

# Client Survey Template

# Responsible Investment Advice Integration



## Backdrop

The news and media are frequently monopolised by impacts of climate change, pollution of oceans, diversity and human rights issues to mention a few. The heightened societal awareness has caused many to 'want to do their bit' by making conscious behavioural changes. Careful use of resources, modes of transport, supply chain considerations, use of plastics and recycling are often part of daily routine choices. Environmental, Social and Governance (ESG) considerations are now becoming integrated into core investment decision making as well.

## ESG Policy Makers

Global and local policy makers have put ESG at the heart of their focus, including the United Nations Sustainable Development Goals (SDGs), the Paris Climate Agreement and the EU Sustainable Finance Disclosure Regulations (SFDR). The global aims include addressing issues from global warming, polluting oceans, diversity in workplace and labour standards.

The Financial Services Industry have also been set higher standards as 'part of the solution' to influence change and better practices using their engagement and voting powers as company shareholders. Wealth Managers and Institutional Investors are embedding ESG within their business models. This is also becoming a core part of the Retail Financial Advice Sector we operate within. As a consequence, Responsible Investment options are incorporated as part of our investment proposition options.

## Responsible Investing

New Sustainable investment options are becoming available that focus more on making a positive impact through the companies they invest in, rather than simply avoiding so called 'sin stocks', like tobacco, fossil fuel producers and weapons manufacturers. We are looking to build out our Responsible investment options to meet the sustainability preferences of our clients and are therefore reaching out with this survey.

## Your Sustainable investment preferences

Have your say to help us better understand your needs. Please complete the survey which should take no longer than 5 minutes. This confidential data will help us understand your views and factor that into our planning to expand our Responsible investment options.

**1. I have or intend to change some of my behaviours to positively support ESG considerations.**

**Examples could include:**

- Recycling more
- Limit single use plastic products
- Using an electric or hybrid vehicle
- Take steps to limit my carbon footprint
- Alter the goods and services I consume to have a positive environmental impact

**Please tick the box that most closely reflects your viewpoint**

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**2. I have given thought to how my investments could have an impact on building a more sustainable world for future generations?**

**Please tick box**

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**3. I am concerned about environmental issues such as climate change, our dependency upon fossil fuels, inequality in society, good governance of corporations and sustainability of our natural resources.**

**Please tick box**

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**4. I don't mind where I invest my pensions and savings but I want to find an asset manager(s) who engages as a shareholders to encourage better management of environmental, social and governance (ESG) issues.**

**Please tick box**

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**5. I would like to ensure that investment risks relating to poor management of Environmental, Social and/or Governance issues are considered by my asset manager(s).**

**Please tick box**

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**6. My main 'ethical' area of interest is people – both in the UK and overseas. Areas of concern include employment, health and the provision of necessary services.**

Please tick box

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**7. Investing in companies that are leaders in the management of longer-term sustainability related (eg environmental and social) issues – and understand the changing business landscape is important to me.**

Please tick box

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**8a. Have you strong views where you wish to exclude specific area(s) to invest in, even if this may have some negative impact on performance?**

Please tick box

Yes  No

**8b. If yes, please rank in order of priority – 1 highest priority to avoid to 6 lowest priority to avoid?**

- Fossil Fuels
- Weapons manufacturing
- Gambling
- Tobacco manufacturing
- Alcohol manufacturers
- Animal welfare

**9. I don't mind how my portfolio is invested. I seek the maximum returns on my investments at all times**

Please tick box

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**10. I want to invest in a way that makes a positive contribution to improving the planet and or environment. I understand I may have to accept a lower investment return.**

Please tick box

Strongly Agree  Agree  Neutral  Disagree  Strongly Disagree

**11. Looking at the overall investment options, what criteria is most important to me. Please rank in order of importance. Rank – 1 highest importance to 5 lowest importance**

- Investing with Environmental, Social and Governance issues in mind
- Investing in the shares of companies from many different countries
- Annual cost of investment
- Investing with an asset manager that actively manages the shares in my portfolio
- Track record of an asset manager

**12. Based on your answers to this questionnaire what percentage, if any, of your investments would you be comfortable with investing in ESG/Sustainable Investment solutions?**

Please tick box

Up to 25%     Up to 50%     Up to 75%     100%     None

**Thank you for your time in completing this survey.**

## Contact us

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