

參賽編號

F07002

區域

台灣

類別

支柱能力 5：企業實力

公司名稱

BNP PARIBAS ASSET MANAGEMENT

支柱能力 5：企業責任與實力

1. 公司層對於積極參與/盡職治理的承諾。請選擇描述您的管理方法的陳述[i]

*我們有一個清晰、明確、公開可用的政策/框架來負責任地投資我們所有的策略，包括非 ESG、非 SRI 策略 (We have a clearly articulated, explicit, publicly available policy/framework on investing responsibly across ALL our strategies, including non-ESG, non-SRI strategies)

2. 貴公司目前使用哪個ESG框架作為基準和/或報告？

- *全球報告倡議組織 (The Global Reporting Initiative (GRI))
- *國際整合性報導委員會 (International Integrated Reporting Council (IIRC))
- *氣候相關財務信息披露工作組 (The Task Force on Climate-Related Financial Disclosures (TCFD))
- *歐洲永續財務披露規範 (EU Sustainable Finance Disclosure Regulation (SFDR))
- *我們當地監管機構的指導方針 (My local regulators' guideline)

如有附加說明，限250字以內

At BNP Paribas Asset Management we have committed to putting sustainability at the heart of our strategy, integrating sustainable investment practices across the full range of our investment strategies (i.e. all applicable funds integrate ESG criteria in their investment process). We commit to being a 'future maker', using our investments, our voice and our leverage to shape a better future. We believe this is in the financial interest of our clients and of the economy at large.

Our Global Sustainability Strategy lays out details about our philosophy as sustainable investors and provides the investing public with a comprehensive overview on BNP Paribas AM'a approach.

3. 貴公司是以下永續計劃的簽署人/會員嗎？

是的 (Yes)

已選：是的 - 請選擇有關永續計劃

- *聯合國責任投資原則 (Principle Responsible Investment (PRI))
- *碳排放披露計劃 (Carbon Disclosure Project (CDP))
- *聯合國環境金融倡議 (United Nations Environment Programme Finance Initiative (UNEP FI))
- *氣候相關財務披露工作組 (Task Force on Climate-Related Financial Disclosures (TCFD))
- *永續會計準則委員會 (Sustainability Accounting Standards Board (SASB))

4.

公司層面的負責任投資政策：我們製定了明確的負責任投資政策來管理我們組織的盡職治理政策

- *關鍵盡職治理目標 (Key stewardship objectives)
- *ESG 因素及其參與的問題和目標的優先排序 (Prioritization approach of ESG factors and their link to engagement issues and targets)
- *基於組織 (例如，公司或政府) 的優先排序方法 (Prioritization approach depending on entity (e.g., company or government))
- *應對氣候相關風險和機遇的具體方法 (A specific approach to climate-related risks and opportunities)
- *整個組織的盡職治理工具使用情況，包括超出範圍的工具以及不同工具的使用時間和使用方式以及由誰使用 (例如，專家團隊、投資團隊、服務提供商、外部投資經理或類似人員) (Stewardship tool usage across the organization, including tools that are out of scope and when and how different tools are used and by whom (e.g., specialist teams, investment teams, service providers, external investment managers, or similar))
- *特定內部團隊 (例如，專家團隊、投資團隊或類似團隊) 的盡職治理工具使用 (Stewardship tool usage for specific internal teams (e.g., specialist teams, investment teams, or similar))
- *特定外部團隊 (例如，服務提供商、外部投資經理或類似人員) 的盡職治理工具使用 (Stewardship tool usage for specific external teams (e.g., service providers, external investment managers, or similar))
- *盡職治理合作的方法 (Approach to collaboration on stewardship)
- *關於如何實施盡職治理政策以及哪些要素是強制性的，包括如何以及何時可以否決該政策的詳細信息 (Details on how the stewardship policy is implemented and which elements are mandatory, including how and when the policy can be overruled)
- *如何在整個組織內傳達盡職治理工作和結果以為投資決策提供依據，反之亦然 (How stewardship efforts and results should be communicated across the organization to feed into

5. 貴公司的盡職治理政策覆蓋了管理資產的多少百分比? 資產管理規範覆蓋：

(A) 上市股票

100

(B) 固定收益

100

如有附加說明，限250字以內

- The overall approach to responsible investment <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Guidelines on environmental factors <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Guidelines on social factors <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Guidelines on governance factors <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Approach to stewardship <https://docfinder.bnpparibas-am.com/api/files/0E8C8C9C-0FC2-40FD-AC19-D00A5B235635>
- Approach to sustainability outcomes <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Approach to exclusions <https://docfinder.bnpparibas-am.com/api/files/D8E2B165-C94F-413E-BE2E-154B83BD4E9B>
- Asset class-specific guidelines that describe how ESG incorporation is implemented <https://docfinder.bnpparibas-am.com/api/files/517E383E-5094-4908-A7CB-A0C0795C0288>
- Definition of responsible investment and how it relates to our fiduciary duty <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Definition of responsible investment and how it relates to our investment objectives <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Responsible investment governance structure <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- Internal reporting and verification related to responsible investment <https://docfinder.bnpparibas-am.com/api/files/2818EAAE-D3CF-4482-A3BA-A2EA898AFD0D>
- External reporting related to responsible investment <https://docfinder.bnpparibas-am.com/api/files/FEC0CC08-87F2-4217-8804-0F9D171EFDC9>
- Managing conflicts of interest related to responsible investment <https://docfinder.bnpparibas-am.com/api/files/032ABDF8-873A-453D-9D91-22B2D35C99CB>

7. 治理監督

[iv]：在貴公司的董事會、首席級長官、投資委員會和/或部門負責人中，誰對負責任投資進行正式監督和問責？

*首席級長官 (Chief-level staff (e.g., Chief Executive Officer (CEO), Chief Investment Officer (CIO), or Chief Operating Officer (COO)))

8. 公司治理實施 [iv]：在貴公司中，哪些內部或外部角色負責實施負責任投資？

*董事會/或受託人 (Board and/or trustees)

*首席級長官 (Chief-level staff (e.g., Chief Executive Officer (CEO), Chief Investment Officer (CIO), or Chief Operating Officer (COO)))

*投資委員會 (Investment committee)

*其他首席級長官 (Other chief-level staff)

*部門主管 (Head of a department)

*投資組合經理 (Portfolio managers)

*投資分析師 (Investment analysts)

*專門負責的投資人員 (Dedicated responsible investment staff)

*投資者關係 (Investor relations)

9. 企業風險管理：請選擇對於貴公司所有適用的選項

- *我們的首席執行官、國家/地區負責人或同等職位至少每月審查一次客戶投訴 (Our CEO, country/regional head, or equivalent reviews client complaints at least once a month)
- *我們對舉報程序有清晰明確的保護措施 (We have clear, unambiguous procedures AND protections for whistleblowing)
- *我們的董事會成員包括首席合規官 (他不同時兼任首席執行官、董事長或其他已在董事會成員的角色) (Members of our board of directors include the Chief Compliance Officer (who is NOT also concurrently playing the role/s of CEO, Chairman, or another individual who is already on the board))
- *我們的董事會成員包括我們的首席風險官 (他不同時兼任 CEO、董事長或其他已在董事會成員的角色) (Members of our board of directors include our Chief Risk Officer (who is NOT also concurrently playing the role/s of CEO, Chairman, or another individual who is already on the board))
- *我們的首席合規官或同等職位直接向董事會報告，而不是向首席執行官、首席運營官或其他職能部門報告。(Our Chief Compliance Officer, or equivalent, reports directly to the board of directors, not to the CEO, COO, or other function.)

10. 企業公民：請選擇所有適用於貴公司的選項：

- *我們公司每年至少參加或組織兩次面向兒童、青年和/或婦女的投資者教育 (或金融知識) 活動/資源——但不展示推銷我們的產品和服務 (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)
- *我們公司有匹配計劃，幫助員工給各種預先批准的慈善活動捐贈 (Our company has a matching program for staff's donations to various pre-approved philanthropic efforts)
- *我們的員工每年有四天或更長時間的帶薪假期從事志願工作。(Our employees have four or more paid days off to do volunteer work each year)

11. 重大贖回的透明度[i]：這個問題與貴公司對中介機構以及最終投資者的義務有關。

當基金經歷重大贖回時，貴公司何時通知投資者和/或中介機構[ii]？

如果您沒有政策，請僅選擇一個反映您的政策或披露規範的答案：

我們會在3-5個工作日內通知投資者/中介機構 (We inform investors/intermediaries within 3 - 5 business days)

12.

關鍵人物事件的透明度：當負責基金的關鍵管理人辭職、退休、將被轉移到不同的職責、身體不適、重病、休產假或因其他原因喪失行為能力時，什麼時候你會通知投資者[ii]？

如果沒有相關政策，請僅選擇一個反映您的政策或披露規範的答案：

我們會在3-5個工作日內通知投資者/中介機構 (We inform investors/intermediaries within 3 - 5 business days)

13.

風險共擔：貴公司是否有政策要求投資組合經理以外部投資者的身份將個人財富投資到他們管理的基金中，在相同條款下沒有特別優惠？

不，我們不計劃有這樣的政策 (No, and we have no plans to have such a policy)

14. 資產管理規模變化 (3年) : 在過去3年中, 貴公司管理的總資產 (AUM) [iii]有何變化?
增加16-20% (Increased 16-20%)

15.

銷售通路: 此問題適用於貴公司在亞洲 (日本除外) 分銷的所有基金產品, 包括未參與本次競賽的基金; 請排除獨立委託。目前產品通過哪些通路渠道分銷?

*富裕銀行 (Priority/affluent banks)

*零售銀行 (Retail banks)

*保險公司 (通過保險公司的基金平台) (Insurers (via the insurer's fund platforms))

*財務顧問 (Financial advisors)

*線上平台 (傳統而非人工智能投顧) (Online platforms (traditional, not artificial intelligence advisors))

*基金中的基金 (Funds of funds)

16. 銷售通路增長 (3年) : 此問題涉及貴公司在亞洲 (日本除外) 分銷的所有混合基金, 包括未參與本次競賽的基金; 請排除獨立委託。在過去 3 年中, 貴公司開展了多少新的銷售通路或失去了多少銷售通路?

獲得1-3個新的銷售通路 (Gained 1-3 distribution channels)

17. 法令法規的遵循: 貴公司或貴公司高級別管理者在過去 5 年期間是否違反了任何監管、法律或其他法遵規定?

沒有, 我沒有任何違規 (No, we have not made any breaches) ☐