fund experiences material redemptions, when does your firm inform investors and/or intermediaries[ii]?**

We do not inform investors/intermediaries

**12. Transparency about key man events: When the key manager/s responsible for a Fund have resigned, are retiring, will be transferred to a different responsibility, are indisposed, seriously ill, going on maternity leave, or are otherwise incapacitated, when do you inform investors[ii]?**

We do not inform investors/intermediaries

**13. Skin in the game: Does your firm have a policy requiring the key portfolio managers to invest their personal wealth into the funds they manage, as external investors, with no special concessions on the SAME terms?**

No, and we have no plans to have such a policy

**14. AUM change, 3Y: How has your firm's total assets under management (AUM)[iii] changed in the last 3 years?**

Increased 25-30%

**15. Distribution channel mix: This question applies to ALL of your firm's COMINGLED fund products distributed in Asia ex-Japan, including funds not participating in this exercise; please exclude segregated mandates. What channels are the products distributed through currently?**

Private banks

Retail banks

Financial advisors

Online platforms (traditional, not artificial intelligence advisors)

Funds of funds

Direct distribution to institutional asset owners (family offices, pension funds, insurance companies' general assets, corporates, sovereign wealth funds, official institutions, foundations, endowments, and other institutions). Please note this relates to comingled funds, NOT segregated mandates.

**16. Distribution channel growth, 3Y: This question relates to ALL your firm's commingled funds distributed in Asia ex-Japan, including funds not participating in this exercise; please exclude segregated mandates. How many new distribution channels were gained or lost in the last 3 years?**

Gained more than 10 distribution channels

**17. Compliance: Has your firm, or its officers, breached any regulatory, legal or other compliance thresholds in the last 5 years?**

No, we have not made any breaches