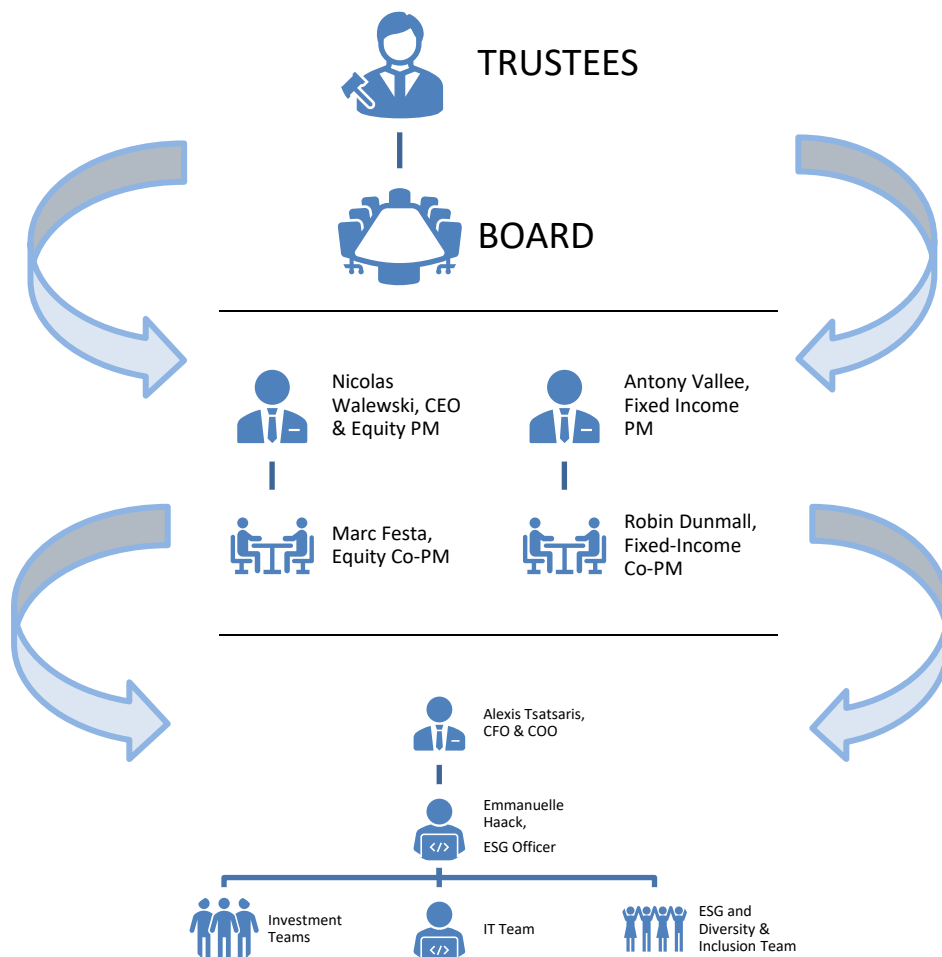




ALKEN

ESG ORGANISATIONAL AND RESPONSIBILITIES MAP

Alken Fund



ALKEN ASSET MANAGEMENT

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www.alken-am.com

Alken Asset Management Ltd (09071203) is authorised and regulated by the Financial Conduct Authority (FRN 629630)



WHO DECIDES AND IMPLEMENTS?

NAME	JOB TITLE	ESG FUNCTION
Nicolas Walewski	CEO and Equity PM	Decision makers for Equity ESG implementation
Marc Festa	Equity Co-PM	
Antony Vallee	Fixed Income PM	Decision makers for FI ESG implementation
Robin Dunmall	Fixed Income Co-PM	
Alexis Tsatsaris	CFO and COO	Oversight of overall ESG implementation
Emmanuelle Haack	ESG Officer	Piloting ESG strategy and implementation of new processes across the firm. VETO right if ESG concerns.
Falastin Ali	ESG Research Analyst	Supports ESG analysis, reviews of ESG material issues, and ad hoc ESG research needed.
Randall Tarindus	ESG Research Analyst	Supports ESG analysis, reviews of ESG material issues, and ad hoc ESG research needed.
Investment Teams	Equity and FI analysts	Evaluate companies' ESG practices
IT Team	IT analysts	Help build our internal ESG platforms, building alerts' systems and ESG monitoring
Intern(s) and other staff member(s)	Different roles	Help making sur our ESG processes are strong and resilient

WHO HAS OVERSIGHT?

- ❖ The **Board & Trustees**
- ❖ C-Levels
- ❖ Investment Committees
- ❖ Chief Risk Officer & Chief Compliance Officer
- ❖ Head of Sales & Marketing

WHEN? We have at our disposal a number of possible meetings available:

- ❖ We may hold a **weekly ESG investment meeting** to discuss progress, advancements, and on-going difficulties.
- ❖ We may hold a **weekly ESG IT development** meeting to discuss on-going and future IT developments on ESG.
- ❖ We may hold a **quarterly ESG Committee** with the management to discuss achievements and future developments.
- ❖ We may hold a **quarterly ESG investment committee** to discuss compliance with ESG rules.
- ❖ We may hold an **annual ESG meeting** with the entire firm to highlight main developments and develop future objectives.
- ❖ We may hold an **annual ESG Committee** to discuss overall directions, budget, staff, trainings, ESG objectives.
- ❖ We may hold an **annual compliance & ESG meeting** with the board members whereby we discuss ESG objectives, including climate-related strategy, for the year to come.

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HOW? Which external tools do we use? Which trainings are being provided?

EXTERNAL TOOLS

- ❖ We use a number of external data providers such as MSCI, CDP, SBTi but also Bloomberg, SASB or GRI.
- ❖ These platforms allow us to systematically apply a number of filters to our universes in order to identify companies "eligible" for investment, but also to identify the potential ESG "strengths" of certain issuers, and the gaps or weaknesses to deepen others.
- ❖ Additionally, we use a lot of research insights provided by our ESG Research brokers.

TRAININGS

- ❖ **Regular presentations/trainings** are held on our latest ESG developments. Note presentations/trainings are usually shown in groups: management team/ operations' team etc. Trainings provided to the team or via our online Thomson Reuters online training platform.
- ❖ A **dedicated internal ESG quiz** is also prepared by the ESG officer and sent to all staff members in order to evaluate the team's knowledge from time to time. A rate is being assigned to each team member. A thorough post-quiz review is being sent to recap the most seen mistakes and make sure everyone is clear about the key ESG knowledge required.
- ❖ **Weekly ad hoc "catch-up"** are also performed on different ESG workstreams: weekly discussion on our ESG developments/ weekly discussion on our ESG integration analysis - review of our "Red stocks" and "controversial stocks".
- ❖ Finally, a **number of alerts** were put in place to ensure the different thresholds and reminders are being sent and directed to the right person to action things (alerts on any new controversy related to our portfolios/ alerts on adding any new "red stock" to our portfolio/ alerts on any missing ESG data provider report/ alerts on UNGC failures). The idea is that over time and as things become more complex, nobody can "forget" about our ESG process.

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