

CRISA Statement

CRISA Statement

We incorporate sustainability considerations, including ESG, into our investment analysis and investment activities to deliver superior risk-adjusted returns to the ultimate beneficiaries

36ONE recognises that it is important for ESG considerations to form part of our investment analysis. We strive to achieve this by:

- Avoiding positions in companies that have poor governance
- Incorporating ESG factors into our investment activities: screening, fundamental analysis and portfolio management
- Integrating our responsible investment principles through our proxy voting process
- Engaging with management on issues such as black economic empowerment, executive compensation, worker safety, climate change and governance issues
- Initiating or supporting shareholder resolutions at annual shareholder meetings aimed at persuading companies to adopt higher standards of corporate responsibility
- Supporting public policy initiatives that promote greater corporate sustainability, transparency and accountability

We demonstrate our acceptance of ownership responsibilities through our responsible investing policies and practices

- We have developed a 36ONE Policy on Ownership Responsibilities document in line with global best practice
- Our policy includes guidelines specified by the King III Code of Governance, the United Nations Principles of Responsible Investment (UNPRI) and other ethical and conduct codes
- Our active ownership policy consists of constructive dialogue with companies and proxy voting
- The overriding objective in exercising our clients' proxy votes is to protect and enhance the value of their investments
- We keep records of our proxy voting record to ensure transparency for our clients on all voting matters

We promote acceptance and implementation of the principles of CRISA and other codes and standards applicable to institutional investors in the investment industry

- 36ONE is open to working with other industry participants to further promote CRISA, UNPRI principles and sound governance
- We support the various bodies and policy developments that promote sustainable and responsible investing
- As a UNPRI signatory, we are committed to engaging and encouraging management of companies to enhance their disclosures of ESG information

We recognise the circumstances and relationships that have the potential for conflicts of interest and we proactively manage these when they occur

- We consider circumstances and relationships that could potentially lead to a conflict of interest
- We take the necessary steps to prevent or manage all conflicts of interest

We are transparent about the content of our policies, how the policies are implemented and how CRISA is applied to enable our clients to make informed assessments

The following policies and documents are available at www.36one.co.za:

1. Policy on responsible investing
 2. Policy on ownership responsibilities
 3. Policy on climate change
 4. Policy on conflicts of interest
- 36ONE's voting recommendations on each relevant resolution, are published quarterly at www.36one.co.za.
 - We provide reporting to our clients (on request) regarding our responsible investment activities and examples of ESG engagements