



## Understanding your values

Before providing you with comprehensive financial advice, your Financial Adviser will assess your capacity for loss, attitude to risk and financial objectives. Increasingly, financial advisers are looking to capture a client's desire to achieve more than financial return with their investment portfolios. This questionnaire is designed to guide the conversation in relation to your sustainability goals.



Source: LGT Vestra

According to a survey by Vontobel\*, in the UK, more than 60% of people are unaware that sustainable investment solutions are available. Many people have not yet made the connection between their efforts to recycle, interest in buying an electric car or being concerned about single use plastics and the fact that it is possible to invest in companies that are taking these issues seriously too.

This sustainable investing questionnaire is designed to help your Financial Adviser better understand your interest in the subject of sustainability with regard to the companies you invest in. The questionnaire consists of four multiple choice questions with the aim of determining your views and values in terms of allocation of capital, with a particular focus on long-term sustainability.

## Investments are a pivotal part of galvanizing change

The United Nation's 2030 Agenda for Sustainable Development provides a framework which outlines the challenges we face as a global community. Allocating capital to businesses that are making ambitious progress and looking to combat these broad range of issues plays a crucial role. The LGT Vestra Sustainable Model Portfolios aim to invest in funds with exposure to companies that have a strong focus on the environment, society and good governance, in alignment with the UN Sustainable Development Goals.



\*Act ESG: Closing the ESG knowledge gap (2019), Vontobel

IFA name

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Client name

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Date

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## Making your investments matter

Tackling the issues that our global community faces is one of the key responsibilities of all businesses, across all industries. Financial markets need to play an integral part in the global transition towards a more sustainable future for our society and the environment. Investors have a crucial role in this process through the allocation of their capital to businesses that are prioritising sustainability.

LGT Vestra is one of the leading providers of sustainable investment services. We have partnered with LGT Vestra to provide you, as one of our clients, with award-winning investment management services.

As your Financial Adviser, we strive to tailor our suggestions and advice to suit your individual financial needs and aspirations. We work hard to deliver a comprehensive service that fulfils your financial objectives. As you embark on your investment journey, we believe your values along with your financial needs, can be brought together as part of a tailored financial plan.

## Current awareness and engagement

- 1. In general, how would you characterise your interest in the topic of sustainability? (Tick the most applicable).**
- a. I have not engaged with the concept and know very little about this area.
  - b. I have started to think more about sustainable practices, such as recycling and single-use plastics.
  - c. I consider sustainable practices to some degree.
  - d. I incorporate sustainable behaviour into my daily life (e.g. actively purchase sustainable items).
  - e. I am completely engaged in sustainability; it is a core consideration in my daily life.

## Your investment priorities

**If you knew you could still potentially meet your current and future financial needs:**

- 2. Would you be interested in investing in companies focused on their internal, operational sustainability? For example, those recycling waste, sourcing raw materials sustainably, engaging with local communities. (Tick the most applicable).**
- a. I am not interested.
  - b. I am potentially interested.
  - c. I have some interest.
  - d. I am very interested.
  - e. I am extremely interested.
- 3. Would you be interested in investing in companies who are committed to helping solve global challenges such as education, climate change and wellbeing? (Tick the most applicable).**
- a. I am not interested.
  - b. I am potentially interested.
  - c. I have some interest.
  - d. I am very interested.
  - e. I am extremely interested.

*If you answered 'd' or 'e' to any of the questions above, you may wish to consider a sustainably-invested portfolio. You may wish to consider a sustainably-invested portfolio regardless of your answers above, so please discuss all of your options further and in detail with your Financial Adviser.*

*For the Financial Adviser: if you believe your client would benefit from learning more about an LGT Vestra sustainably-invested portfolio, please continue completing this questionnaire.*

Now that you have indicated that you have an interest in a sustainable portfolio, it is important that we understand your sustainable investing preferences. To do this, we want to understand three aspects as to how you would like your money to be invested:

- Which sectors and industries do you want to avoid investing in?
- How environmental, social and governance factors are important to you?
- Which areas of positive impact investing should be included in your portfolio?

### Part one

As part of a sustainable investing approach, our recommended LGT Vestra investment solution would exclude exposure to the following sectors:

- Controversial weapons
- Coal extraction and production
- Tobacco
- Alcohol

**Please let us know if there are any other specific industries that you would like excluded from your portfolio.**

### Part two

LGT Vestra's sustainable approach looks to integrate Environmental, Social and Governance (ESG) factors into the investment process. This ensures that an assessment is made, for each investment based on the following criteria:

- Environmental factors such as climate change, resource depletion, pollution, sustainable sourcing.
- Social factors such as human rights, diversity, labour conditions and product safety.
- Governance factors such as bribery, corruption, proportional executive pay.

In this way LGT Vestra looks to invest in businesses that are considering not just shareholders, but their stakeholders (including the environment around us, and society at large).

**Please let us know if you do not wish for this more focused ESG investment approach to apply to your portfolio.**

### Part three

LGT Vestra's sustainable investment approach is about capturing the most suitable opportunities for your investment portfolio. They look to do this by investing in solutions to some of the biggest challenges we face such as climate change, resource depletion and inequality of access to healthcare and education. These investment strategies look to generate positive social and environmental impact, alongside an attractive risk-adjusted investment return, suitable for your risk profile and capacity for loss and aligned to your financial plan.

LGT Vestra will target investment ideas and opportunities across four sustainable investment themes:

- Healthcare and societal wellbeing (e.g. healthcare facilities, diagnostics, social housing, provision of water),
- Financial inclusion and education (e.g. microfinance, educational platforms),
- Circular economy and resources (e.g. recycling infrastructure, sustainable agriculture, sustainable fabrics),
- Climate and environmental action (e.g. renewable energy, grid storage, energy efficiency).

Investing across all four of these pillars enables LGT Vestra to manage a series of diversified portfolios targeting strong and consistent investment returns for you, and which are aligned to your core values.

**Please let us know if you do not want to invest across these four investment pillars.**

*For the Financial Adviser: based on your client's response, an LGT Vestra sustainable model portfolio may be considered as a possible investment solution. If you determine a bespoke portfolio solution is more suitable, please contact us.*

This questionnaire has been produced for Financial Advisers of different firms to use in assessing the suitability of LGT Vestra Sustainable Model Portfolio Service for their private clients.

#### Important information

LGT Vestra LLP is authorised and regulated by the Financial Conduct Authority. Our regulation details are set out in the FCA register: Firm Reference No: 471048; [www.fca.org.uk/register](http://www.fca.org.uk/register). Registered in England and Wales: OC329392. Registered office: 14 Cornhill, London, EC3V 3NR.

Investors should be aware that past performance is not an indication of future performance, the value of investments and the income derived from them may fluctuate and you may not receive back the amount you originally invested.