

#### 支柱能力4：盡職治理

##### 1. 盡職治理行為：已代表投資者開展了盡職治理的行為 [iv]，這些行為包括：

- \*參加股東大會 (Participation in a shareholder meeting)
- \*對管理層或股東決議投票，投棄權票或拒絕投票 (Casting, abstaining, or withholding a vote on a management or shareholder resolution, on management or shareholder resolution)
- \*提交股東決議 (Filing a shareholder resolution)
- \*與被投資公司的業務關係的開始、延續、修改或終止 (Commencement, continuation, modification, or discontinuation of an engagement with an investee company)
- \*履行契約 (Enforcement of covenants)
- \*倡導強有力的環境、社會或治理實踐 (Advocating for strong environmental, social, or governance practices)
- \*對影響或可能影響投資產品的公共政策或建議，表明立場支持或反對 (Stating a position or advocating for or against public policies or proposals that affect, or may affect, the investment product)

##### 2. 盡職治理範圍 – 監督：我們對被投資對象/潛在被投資對象的監督範圍包括以下內容：

- \*關於環境重大問題 (On material[iii] environmental issues)
- \*關於碳足跡和氣候風險披露 (On carbon footprint and exposures to climate risk)
- \*關於社會重大問題 (On material[iii] social issues)
- \*關於治理重大問題 (On material[iii] governance issues)
- \*關於企業文化和薪酬 (On corporate culture and remuneration)
- \*關於資本結構 (On capital structure)
- \*關於戰略 (On strategy)
- \*整體重大風險 (On overall material risks)
- \*關於透明度 (On transparency)

##### 3. 盡職治理團隊：設立了一個專門的盡職治理團隊 [iv]

- \*所有書面溝通和會議記錄，包括審計參與的目標結果，都記錄在盡職管理系統中 (All written communications and meeting records, including targeted outcomes of the engagement, are logged in the stewardship management system)
- \*參與旨在改善公司的環境和社會資源管理，並降低與環境和社會實踐活動相關的風險 (Engagement is undertaken with the intent to improve a company's environmental and social resource management and to reduce risks related to environmental and social practices or activities)
- \*參與活動包括面對面和虛擬會議、書面信函和電子郵件 (Engagement activities include in-person and virtual meetings, written correspondence, and emails)
- \*參與活動可與公司董事會、執行管理層或投資者關係進行，可以獨立進行，也可以通過基金的代理投票和參與服務提供商與其他投資者合作進行 (Engagement may occur with a company's board of directors, executive management, or investor relations and may be conducted independently or in collaboration with other investors through the fund's proxy voting and engagement service provider)
- \*基金的管理團隊每季度根據目標結果審查每項參與工作的進展，並根據需要確定後續步驟 (The Fund's Stewardship Team reviews progress toward each engagement effort quarterly against the targeted outcomes and determines next steps as needed)

##### 4. 代理投票：在產品層面，我們有透明的代理投票[iv]政策，這是該特定投資策略所獨有的

是 (Yes)

**已選：是.1**

\*我們披露投資組合經理對投資產品進行代理投票，而被投資方的參與則在組織層面處理 (We disclose that the portfolio managers undertake proxy voting for the investment product while investee engagements are handled at the organizational level)

\*公司的代理投票委員會完全自主決定投票決議 (The firm's Proxy Voting Committee purely determines voting decisions)

\*公司的代理投票委員會結合策略團隊和第三方代理顧問的意見來決定投票決議 (The firm's Proxy Voting Committee determines voting decisions in conjunction with input from the strategy teams and a third-party proxy advisor)

\*所有代理投票都記錄並存儲在我們的內部代理投票和參與系統中 (All proxy votes are recorded and stored in our internal proxy voting and engagement system)

\*在投票反對管理層時，通常會根據以下問題確定優先級： (When voting against management, the following issues are typically prioritized based on:)

\*我們可能會在某個問題上投票反對管理層，並且當代理投票委員會在某個問題上投票反對管理層時： (We may vote against management on an issue, and when the Proxy Voting Committee has voted against management on an issue:)

**已選：在投票反對管理層時，通常會根據以下問題確定優先級：**

\*對公司財務表現的潛在影響 (Their potential to affect a company's financial performance)

\*董事會獨立性 (Board independence)

\*鬭責 (Accountability)

\*股東權利 (Shareholder rights)

\*透明度 (Transparency)

\*ESG報告 (ESG reporting)

\*工作場所健康和安全性問題 (Workplace health and safety issues)

\*可能增加監管罰款或風險的環境資源管理問題 (Environmental resource management issues that may increase the likelihood of regulatory fines or risks)

**已選：我們可能會在某個問題上投票反對管理層，並且當代理投票委員會在某個問題上投票反對管理層時：**

- \*參與團隊發起參與工作，與管理層討論具體的問題 (The engagement team initiates an engagement effort to discuss our specific concerns with management )
- \*我們與公司合作以鼓勵最佳治理實踐，包括那些與重大 ESG 信息報告相關的治理實踐 (We engage with companies to encourage best governance practices, including those related to reporting on material ESG information)
- \*我們會啟動參與工作，並在我們的代理投票和參與系統中創建文件，其中包括公司名稱、確定的具體問題、目標結果和初始書面溝通的副本 (An engagement effort will be initiated, and a file is created in our proxy voting and engagement system that includes the company name, the specific issue identified, the targeted outcome, and a copy of the initial written communication)
- \*根據建議的跟進時間設置自動提醒，用定期於審查每一個參與工作 (An automatic alert for review of each individual engagement effort is put in place based on the recommended follow-up time frame)
- \*參與團隊持續跟踪和審查參與工作和進展 (Engagement efforts and progress are tracked and reviewed on an ongoing basis by the engagement team)
- \*我們的參與政策，建議持續進行參與 (Continued engagement efforts are recommended per our engagement policy)
- \*與公司管理層的任何會議記錄或所有書面溝通摘要都記錄並保存在中央內部數據庫中 (All written communications and summaries of any meetings with company management are documented and maintained in the centralized internal database)
- \*參與團隊每季度向投資組合經理提供更新，並根據需要與他們會面 (The engagement team provides quarterly updates to portfolio managers and meets with them as needed)

#### 5. 投票披露：請選擇描述貴公司與投票相關的行為說明，可選擇多個適用項

- \*所有投資者（從散戶到機構資產所有者）都可以獲得我們關於投票的信息，他們無需提出要求，即可在我們的網站或其他線上電子位置紀錄查閱。(Our disclosure on voting is available to ALL investors, from retail to institutional asset owners, without them having to make a request, i.e., the disclosure is on our website or another electronically accessible venue)
- \*我們的投票僅對機構投資資產所有者，包括家族辦公室開放。他們無需提出要求，即他們可以通過電子方式訪問披露 (Our disclosure on voting is available ONLY to institutional asset owners, including family offices, without them having to make a request, i.e., the disclosure is electronically accessible to them )
- \*在我們的披露中，我們以簡單易懂的語言解釋每一次投票背後的理由 (In our disclosures, we explain in plain, clear, unambiguous language the rationale behind every vote)

#### 6.

**參與頻率：在過去一年中，我們與被投資對象/潛在被投資對象就上述重大[ii]問題進行了接觸：請包括集體參與和單獨進行的參與。**

平均每季一次 (Once a quarter on average)

#### 7. 參與披露：您是否向投資人披露了您的主要參與活動及其結果？

是的，我們在網站上向投資人披露了這些資訊 (Yes, we disclose on our website, which is accessible to investors)

如有附加說明，限250字以內

其他揭露

Yes, we disclose in a separate report devoted to stewardship (electronic or printed)

是的，我們在關於盡職管理的專門報告中披露(電子方式或印刷品)

Yes, we disclose as part of scheduled reporting, such as factsheets and annual reports, etc

是的，我們將披露作為定期報告的一部分，如資料摘要和年度報告等

**請以500字內簡要描述主要挑戰、採取的操作、結果和吸取的經驗：**

例子：

安聯主題趨勢策略2019年年底將中國影響力主題移除投組之外，主要因當時中國基礎建設與原物料商品需求相對走弱，且ESG相關概念不符合投資團隊引入投組的交易原則，是故引入了教育與未來能源兩項主題；

該兩項主題是在主題股票團隊結合全球經理人與分析師的投資意見與看法後討論歸納而產生的投資決策，並具備量化與質化的主題與個股篩選流程，符合安聯環球投資對於被投資企業的盡職治理與ESG相關的評級，主題趨勢團隊並藉由長線人類消費趨勢與氣候變遷等相關議題，持續發掘高品質與有資本潛力的主題股票，取代傳統以產業或國家為配置重心的環球股票策略。

在亞洲部分，主題趨勢團隊則戮力於亞洲的主題股票投資發展研究，正積極研究與操作亞洲版的主題趨勢相關投資策略與基金，並期待能藉由ESG與綠色環保意識的長線題材，找到中國與亞洲相對具投資潛力的多元主題與股票，建立更深的社會責任參與，如代理投票與氣候變遷倡議等機會。