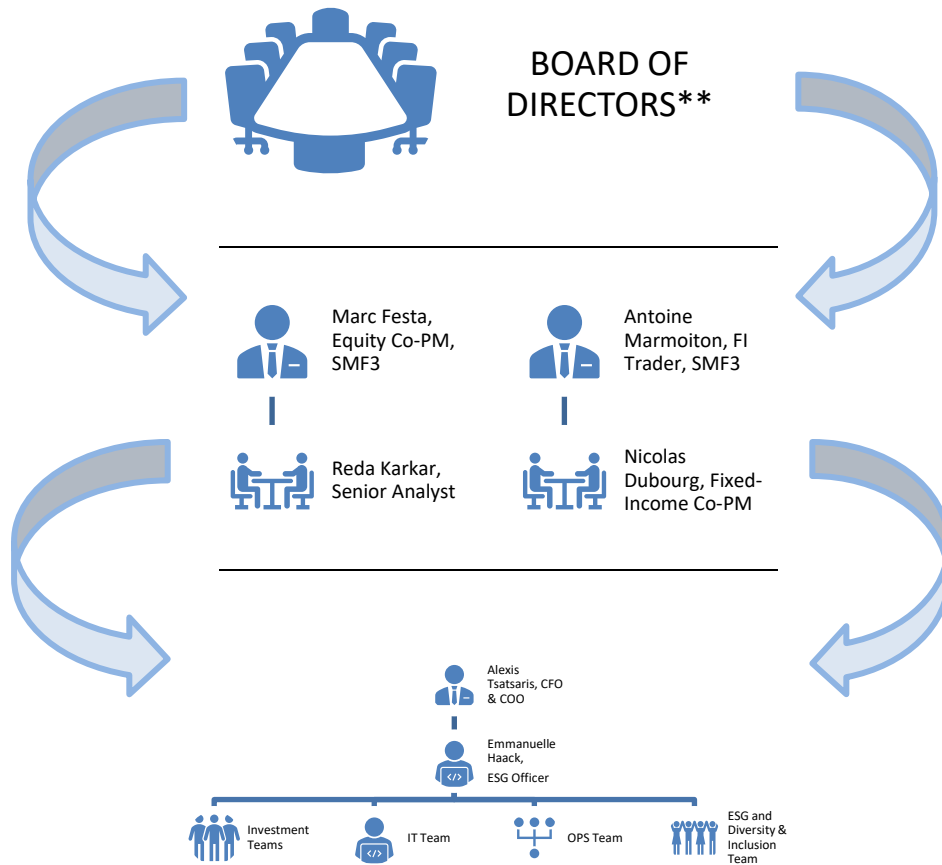




ESG ORGANISATIONAL AND RESPONSIBILITIES MAP*

Valid from: April 1st, 2025 – Q2



*Alken Asset Management operates as the delegated Investment Manager for the Management Company, AFFM, in order to manage the Alken sub-funds.

** In this indicator and as per the UNPRI definition, senior-level bodies and roles with 'formal oversight of and accountability for responsible investment' refer to those bodies and roles with management and governance responsibility for ensuring that the organisation implements its policies and achieves its objectives in relation to responsible investment. This may include the board, trustees, senior executive-level staff, investment committees, heads of department and equivalent.

ALKEN ASSET MANAGEMENT

25 Savile Row Road, London, W1S 2ER, United Kingdom Tel +44 (0)20 7440 1900 Fax +44 (0)20 7440 1901
www.alken-am.com



WHO DECIDES AND IMPLEMENTS?

NAME	JOB TITLE	ESG ROLE
Marc Festa	Equity Co-PM, SMF3	Ultimate decision makers for Equity & FI ESG implementation
Antoine Marmoiton	FI Trader, SMF3	
Reda Karkar	Senior analyst	Investment Team Advisers for on-going ESG implementation and questions
Nicolas Dubourg	FI Co-PM	
Alexis Tsatsaris	CFO and COO	Compliance & risk 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. In charge of ESG engagements.
Renata Vacarciuc	ESG Research Support Analyst	Supports ESG analysis & controversies, reviews of ESG material issues, and ad hoc ESG research needed.
Alken ESG Intern, if any	ESG Research Support Analyst	Supports ESG analysis, reviews of ESG material issues, and ad hoc ESG research needed.
Investment Analysts	Equity and FI analysts	Evaluate companies' ESG practices according to their own methodology.
IT Team	Two IT analysts	Help build our internal ESG platforms, building alerts' systems and ESG automated monitoring
Other staff member(s)	Different roles including our Operational Manager	Help making sure our ESG processes are strong and resilient (i.e. exclusions' lists)

WHO HAS OVERSIGHT?

- ❖ The **Board of Directors**, comprised of five SMF3 members, as of April 1st 2025
- ❖ C-Levels
- ❖ Investment Committees
- ❖ Chief Risk Officer & Chief Compliance Officer

ALKEN ASSET MANAGEMENT

25 Savile Row Road, London, W1S 2ER, United Kingdom Tel +44 (0)20 7440 1900 Fax +44 (0)20 7440 1901
www.alken-am.com



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

- ❖ We present our latest ESG KPIs and review our ESG objectives during the [quarterly Board of the Alken Fund](#),
- ❖ We present the latest ESG updates during the [quarterly Compliance & Management Meeting](#),
- ❖ We publish an internal [quarterly ESG report](#), shared to the Board of the Alken Fund and approved by the Directors/ Portfolio Managers.
- ❖ We hold a [weekly Compliance, ESG, operational and IT meeting](#) to discuss progress, advancements, and on-going difficulties.
- ❖ We hold a number of ad hoc meetings with both the [IT Team](#) to discuss on-going and future developments, and with the [OPS Team](#) to operate regular checks on our ESG systems and controls,
- ❖ We hold an [annual ESG training meeting](#) with the entire firm to highlight main developments and develop future objectives.
- ❖ We organise an [annual ESG test](#) for all staff members to ensure equal understanding of our ESG processes across the firm.
- ❖ We hold at least an [annual ESG Committee](#) to discuss some investments, ESG reviews, ESG exits, overall directions, budget, staff, trainings, ESG objectives.

HOW? Which external tools? How to ensure daily compliance? Which trainings?

EXTERNAL TOOLS

- ❖ We use a number of [external data providers](#), our main one being MSCI but we may also use CDP, SBTi, Bloomberg, SASB or GRI. MSCI allows 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](#).
- ❖ We attend regular [events/podcasts on sustainable finance](#).

DAILY OVERSIGHT

- ❖ [Ad hoc "catch-up"](#) are performed on the different ESG workstreams: i.e. weekly discussion on our ESG developments/ weekly discussion on our ESG integration analysis.
- ❖ [Automated alerts from our ESG centralized platform](#) are in place to ensure the thresholds and reminders are sent and directed to the right individuals – i.e. 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.

TRAININGS

- ❖ [Regular presentations/updates](#) are held on our latest ESG developments.
- ❖ A [dedicated internal ESG quiz](#) is prepared by the ESG officer and sent to all staff members in order to evaluate the team's knowledge, from time to time. 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.

ALKEN ASSET MANAGEMENT

25 Savile Row Road, London, W1S 2ER, United Kingdom Tel +44 (0)20 7440 1900 Fax +44 (0)20 7440 1901
www.alken-am.com