

Mistra annual ESG questionnaire

To facilitate Mistra's internal learning and engagement, and to make the dialogue with our asset managers more structured and transparent, we would like to ask you to answer the questions below. Your answers and the following dialogue will form the basis for reporting to the Mistra Asset Management Committee and support further development of our asset management. No fund specific information will be published or distributed externally without your agreement.

All answers should refer to the period 1 January – 31 December 2018 or to the situation on 31 December 2018. If answers are available in reports or other documents you are welcome to refer to these in your answers.

This template is generic and sent to all our asset managers. If a question is not relevant for you, please just indicate this, and why, in your answers. Please send your answers to Åsa Moberg at Mistra (asa.moberg@mistra.org) by **April 5th 2019**. Your answers will then be further elaborated during a meeting in April/May. Mistra and the Mistra Asset Management Committee greatly appreciate your contribution to this process.

Questions

We are interested in answers for **the specific fund that Mistra is investing in**. If you manage more than one fund for Mistra, please make clear when answers apply to a specific fund. In addition, you are welcome to provide answers related to your overall organisation. If you do, please make sure that it is clear which answer relates to the specific fund and which not.

Changes and Development

1. Please describe any **changes** to your investment strategy or process, degree of impact investing, how you identify transformative changes in investment objects, source of investment research or data, scenario analysis, road maps, internal competence, internal structure, time perspective, governance, incentives, etc, or changes to team members.
2. Do you use the TCFD recommendations? How?

Re-active and Pro-active Engagement

3. How have you engaged in issues related to companies' visions and efforts to deliver products and services promoting sustainable development; reporting of operations related to the UN 17 Sustainable Development Goals and of positive as well as negative environmental and social impacts; efforts to operate in accordance with the Paris Agreement (all issues related to the Mistra Investment policy appendix 1) during the period? Please present examples and impact.
4. Have you had any ESG incidents during the period? How have you handled these?
5. How have you used voting during the period? Please present some examples and impact.

Other

6. Other issues 2018 – please present any other issues you would like to highlight.
7. 2019 focus – what upcoming issues or activities do you foresee during the coming year?