

**參賽編號**

F13018

**區域**

台灣

**類別**

日本股票

**公司名稱**

瀚亞投信

**旗艦基金名稱**

瀚亞投資- 日本動力股票基金

**旗艦基金 ISIN 代碼**

LU1118698981

**資料截至季末日**

30/09/2021

**基金總規模 (包括所有股份類別)**

11.9億美元

**投資組合經理總數**

6

**分析師總數**

6

**支柱能力1：投資策略**

1.

投資風格一致性：何者在任何條件與狀況下，對維持投資風格一致性負有最終責任。請選擇最接近的選項：

本策略的首席投資組合經理 (The lead portfolio manager/s of this strategy)

2.

投資風格一致性：若投資風格偏離，對於要負起確保風格一致的最終負責人而言，是否需承擔實質負面後果？

不，沒有實質性後果 (No, there are no material consequences)

如有附加說明，限250字以內

Eastspring's risk management framework embeds the principles of clear delineation of responsibility and functional independence, whilst supporting collaboration, communication and common standards. Primary responsibility for risk management rests with portfolio managers, who manage risk on a day-to-day basis.

AM Risk is responsible for risk governance and for independently assessing investment risk and measuring investment performance, as well as for monitoring operational risk.

The execution of investment risk control is delegated to the Eastspring Investment Control team, which monitors pre-trade and post-trade risk daily.

### 3. 投資流程：投資過程是否包括以下任何一項。請選擇所有最適用的答案：

\*我們有清晰一致的投資流程 (We have a clear and consistent investment process)

\*根據目標投資者的需求對投資領域進行初步篩選 (The initial screening of the investment universe account for target investors' needs)

\*我們的想法是自下而上的，例如深入研究潛在被投資公司的商業模式、護城河、未來現金流等 (We generate ideas from the bottom up, e.g., drilling down into a potential investee's business model, moat, future cash flow, etc.)

### 4. 您是否將ESG 視作投資/撤資的重要影響？

目前尚未考慮 ESG 對投資組合的影響，我們也沒有計劃將其考慮在內 (ESG effects on the portfolio are NOT currently considered, and we have NO plans to take them into account)

### 5. ESG 納入投資流程 [v]：ESG 信息是否應用於投資產品的投資流程或盡職治理活動？

是 (Yes)

#### 已選：是

\*投資產品的合規性介紹了包括對投資過程或盡職治理活動中使用的 ESG 信息來源和類型的描述 (The investment product's compliant presentation includes a description of the sources and types of ESG information used in the investment process or stewardship activities)

\*作為投資經理，我們努力評估所使用的ESG資訊的可靠性，包括以下內容: (As investment managers, we allocate efforts to evaluate the reliability of the ESG information used, including the following:)

#### 已選：作為投資經理，我們努力評估所使用的ESG資訊的可靠性，包括以下內容:

\*評估數據的準確性和完整性，以確定哪些來源和類型的 ESG信息該應用在投資流程中 (evaluation of the accuracy or completeness of a dataset when determining the sources and types of ESG information that will be used in the investment process)

### 6. 在確定 ESG 因素[v] [vi]

的重要性時，該策略是否考慮了以下因素：（匹配CFA的ESG披露要求和建議）

\*ESG因素影響的是某一家公司，而不是整個市場 (ESG factors affect a specific company and not the market as a whole)

\*影響整個行業或地區的風險，包括公司所涉及的業務活動和/或其採購或銷售的市場相關的監管和技術變化 (Sector/geographic risk affecting an entire industry or region, including regulatory and technological changes associated with the business activity the company is involved in and/or to the markets it sources or sells to)

**7. 對資本/資產市場結構性變化的反應：該投資策略如何為投資者的利益應對這些變化？  
請選擇一個適用的答案：**

我們注意到結構性變化，我們承認公司的投資策略需要做一些調整；但是，我們不打算採取任何行動。(We are aware of the structural changes, and we acknowledge that our investment strategy needs to make some adjustments; however, we do not intend to take any action)

**8. 實例說明：請提供一個實際的例子來說明您如何執行下列選項之一，**

應對資本或資產市場的結構性變化，提高投資人的風險報酬 (Responded to structural changes in the capital or asset markets to improve risk/returns to investors)