



RI TRANSPARENCY REPORT 2018

Alberta Investment Management Corporation

OO 01.1	Select the services and funds you offer
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Fund management

	% of assets under management (AUM) in ranges
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- <10%
- 10-50%
- >50%

Fund of funds, manager of managers, sub-advised products

	% of assets under management (AUM) in ranges
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- <10%
- 10-50%
- >50%

Other, specify

OO 02.1	Select the location of your organisation's headquarters.
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Canada

OO 02.2	Indicate the number of countries in which you have offices (including your headquarters).
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- 1
- 2-5
- 6-10
- >10

OO 02.3	Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).
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398

OO 03.1	Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right.
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- Yes
- No

OO 04.1	Indicate the year end date for your reporting year.
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31/12/2017

OO 04.2	Indicate your total AUM at the end of your reporting year, Exclude subsidiaries you have chosen not to report on and any advisory/execution only assets.
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Total AUM
103,670,630,000 CAD
81,662,539,552 USD

OO 05.1	Provide an approximate percentage breakdown of your AUM at the end of your reporting year using the following asset classes:
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	Internally managed (%)	Externally managed (%)
Listed equity	10-50%	<10%
Fixed income	10-50%	<10%
Private equity	<10%	<10%
Property	10-50%	<10%
Infrastructure	<10%	<10%
Commodities	0	0
Hedge funds	0	<10%
Forestry	<10%	<10%
Farmland	0	0
Inclusive finance	0	0
Cash	<10%	0
Other (1), specify	0	0
Other (2), specify	0	0

OO 05.2	Indicate whether your organisation uses fiduciary managers.
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- Yes, we use a fiduciary manager and our response to OO 5.1 is reflective of their management of our assets.
- No, we do not use fiduciary managers.

OO 06	Mandatory	Descriptive	General
OO 06.1	Select how you would like to disclose your asset class mix.		
	<input type="radio"/> as percentage breakdown <input checked="" type="radio"/> as broad ranges		
OO 07	Mandatory to Report, Voluntary to Disclose	Gateway	General
OO 07.1	Provide to the nearest 5% the percentage breakdown of your Fixed Income AUM at the end of your reporting year, using the following categories.		
	Private		
OO 08	Mandatory to Report, Voluntary to Disclose	Peering	General
OO 08.1	Provide a breakdown of your organisation's externally managed assets between segregated mandates and pooled funds.		
	Private		
OO 08.2	Additional information. [Optional]		
	Private		
OO 09	Mandatory to Report, Voluntary to Disclose	Peering	General
OO 09.1	Indicate the breakdown of your organisation's AUM by market.		
	Private		
OO 09.2	Additional information. [Optional]		
	Private		
OO 10	Mandatory	Gateway	General
OO 10.1	Select the active ownership activities your organisation implemented in the reporting year.		
	Listed equity – engagement		
	<input checked="" type="checkbox"/> We engage with companies on ESG factors via our staff, collaborations or service providers. <input type="checkbox"/> We require our external managers to engage with companies on ESG factors on our behalf. <input type="checkbox"/> We do not engage directly and do not require external managers to engage with companies on ESG factors.		
	Listed equity – voting		
	<input checked="" type="checkbox"/> We cast our (proxy) votes directly or via dedicated voting providers <input type="checkbox"/> We require our external managers to vote on our behalf. <input type="checkbox"/> We do not cast our (proxy) votes directly and do not require external managers to vote on our behalf		
	Fixed income SSA – engagement		
	<input type="checkbox"/> We engage with companies on ESG factors via our staff, collaborations or service providers. <input checked="" type="checkbox"/> We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.		
	Please explain why you do not engage directly and do not require external managers to engage with companies on ESG factors.		
	AIMCo does not engage with government or corporate issuers. As lenders we are parties to a contract rather than owners with limited ability to influence management behavior.		
	Fixed income Corporate (financial) – engagement		
	<input type="checkbox"/> We engage with companies on ESG factors via our staff, collaborations or service providers. <input type="checkbox"/> We require our external managers to engage with companies on ESG factors on our behalf. <input checked="" type="checkbox"/> We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.		
	Please explain why you do not engage directly and do not require external managers to engage with companies on ESG factors.		
	AIMCo does not engage with government or corporate issuers. As lenders we are parties to a contract rather than owners with limited ability to influence management behavior.		
	Fixed income Corporate (non-financial) – engagement		
	<input type="checkbox"/> We engage with companies on ESG factors via our staff, collaborations or service providers. <input type="checkbox"/> We require our external managers to engage with companies on ESG factors on our behalf. <input checked="" type="checkbox"/> We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.		
	Please explain why you do not engage directly and do not require external managers to engage with companies on ESG factors.		
	AIMCo does not engage with government or corporate issuers. As lenders we are parties to a contract rather than owners with limited ability to influence management behavior.		
	Fixed income Corporate (securitised) – engagement		
	<input type="checkbox"/> We engage with companies on ESG factors via our staff, collaborations or service providers. <input checked="" type="checkbox"/> We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.		
	Please explain why you do not engage directly and do not require external managers to engage with companies on ESG factors.		
	AIMCo does not engage with government or corporate issuers. As lenders we are parties to a contract rather than owners with limited ability to influence management behavior.		
OO 11	Mandatory	Gateway	General
OO 11.1	Select the internally managed asset classes in which you addressed ESG incorporation into your investment decisions and/or your active ownership practices (during the reporting year).		

Listed equity	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Fixed income - SSA	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Fixed income - corporate (financial)	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Fixed income - corporate (non-financial)	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Fixed income - securitised	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Private equity	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Property	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Infrastructure	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Forestry	<input checked="" type="checkbox"/> We address ESG incorporation. <input type="checkbox"/> We do not do ESG incorporation.
Cash	<input type="checkbox"/> We address ESG incorporation. <input checked="" type="checkbox"/> We do not do ESG incorporation.

OO 11.2 Select the externally managed assets classes in which you and/or your investment consultants address ESG incorporation in your external manager selection, appointment and/or monitoring processes.

Asset class	ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes		
Listed equity	<table border="1"> <tr> <td style="background-color: #0070C0; color: white;">Listed equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</td> <td> <input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation </td> </tr> </table>	Listed equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation
Listed equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation		
Fixed income - corporate (financial)	<table border="1"> <tr> <td style="background-color: #0070C0; color: white;">Fixed income - corporate (financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</td> <td> <input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation </td> </tr> </table>	Fixed income - corporate (financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation
Fixed income - corporate (financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation		
Fixed income - corporate (non-financial)	<table border="1"> <tr> <td style="background-color: #0070C0; color: white;">Fixed income - corporate (non-financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</td> <td> <input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation </td> </tr> </table>	Fixed income - corporate (non-financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation
Fixed income - corporate (non-financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation		
Private equity	<table border="1"> <tr> <td style="background-color: #0070C0; color: white;">Private equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</td> <td> <input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation </td> </tr> </table>	Private equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation
Private equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation		

Property	Property - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes
	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation
Infrastructure	Infrastructure - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes
	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation
Hedge funds	Hedge funds - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes
	<input type="checkbox"/> We incorporate ESG into our external manager selection process <input type="checkbox"/> We incorporate ESG into our external manager appointment process <input type="checkbox"/> We incorporate ESG into our external manager monitoring process <input checked="" type="checkbox"/> We do not do ESG incorporation
Forestry	Forestry - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes
	<input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation

OO 11.4 Provide a brief description of how your organisation includes responsible investment considerations in your investment manager selection, appointment and monitoring processes.

Public Equities: All external managers are subject to a thorough due diligence process including detailed questions regarding the firm's governance, including, but not limited to: evidence of written policies covering potential conflicts of interest, evidence of protocols to deal with issues of material non-public financial information, evidence of the robustness of the firm's compliance function, its risk management processes, and an accounting its own due diligence processes. AIMCo's external investment managers must sign an Investment Management Agreement (IMA). The IMA states that AIMCo's exclusions will apply to all direct investments made by external managers on behalf of AIMCo. Exclusions outlined in the IMA include Excluded Industries and Statutory Investment Restrictions. Excluded Industries variously include issuers in the tobacco industry, and manufacturers of landmines, nuclear explosive devices and cluster munitions. Statutory Investment Restrictions include the Special Economic Measures Act (SEMA) and the United Nations Act (UNA). The same restrictions are specified in side letters to our hedge funds and collective mandates in order to ensure consistency across managers. Various asset classes such as real estate may have further ESG considerations, which the external managers must also address. External investment managers report to AIMCo regarding investment performance and risk issues including ESG risk on a regular basis (from monthly to quarterly). Several external managers produce their own RI reports.

Real Estate: AIMCo's selection, appointment and monitoring of third party property managers is usually conducted through a tendering process with multiple evaluation criteria. ESG and sustainability criteria are reviewed as a component of the track record of the third party manager, but not necessarily broken out as a separate scoring factor. A comprehensive due diligence questionnaire assessing the overall ability of the manager, including their involvement in responsible investment is always requested.

Infrastructure/Private Equity General: We assess the governance competency of external fund managers. Generally, LP agreements between AIMCo and a Private Equity fund contain responsible investing guidelines.

Infrastructure General: When AIMCo participates in an external fund advisory committee, we provide further assessment and review on the advisory board function of the fund. AIMCo performs ongoing review of fund performance from the reporting materials provided by the funds and also requests separate meetings/calls with the funds to answer any specific questions we may have.

OO 12 Mandatory Gateway General

OO 12.1 Below are all applicable modules or sections you may report on. Those which are mandatory to report (asset classes representing 10% or more of your AUM) are already ticked and read-only. Those which are voluntary to report on can be opted into by ticking the box.

Core modules	
<input checked="" type="checkbox"/>	Organisational Overview
<input checked="" type="checkbox"/>	Strategy and Governance
RI implementation directly or via service providers	
Direct - Listed Equity incorporation	
<input checked="" type="checkbox"/>	Listed Equity incorporation
Direct - Listed Equity active ownership	
<input checked="" type="checkbox"/>	Engagements
<input checked="" type="checkbox"/>	(Proxy) voting
Direct - Fixed Income	
<input checked="" type="checkbox"/>	Fixed income - SSA
<input checked="" type="checkbox"/>	Fixed income - Corporate (financial)
<input checked="" type="checkbox"/>	Fixed income - Corporate (non-financial)
<input checked="" type="checkbox"/>	Fixed income - Securitised
Direct - Other asset classes with dedicated modules	
<input checked="" type="checkbox"/>	Private Equity
<input checked="" type="checkbox"/>	Property
<input checked="" type="checkbox"/>	Infrastructure
RI implementation via external managers	
Indirect - Selection, Appointment and Monitoring of External Managers	

- Listed Equities
- Private Equity
- Property
- Infrastructure

	Closing module
<input checked="" type="checkbox"/>	Closing module

OO LE 01	Mandatory to Report, Voluntary to Disclose	Gateway	General
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OO LE 01.1	Provide a breakdown of your internally managed listed equities by passive, active - quantitative (quant), active - fundamental and active - other strategies.		
0	<table border="1" style="width: 100%;"> <tr> <td style="width: 20%;"></td> <td style="text-align: center;">Passive</td> </tr> </table>		Passive
	Passive		
57	<table border="1" style="width: 100%;"> <tr> <td style="width: 20%;"></td> <td style="text-align: center;">Active - quantitative (quant)</td> </tr> </table>		Active - quantitative (quant)
	Active - quantitative (quant)		
43	<table border="1" style="width: 100%;"> <tr> <td style="width: 20%;"></td> <td style="text-align: center;">Active - fundamental and active - other</td> </tr> </table>		Active - fundamental and active - other
	Active - fundamental and active - other		

OO FI 01	Mandatory to Report, Voluntary to Disclose	Gateway	General
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OO FI 01.1	Provide a breakdown of your internally managed fixed income securities by active and passive strategies
<i>Private</i>	
OO FI 01.2	Additional information. [Optional]
<i>Private</i>	

OO FI 03	Mandatory to Report, Voluntary to Disclose	Descriptive	General
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OO FI 03.1	Indicate the approximate (+/- 5%) breakdown of your SSA investments, by developed markets and emerging markets.
<i>Private</i>	
OO FI 03.3	Additional information. [Optional]
<i>Private</i>	

OO SAM 01	Mandatory to Report, Voluntary to Disclose	Gateway	General
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OO SAM 01.1	Provide a breakdown of your externally managed listed equities and fixed income by passive, active quant and, active fundamental and other active strategies.		
Listed equity (LE)		Passive	
	0		
		Active - quantitative (quant)	
	23		
		Active - fundamental and active - other	
	77		
Fixed income - Corporate (financial)		Passive	
	0		
		Active - quantitative (quant)	
	0		
		Active - fundamental and active - other	
	100		
Fixed income - Corporate (non-financial)		Passive	
	0		
		Active - quantitative (quant)	
	0		
		Active - fundamental and active - other	
	100		

OO PE 01	Mandatory to Report, Voluntary to Disclose	Descriptive	General
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OO PE 01.1	Provide a breakdown of your organisation's internally managed private equity investments by investment strategy.
<i>Private</i>	
OO PE 01.2	Additional information. [Optional]
<i>Private</i>	

OO PE 02	Mandatory to Report, Voluntary to Disclose	Descriptive	General
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OO PE 02.1	Indicate the level of ownership you typically hold in your private equity investments.
<i>Private</i>	
OO PE 02.2	Additional information. [Optional]
<i>Private</i>	

OO PR 01	Mandatory to Report, Voluntary to Disclose	Descriptive	General
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<i>Private</i>	
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OO PR 01.2	Provide a breakdown of your organisations allocation to Real Estate Investment Trusts (REITs) or similar		
<i>Private</i>			
OO PR 01.3	Additional information. [Optional]		
<i>Private</i>			
OO PR 02	Mandatory to Report, Voluntary to Disclose	Gateway	General
OO PR 02.1	Provide a breakdown of your organisation's property assets based on who manages the assets.		
<i>Private</i>			
OO PR 02.2	Additional information. [Optional]		
<i>Private</i>			
OO PR 03	Voluntary	Descriptive	General
OO PR 03.1	Indicate up to three of your largest property types by AUM.		
<i>Private</i>			
OO PR 03.2	Additional information.		
<i>Private</i>			
OO INF 01	Mandatory to Report, Voluntary to Disclose	Descriptive	General
OO INF 01.1	Indicate the level of ownership you typically hold in your infrastructure investments.		
<i>Private</i>			
OO INF 01.2	Additional information. [Optional]		
<i>Private</i>			
OO INF 02	Mandatory to Report, Voluntary to Disclose	Gateway/Peering	General
OO INF 02.1	Provide a breakdown of your organisation's infrastructure assets based on who manages the assets.		
<i>Private</i>			
OO INF 02.2	Additional information. [Optional]		
<i>Private</i>			
OO INF 03	Mandatory to Report, Voluntary to Disclose	Descriptive	General
OO INF 03.1	Indicate up to three of your largest infrastructure sectors by AUM.		
<i>Private</i>			
OO INF 03.2	Additional information.		
<i>Private</i>			

SG 01.1	Indicate if you have an investment policy that covers your responsible investment approach.
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Yes

SG 01.2	Indicate the components/types and coverage of your policy.
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Policy components/types	Coverage by AUM
<input checked="" type="checkbox"/> Policy setting out your overall approach	
<input type="checkbox"/> Formalised guidelines on environmental factors	
<input type="checkbox"/> Formalised guidelines on social factors	
<input type="checkbox"/> Formalised guidelines on corporate governance factors	
<input checked="" type="checkbox"/> Asset class-specific RI guidelines	<input checked="" type="checkbox"/> Applicable policies cover all AUM
<input type="checkbox"/> Sector specific RI guidelines	<input type="checkbox"/> Applicable policies cover a majority of AUM
<input checked="" type="checkbox"/> Screening / exclusions policy	<input type="checkbox"/> Applicable policies cover a minority of AUM
<input checked="" type="checkbox"/> Engagement policy	
<input checked="" type="checkbox"/> (Proxy) voting policy	
<input type="checkbox"/> Other, specify (1)	
<input type="checkbox"/> Other, specify(2)	

SG 01.3	Indicate if the investment policy covers any of the following
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- Your organisation's definition of ESG and/or responsible investment and it's relation to investments
- Your investment objectives that take ESG factors/real economy influence into account
- Time horizon of your investment
- Governance structure of organisational ESG responsibilities
- ESG incorporation approaches
- Active ownership approaches
- Reporting
- Climate change and related issues
- Other RI considerations, specify (1)
- Other RI considerations, specify (2)

SG 01.4	Describe your organisation's investment principles and overall investment strategy, and how they consider ESG factors and real economy impact.
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AIMCo's Investment Philosophy:

- Taking Risk Has A Persistent Long-Term Reward
- We Are Risk Managers: RI considers the impact of ESG factors on investment risk and performance alongside traditional financial and economic analysis.
- Return And Risk Are Best Managed Across All Investments: The implementation of RI varies by asset class but our guiding philosophy remains the same—the consideration of ESG factors and related information enables better investment decisions and supports long-term stakeholder value.
- Our Comparative Advantages Are Cash and Patience: Our investment horizon is ultimately long term.
- Investment Strategies Must Respond to Change: Good investment ideas don't last forever. There is a reward for spotting new opportunities early, such as renewable energy investments.
- Good Governance Has A Return: There are good business reasons for companies to act responsibly. AIMCo champions a "voice over exit" approach, exercising our voice as a shareholder to have meaningful engagements with companies to effect positive change and improve business practices where possible.
- Our Easiest Return Is Money We Do Not Have To Spend
- Our Goals Should Align With Client Objectives

SG 01.5	Provide a brief description of the key elements, any variations or exceptions to your investment policy that covers your responsible investment approach. [Optional]
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Key elements:

To uphold internationally accepted norms of corporate behaviour by promoting compliance by investee companies with norms advocated by international organizations such as UNCTAD, ILO, UNHCR, UN Global Compact, and ICGN; and with Canadian organizations such as CCGG.

To decrease ESG investment risk across investment portfolios, and to increase risk-adjusted investment performance for our client beneficiaries.

To promote best corporate ESG practices.

To uphold our AIMCo's fiduciary duty to our clients to maximize investment returns without undue risk of loss by actively considering ESG risk and return factors.

To align with the UNPRI and with AIMCo's RI pillars.

No

SG 02.1	Indicate which of your investment policy documents (if any) are publicly available. Provide a URL and an attachment of the document.
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- Policy setting out your overall approach

URL/Attachment

- URL
<http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf>
- Attachment (will be made public)

- Asset class-specific RI guidelines

- Screening / exclusions policy

URL/Attachment

- URL
<http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo%20-%20Investment%20Exclusion%20%20Guidelines%20->

[%20January%202017%20FINAL%20approved.pdf](#)

Attachment (will be made public)

Engagement policy

URL/Attachment
<input checked="" type="checkbox"/> URL https://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo%20Engagement%20Guidelines%20June%202013.pdf
<input type="checkbox"/> Attachment (will be made public)

(Proxy) voting policy

URL/Attachment
<input type="checkbox"/> URL
<input checked="" type="checkbox"/> Attachment (will be made public) Files: link , link

We do not publicly disclose our investment policy documents

SG 02.2 Indicate if any of your investment policy components are publicly available. Provide URL and an attachment of the document.

Your organisation's definition of ESG and/or responsible investment and it's relation to investments

URL/Attachment
<input checked="" type="checkbox"/> URL http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf
<input type="checkbox"/> Attachment

Your investment objectives that take ESG factors/real economy influence into account

Time horizon of your investment

URL/Attachment
<input checked="" type="checkbox"/> URL http://www.aimco.alberta.ca/How-We-Think/Responsible-Investment
<input checked="" type="checkbox"/> Attachment link

Governance structure of organisational ESG responsibilities

URL/Attachment
<input checked="" type="checkbox"/> URL http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf
<input type="checkbox"/> Attachment

ESG incorporation approaches

URL/Attachment
<input checked="" type="checkbox"/> URL http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf
<input type="checkbox"/> Attachment

Active ownership approaches

URL/Attachment
<input checked="" type="checkbox"/> URL http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf
<input type="checkbox"/> Attachment

Reporting

URL/Attachment
<input checked="" type="checkbox"/> URL http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RI_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf
<input type="checkbox"/> Attachment

Climate-related issues

URL/Attachment
<input checked="" type="checkbox"/> URL https://www.aimco.alberta.ca/How-We-Think/Investment-Philosophy
<input type="checkbox"/> Attachment

We do not publicly disclose any investment policy components

SG 02.3 Indicate if your organisation's investment principles, and overall investment strategy is publicly available

Yes
<https://www.aimco.alberta.ca/How-We-Think/Investment-Philosophy>

No

SG 02.4	Additional information [Optional].		
<p>In addition, AIMCo clients make their respective statements of investment policy and goals (SIP&G's) publicly available.</p> <p>AIMCo shares its investment principles and overall strategy with clients at public meetings and upon request.</p> <p>AIMCo's asset class specific sustainability guidelines are currently not made public, however we have had Real Estate Sustainability Guidelines since 2012, and Infrastructure Sustainability Guidelines since 2014.</p>			
SG 03	Mandatory	Core Assessed	General
SG 03.1	Indicate if your organisation has a policy on managing potential conflicts of interest in the investment process.		
<input checked="" type="checkbox"/> Yes			
SG 03.2	Describe your policy on managing potential conflicts of interest in the investment process.		
<p>The AIMCo Code of Conduct and Ethical Standards outlines the policy for managing potential conflicts of interest in the investment process. To prevent conflicts of interest, AIMCo has developed personal trading procedures which include pre-clearing trades in certain securities, disclosing trading activity and holdings and providing source documentation evidencing those activities as required. In addition, AIMCo directors, officers, employees, agents, consultants and contract workers are responsible for disclosing any instances where they possess, or are likely to possess, insider information so that appropriate trading restrictions can be put into place. Employees are required to avoid any relationship, influence, or activity that in fact, or by appearance, may impair one's ability to make objective and fair decisions impacting job performance. If a conflict of interest or a potential conflict arises, individuals are required to report it to the Chief Compliance Officer as soon as possible so that steps may be taken to resolve the situation. As a term of employment at AIMCo, all employees sign an agreement stating they will abide by the Code of Conduct and pass a test to ensure familiarity. The Compliance department is responsible for overseeing and administering the Code of Conduct.</p>			
<input type="checkbox"/> No			
SG 04	Voluntary	Descriptive	General
SG 04.1	Indicate if your organisation has a process for identifying and managing incidents that occur within portfolio companies.		
Private			
SG 04.2	Describe your process on managing incidents		
Private			
SG 05	Mandatory	Gateway/Core Assessed	General
SG 05.1	Indicate if and how frequently your organisation sets and reviews objectives for its responsible investment activities.		
<input type="checkbox"/> Quarterly or more frequently <input type="checkbox"/> Biannually <input checked="" type="checkbox"/> Annually <input type="checkbox"/> Less frequently than annually <input type="checkbox"/> Ad-hoc basis <input type="checkbox"/> It is not set/reviewed			
SG 05.2	Additional information. [Optional]		
<p>The Responsible Investment Department sets objectives annually, which are reviewed and approved annually by the CIO, and the Responsible Investment Committee. In addition, the Responsible Investment Committee reviews progress on a quarterly basis.</p>			
SG 06	Voluntary	Descriptive	General
SG 06.1	List the main responsible investment objectives that your organisation set for the reporting year.		
Private			
SG 06.2	Additional information.		
Private			
SG 07	Mandatory	Core Assessed	General
SG 07.1	Indicate the roles present in your organisation and for each, indicate whether they have oversight and/or implementation responsibilities for responsible investment.		
Roles present in your organisation			
<input checked="" type="checkbox"/> Board members or trustees <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oversight/accountability for responsible investment <input type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 			
<input checked="" type="checkbox"/> Chief Executive Officer (CEO), Chief Investment Officer (CIO), Investment Committee <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oversight/accountability for responsible investment <input type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 			
<input checked="" type="checkbox"/> Other Chief-level staff or head of department, specify <ul style="list-style-type: none"> Chief Compliance Officer <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oversight/accountability for responsible investment <input type="checkbox"/> Implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 			
<input checked="" type="checkbox"/> Portfolio managers <ul style="list-style-type: none"> <input type="checkbox"/> Oversight/accountability for responsible investment <input checked="" type="checkbox"/> implementation of responsible investment <input type="checkbox"/> No oversight/accountability or implementation responsibility for responsible investment 			
<input type="checkbox"/> ESG portfolio manager			
<input checked="" type="checkbox"/> Investment analysts			

- Oversight/accountability for responsible investment
- Implementation of responsible investment
- No oversight/accountability or implementation responsibility for responsible investment
- Dedicated responsible investment staff
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- External managers or service providers
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Investor relations
- Other role, specify (1)
- Other role, specify (2)

SG 07.2 For the roles for which you have RI oversight/accountability or implementation responsibilities, indicate how you execute these responsibilities.

Board: Approves the RI Policy. Receives updates on RI activities, performance and progress as requested.

CEO: The CEO is chair of the RI committee, an internal committee comprised of department heads, senior VP's and designated department representatives.

CIO: The RI Director reports directly to the CIO, thereby enabling fit for purpose strategies for each investment department.

RI Committee/Investment Committee: RI reports quarterly to the RI Committee. CEO (as the Chair of the RI Committee) reports to the Investment Committee on an as needed basis.

Chief Compliance Officer (CCO): Member of the RI Committee and leads Compliance staff who implement RI policies such as investment exclusions.

Portfolio Managers/Investment Analysts: PMs are consulted on votes for the companies on our strategic watch list. RI makes RI data available to all PMs and Analysts as needed.

RI Dedicated Staff: RI staff work to implement AIMCo's RI pillars which include:

- (1) RI Structure;
- (2) Investment Process [including proxy voting and investment research across portfolios];
- (3) Engagements with companies [including identification of companies that fit our ESG focus areas and/or strategic watch list];
- (4) Reporting and Communications;
- (5) Collaboration and Advocacy [including interactions with the policy-makers, regulators and investor peers].

In addition, RI staff is responsible for RI-related training across the above pillars.

SG 07.3 Indicate the number of dedicated responsible investment staff your organisation has.

3.75

SG 07.4 Additional information. [Optional]

This past year, AIMCo employed a Co-op student from January-September 2017 and another student intern from May-December 2017.

SG 07 CC	Voluntary	Descriptive	General
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Private

SG 07.1 CC Indicate the roles in your organisation, and indicate for each whether they have oversight and/or implementation responsibilities for climate-related issues.

Private

SG 07.1a CC For the board level roles or for which you have climate-related issues oversight/accountability or implementation responsibilities, indicate how you execute these responsibilities.

Private

SG 07.1b CC For the management-level roles which assess and manage climate-related issues, provide further information on the structure and process involved.

Private

SG 08	Voluntary	Additional Assessed	General
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SG 08.1 Indicate if your organisation's performance management, reward and/or personal development processes have a responsible investment element.

Private

SG 08.3 Provide any additional information on your organisation's performance management, reward and/or personal development processes in relation to responsible investment.

Private

SG 09	Mandatory	Core Assessed	PRI 4,5
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SG 09.1 Select the collaborative organisation and/or initiatives of which your organisation is a member or in which it participated during the reporting year, and the role you played.

- Principles for Responsible Investment

Your organisation's role in the initiative during the reporting period (see definitions)

Advanced

Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]

PRI: Member Sustainable Stock Exchanges group - met in Berlin, met with OSC, Member of PRI Methane Working Group - wrote letters, contributed to guidance documents, Member of the SDG Advisory Committee- presented at forums

- Asian Corporate Governance Association
- Australian Council of Superannuation Investors
- AFIC - La Commission ESG
- BVCA - Responsible Investment Advisory Board
- CDP Climate Change

	Your organisation's role in the initiative during the reporting period (see definitions)
Basic	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo is a signatory to CDP and provided feedback on the CDP Oil & Gas survey in 2017.
<input checked="" type="checkbox"/>	CDP Forests
	Your organisation's role in the initiative during the reporting period (see definitions)
Basic	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo is a signatory to CDP and provided feedback on the CDP Forests survey in 2017.
<input checked="" type="checkbox"/>	CDP Water
	Your organisation's role in the initiative during the reporting period (see definitions)
Basic	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo is a signatory to CDP Water
<input checked="" type="checkbox"/>	CFA Institute Centre for Financial Market Integrity
	Your organisation's role in the initiative during the reporting period (see definitions)
Moderate	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	Many employees are members of the CFA Institute. AIMCo sponsored a CFA dinner in Edmonton and contributes to several CFA functions.
<input type="checkbox"/>	Code for Responsible Investment in SA (CRISA)
<input type="checkbox"/>	Code for Responsible Finance in the 21st Century
<input type="checkbox"/>	Council of Institutional Investors (CII)
<input type="checkbox"/>	Eumedion
<input type="checkbox"/>	Extractive Industries Transparency Initiative (EITI)
<input type="checkbox"/>	ESG Research Australia
<input type="checkbox"/>	EVCA – Responsible Investment Roundtable
<input type="checkbox"/>	Global Investors Governance Network (GIGN)
<input type="checkbox"/>	Global Impact Investing Network (GIIN)
<input checked="" type="checkbox"/>	Global Real Estate Sustainability Benchmark (GRESB)
	Your organisation's role in the initiative during the reporting period (see definitions)
Advanced	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo is an investor co-founder of the GRESB Infrastructure initiative, and sits on the Infrastructure Advisory Board and chairs the North American benchmarking committee. We are investor members of GRESB on both the Real Estate side and the Infrastructure side and our Real Estate department has maintained its green star ranking for the ESG performance of participating assets (all North America) in 2017. On the Infrastructure side, we had several assets and funds participate and we continue to monitor progress and give feedback to GRESB. AIMCo fundamentally believes that, given their long-term horizon, the fixed location of physical assets, and the societal impact of infrastructure investments, sustainability and broader ESG considerations are critically important to infrastructure investors.
<input type="checkbox"/>	Green Bond Principles
<input type="checkbox"/>	Institutional Investors Group on Climate Change (IIGCC)
<input type="checkbox"/>	Interfaith Center on Corporate Responsibility (ICCR)
<input checked="" type="checkbox"/>	International Corporate Governance Network (ICGN)
	Your organisation's role in the initiative during the reporting period (see definitions)
Advanced	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	Active membership in the Shareholder Responsibility Committee (SHREC) and in the Fiduciary Duty sub-committee. Involved in ongoing work to co-author a fiduciary duty guidance for ICGN, for approval at the AGM in 2018. In addition, AIMCo co-authored their Guidance on Board Diversity in 2016.
<input type="checkbox"/>	Investor Group on Climate Change, Australia/New Zealand (IGCC)
<input type="checkbox"/>	International Integrated Reporting Council (IIRC)
<input type="checkbox"/>	Investor Network on Climate Risk (INCR)/CERES
<input type="checkbox"/>	Local Authority Pension Fund Forum
<input type="checkbox"/>	Principles for Sustainable Insurance
<input type="checkbox"/>	Regional or National Social Investment Forums (e.g. UKSIF, Eurosif, ASRIA, RIAA), specify
<input type="checkbox"/>	Responsible Finance Principles in Inclusive Finance
<input checked="" type="checkbox"/>	Shareholder Association for Research and Education (Share)
	Your organisation's role in the initiative during the reporting period (see definitions)
Moderate	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo continues to participate in advocacy efforts led by SHARE on say-on-pay.
<input type="checkbox"/>	United Nations Environmental Program Finance Initiative (UNEP FI)
<input type="checkbox"/>	United Nations Global Compact
<input checked="" type="checkbox"/>	Other collaborative organisation/initiative, specify
	Responsible Investment Association (RIA Canada)

	Your organisation's role in the initiative during the reporting year (see definitions)
Moderate	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo participates in RIA initiatives in a variety of different capacities (ex. attendee, sponsor, partner or speaker) such as the annual conference and RI Week.
<input checked="" type="checkbox"/>	Other collaborative organisation/initiative, specify Pension Investment Association of Canada (PIAC)
	Your organisation's role in the initiative during the reporting year (see definitions)
Advanced	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	AIMCo has several PIAC members, who sit on various committees and has been very active in facilitating PIAC responses to proposed changes to regulation.
<input checked="" type="checkbox"/>	Other collaborative organisation/initiative, specify Canadian Coalition of Good Governance (CCGG)
	Your organisation's role in the initiative during the reporting year (see definitions)
Advanced	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	Our CEO Kevin Uebelein sits on the CCGG board of directors and is an active participant on the Public Policy Committee.
<input checked="" type="checkbox"/>	Other collaborative organisation/initiative, specify Proxy Voting Working Groups, 30% Club Canada Chapter & Coalition for Inclusive Capitalism
	Your organisation's role in the initiative during the reporting year (see definitions)
Advanced	
	Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]
	Proxy Voting Working Groups (2): AIMCo has actively participated in two separate proxy voting initiatives tasked with improving the end-to-end audit capabilities for the proxy voting process. One initiative is called The Proxy Voting Working Group, comprised of several Canadian institutional investors whereas the other is called The Proxy Voting Technical Working Group, comprised of representatives of several intermediaries (Broadridge, State Street, STAC, etc.). 30% Club Canada Chapter: AIMCo CEO Kevin Uebelein is a member of the 30% Club Canada Chapter which advocates for 30% of board seats to be held by women at Canadian issuers by 2022. AIMCo supported the 30% Club Investor Statement and our CEO was a featured panelist at a 30% Club Canada and Catalyst Canada board diversity forum in 2017. Coalition for Inclusive Capitalism: AIMCo CEO Kevin Uebelein committed to the Coalition for Inclusive Capitalism, a global initiative to make capitalism more equitable, sustainable and inclusive. In October 2017, AIMCo reported on three of its Inclusive Capitalism commitments, which is publicly available on the Coalition's website and AIMCo's website.

SG 09.2	Mandatory to Report, Voluntary to Disclose	Descriptive	PRI 1
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	Indicate approximately what percentage (+/- 5%) of your externally managed assets are managed by PRI signatories.
Private	

SG 10	Mandatory	Core Assessed	PRI 4
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SG 10.1	Indicate if your organisation promotes responsible investment, independently of collaborative initiatives.
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Yes

SG 10.2	Indicate the actions your organisation has taken to promote responsible investment independently of collaborative initiatives. Provide a description of your role in contributing to the objectives of the selected action and the typical frequency of your participation/contribution.
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Provided or supported education or training programmes (this includes peer to peer RI support) Your education or training may be for clients, investment managers, actuaries, broker/dealers, investment consultants, legal advisers etc.)

Description
ESG Canadian Peer Forum, Eric Geddes Lecture on Responsible Investment, ICD Shareholder Engagement Course Module, AIMCo Days, Western Canadian PRI forum;

Frequency of contribution
<input type="radio"/> Quarterly or more frequently <input checked="" type="radio"/> Biannually <input type="radio"/> Annually <input type="radio"/> Less frequently than annually <input type="radio"/> Ad hoc <input type="radio"/> Other

Provided financial support for academic or industry research on responsible investment

Provided input and/or collaborated with academia on RI related work

Description
Provided projects for University of Alberta MBA Capstone & Corporate Sustainability classes and authored a chapter on RI for a Columbia University Press textbook.

Frequency of contribution
<input checked="" type="radio"/> Quarterly or more frequently <input type="radio"/> Biannually <input type="radio"/> Annually <input type="radio"/> Less frequently than annually <input type="radio"/> Ad hoc <input type="radio"/> Other

Encouraged better transparency and disclosure of responsible investment practices across the investment industry

Description
FSB TCFD Consultation, CDP Stakeholder Session, met with Securities Commissions in Canada to encourage greater disclosure, Sustainable Stock Exchanges Initiative,

PRI Methane Advisory Committee

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Spoke publicly at events and conferences to promote responsible investment

Description

We have spoken publicly at: RI Americas Conference, Eric Geddes Lecture on Responsible Investment, Pacific Northwest Institutional Investor Forum, UN Sustainable Infrastructure Retreat, RIA Conference, Western North American PRI Signatory Network Event, Canadian Pension & Benefits Institute Northern Alberta, Deloitte International Women's Day, IFSWF Forum on Climate Change, etc.

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Wrote and published in-house research papers on responsible investment

Description

We have written internal-only whitepapers on cannabis and the Business Case for RI.

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Encouraged the adoption of the PRI

Description

We have spoken to other investors about the process and benefits of becoming a PRI signatory upon request.

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Responded to RI related consultations by non-governmental organisations (OECD, FSB etc.)

Description

FSB TCFD Consultation, CDP Forests & Oil and Gas Questionnaires Consultation, PRI Consultation on Signatory Accountability, Best Practice Principles for Providers of Shareholder Voting Research & Analysis Survey, PRI Megatrends Survey

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- Wrote and published articles on responsible investment in the media

- A member of PRI advisory committees/ working groups, specify

Description

SDGs Advisory Committee & Methane Committee and SSE committee/working group

Frequency of contribution

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

- On the Board of, or officially advising, other RI organisations (e.g. local SIFs)

		Description		
		Our CEO is a Canadian Coalition for Good Governance (CCGG) board member.		
		Frequency of contribution		
		<input checked="" type="radio"/> Quarterly or more frequently <input type="radio"/> Biannually <input type="radio"/> Annually <input type="radio"/> Less frequently than annually <input type="radio"/> Ad hoc <input type="radio"/> Other <input type="checkbox"/> Other, specify		
		<input type="radio"/> No		
SG 10.3		Describe any additional actions and initiatives that your organisation has taken part in during the reporting year to promote responsible investment [Optional]		
		Coalition for Inclusive Capitalism - Reported on our commitments in Fall 2017. 30% Club Canada - Our CEO is a Member of the 30% Club Canada Chapter. He participated as a panelist in a 30% Club Canada and Catalyst Canada event on board gender diversity in November 2017.		
SG 11	Voluntary		Additional Assessed	PRI 4,5,6
SG 11.1		Indicate if your organisation - individually or in collaboration with others - conducted dialogue with public policy makers or regulators in support of responsible investment in the reporting year.		
		<i>Private</i>		
SG 11.4		Provide a brief description of the main topics your organisation has engaged with public policy-makers or regulators on.		
		<i>Private</i>		
SG 12	Mandatory		Core Assessed	PRI 4
SG 12.1		Indicate whether your organisation uses investment consultants.		
		<input type="checkbox"/> Yes, we use investment consultants <input checked="" type="checkbox"/> No, we do not use investment consultants.		
SG 13	Mandatory		Descriptive	PRI 1
SG 13.1		Indicate if your organisation executes scenario analysis and/or modelling in which the risk profile of future ESG trends at portfolio level is calculated.		
		<input type="checkbox"/> We execute scenario analysis which includes factors representing the investment impacts of future environmental trends <input type="checkbox"/> We execute scenario analysis which includes factors representing the investment impacts of future social trends <input type="checkbox"/> We execute scenario analysis which includes factors representing the investment impacts of future governance trends <input type="checkbox"/> We consider scenario analysis that includes factors representing the investment impacts of future climate-related risks and opportunities <input type="checkbox"/> We execute other scenario analysis, specify <input checked="" type="checkbox"/> We do not execute such scenario analysis and/or modelling		
SG 13.3		Additional information. [OPTIONAL]		
		We have considered the investment impacts of certain climate related scenarios, such as regulatory risks for CO2 pricing, which is a future environmental trend. We have conducted CO2 footprinting and will continue to do so for our public equities portfolio and select client portfolios. The CO2 footprinting demonstrates our carbon exposure across sectors and geographic jurisdictions and from what we have surmised, and based on predictions of where CO2 pricing is going, which jurisdictions are more problematic from a stranded asset perspective (ex. a coal-fired utility). We do consider the sector diversification into alternatives as one way to reduce carbon portfolio footprint exposure.		
SG 14	Mandatory to Report, Voluntary to Disclose		Additional Assessed	PRI 1
SG 14.1		Describe the process used to identify short, medium and long-term risks and opportunities that could have a material impact on your organisation and its activities.		
		<i>Private</i>		
SG 14.1 CC		Describe the processes used to determine which climate-related short, medium and long-term risks and opportunities could have a material impact on your organisation and its activities.		
		<i>Private</i>		
SG 14.2		Some investment risks and opportunities arise as a result of long term trends. Indicate which of the following you act on.		
		<i>Private</i>		
SG 14.4a CC		Please provide further details on these key metric(s) used to assess climate related risks and opportunities.		
		<i>Private</i>		
SG 14.5		If you selected disclosure on emissions risks, list any specific climate related disclosure tools or frameworks that you used.		
		<i>Private</i>		
SG 14.6		Additional information [Optional]		
		<i>Private</i>		
SG 14.7 CC		Describe your risk management processes for identifying, assessing, and managing climate-related risks.		
		<i>Private</i>		
SG 14.8 CC		Describe your processes for prioritising climate-related risks.		
		<i>Private</i>		
SG 14.9 CC		Do you conduct engagement activity with investee companies to encourage better disclosure and practices around climate-related risks?		
		<i>Private</i>		
SG 14.10 CC		Describe how you use data from climate-related disclosures.		
		<i>Private</i>		

SG 15	Mandatory to Report, Voluntary to Disclose	Descriptive	PRI 1
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SG 15.1 Indicate if your organisation allocates assets to, or manages, funds based on specific environmental and social themed areas.

Private

SG 16	Mandatory	Descriptive	General
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SG 16.1 Describe how you address ESG issues for internally managed assets for which a specific PRI asset class module has yet to be developed or for which you are not required to report because your assets are below the minimum threshold.

Asset Class	Describe what processes are in place and the outputs or outcomes achieved
Forestry	<ul style="list-style-type: none"> • Screening: We employ a country and species screen (natural forest vs. plantation), forest certification, and a reasonableness check for sustainability (growth versus harvest schedule versus standing tree inventory) • Diligence: We ensure verification of legal land ownership status, compliance with all local laws including environmental reserves and labor laws, environmental due diligence, inventory verification (sustainable harvest), confirmation of forest certification status, governance rights and holding structures • Confirmation: of all due diligence materials and internal processes • Deal breaker: If investment opportunities are not seen to be sustainable, or fail one of the previous three steps. There is an expectation for our external investment professionals to follow industry best-practices, which includes third party certification, and those systems must audit ESG criteria regularly.

SG 17	Mandatory	Descriptive	General
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SG 17.1 Describe how you address ESG issues for externally managed assets for which a specific PRI asset class module has yet to be developed or for which you are not required to report because your assets are below the minimum threshold.

Asset Class	Describe what processes are in place and the outputs or outcomes achieved
Forestry	<p>All external managers are subject to an investment management agreement, and are not allowed to invest in certain excluded industries, such as the tobacco industry, or in certain companies, as per the terms of the agreement and our exclusions guidelines. If they inadvertently were to invest in an excluded company, our Compliance department would flag it, and the external manager would be required to sell the holdings in the entity. This incident and the underlying reasons for it would then be reported internally in order to avoid future occurrences. The external manager must regularly check with Compliance to ensure that an entity that was not previously on the exclusions list has entered the exclusions list.</p> <p>Only managers with a sound management record are considered. Our external investment professionals are expected to follow industry best-practices.</p> <p>AIMCo's Timber team regularly conduct meetings with selected managers and receive Operations Reports covering issues such as Work Place Safety, Environmental Protection, Human Resources, Community Involvement and Consultation to ensure best practice standards are fully implemented and upheld.</p>

SG 17.2 Additional information.

Our external investment professionals are expected to follow industry best-practices, which include upholding forest management standards administered by respective authorities, third party certification, and systematic reporting. Many employees of the selected managers are Registered Professional Forester (RPF) with a higher mandate to maintain productivity and sustainability of forest lands, improve the practice of forest management, and generally to foster public safety, health and welfare.

SG 18	Voluntary	Descriptive	General
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SG 18.1 Indicate whether any specific features of your approach to responsible investment are particularly innovative.

Private

SG 18.3 Additional information.

Private

SG 19	Mandatory	Core Assessed	PRI 6
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SG 19.1 Indicate whether your organisation proactively discloses asset class specific information. Select the frequency of the disclosure to clients/beneficiaries and the public, and provide a URL to the public information.

Fixed income	
Do you disclose?	
<input type="radio"/> We do not disclose to either clients/beneficiaries or the public. <input type="radio"/> We disclose to clients/beneficiaries only. <input checked="" type="radio"/> We disclose to the public	
The information disclosed to clients/beneficiaries is the same	
<input type="radio"/> Yes <input checked="" type="radio"/> No	
Disclosure to public and URL	Disclosure to clients/beneficiaries
<input checked="" type="radio"/> Broad approach to RI incorporation <input type="radio"/> Detailed explanation of RI incorporation strategy used	<input checked="" type="radio"/> Broad approach to RI incorporation <input type="radio"/> Detailed explanation of RI incorporation strategy used
Annually	Quarterly
http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RI_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf	

Infrastructure	
Do you disclose?	
<input type="radio"/> We do not disclose to either clients/beneficiaries or the public. <input type="radio"/> We disclose to clients/beneficiaries only. <input checked="" type="radio"/> We disclose to the public	

The information disclosed to clients/beneficiaries is the same

Yes
 No

Disclosure to public and URL		Disclosure to clients/beneficiaries	
<input checked="" type="checkbox"/> ESG information on how you select infrastructure investments <input checked="" type="checkbox"/> ESG information on how you monitor and manage infrastructure investments <input checked="" type="checkbox"/> Information on your infrastructure investments' ESG performance	<input checked="" type="checkbox"/> ESG information on how you select infrastructure investments <input checked="" type="checkbox"/> ESG information on how you monitor and manage infrastructure investments <input checked="" type="checkbox"/> Information on your infrastructure investments' ESG performance	Annually	Quarterly or more frequently
http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RI_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf			

Listed equity - Engagement

Do you disclose?

We do not disclose to either clients/beneficiaries or the public.
 We disclose to clients/beneficiaries only.
 We disclose to the public

The information disclosed to clients/beneficiaries is the same

Yes
 No

Disclosure to public and URL		Disclosure to clients/beneficiaries	
<input checked="" type="checkbox"/> Details on the overall engagement strategy <input checked="" type="checkbox"/> Details on the selection of engagement cases and definition of objectives of the selections, priorities and specific goals <input type="checkbox"/> Number of engagements undertaken <input type="checkbox"/> Breakdown of engagements by type/topic <input type="checkbox"/> Breakdown of engagements by region <input type="checkbox"/> An assessment of the current status of the progress achieved and outcomes against defined objectives <input checked="" type="checkbox"/> Examples of engagement cases <input type="checkbox"/> Details on eventual escalation strategy taken after the initial dialogue has been unsuccessful (i.e. filing resolutions, issuing a statement, voting against management, divestment etc.) <input type="checkbox"/> Details on whether the provided information has been externally assured <input checked="" type="checkbox"/> Outcomes that have been achieved from the engagement <input type="checkbox"/> Other information	<input checked="" type="checkbox"/> Details on the overall engagement strategy <input checked="" type="checkbox"/> Details on the selection of engagement cases and definition of objectives of the selections, priorities and specific goals <input checked="" type="checkbox"/> Number of engagements undertaken <input checked="" type="checkbox"/> Breakdown of engagements by type/topic <input type="checkbox"/> Breakdown of engagements by region <input type="checkbox"/> An assessment of the current status of the progress achieved and outcomes against defined objectives <input checked="" type="checkbox"/> Examples of engagement cases <input checked="" type="checkbox"/> Details on eventual escalation strategy taken after the initial dialogue has been unsuccessful (i.e. filing resolutions, issuing a statement, voting against management, divestment etc.) <input type="checkbox"/> Details on whether the provided information has been externally assured <input checked="" type="checkbox"/> Outcomes that have been achieved from the engagement <input type="checkbox"/> Other information	Annually	Quarterly or more frequently
http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RI_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo%20Engagement%20Guidelines%20June%202013.pdf			

Listed equity – (Proxy) Voting

Do you disclose?

We do not disclose to either clients/beneficiaries or the public.
 We disclose to clients/beneficiaries only.
 We disclose to the public

The information disclosed to clients/beneficiaries is the same

Yes
 No

Disclosure to public and URL

Disclosure to public and URL

Explain all voting decisions
 Explain some voting decisions
 Only explain abstentions and votes against management
 No explanations provided

Quarterly

http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RL_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf
<https://viewpoint.glasslewis.net/webdisclosure/search.aspx?glpcustuserid=AIM118>

Listed equity - Incorporation

Do you disclose?

We do not proactively disclose it to the public and/or clients/beneficiaries
 We disclose to clients/beneficiaries only.
 We disclose it publicly

The information disclosed to clients/beneficiaries is the same

Yes
 No

Disclosure to public and URL		Disclosure to clients/beneficiaries	
<input checked="" type="radio"/> Broad approach to ESG incorporation <input type="radio"/> Detailed explanation of ESG incorporation strategy used	<input type="radio"/> Broad approach to ESG incorporation <input checked="" type="radio"/> Detailed explanation of ESG incorporation strategy used		
Annually	Quarterly or more frequently		
http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RL_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf			

Private equity

Do you disclose?

We do not disclose to either clients/beneficiaries or the public.
 We disclose to clients/beneficiaries only.
 We disclose to the public

The information disclosed to clients/beneficiaries is the same

Yes
 No

Disclosure to public and URL		Disclosure to clients/beneficiaries	
<input checked="" type="checkbox"/> ESG information in relationship to our pre-investment activities <input checked="" type="checkbox"/> ESG information in relationship to our post-investment monitoring and ownership activities <input checked="" type="checkbox"/> Information on our portfolio companies' ESG performance <input type="checkbox"/> Other	<input checked="" type="checkbox"/> ESG information in relationship to our pre-investment activities <input checked="" type="checkbox"/> ESG information in relationship to our post-investment monitoring and ownership activities <input checked="" type="checkbox"/> Information on our portfolio companies' ESG performance <input type="checkbox"/> Other		
Annually	Quarterly or more frequently		
http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RL_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf			

Property

Do you disclose?

We do not disclose to either clients/beneficiaries or the public.
 We disclose to clients/beneficiaries only.
 We disclose to the public

The information disclosed to clients/beneficiaries is the same	
<input type="radio"/> Yes <input checked="" type="radio"/> No	

Disclosure to public and URL					
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Annually	Quarterly or more frequently				
http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo-RI_Report17-Final-Combined-URL-PDF-Oct02-2017.pdf					

Selection, Appointment and Monitoring

Do you disclose?
<input type="radio"/> We do not disclose to either clients/beneficiaries or the public. <input checked="" type="radio"/> We disclose to clients/beneficiaries only. <input type="radio"/> We disclose to the public

Disclosure to clients/beneficiaries
<input checked="" type="checkbox"/> How responsible investment considerations are included in manager selection, appointment and monitoring processes <input type="checkbox"/> Details of the responsible investment activities carried out by managers on your behalf <input type="checkbox"/> E, S and/or G impacts and outcomes that have resulted from your managers' investments and/or active ownership <input type="checkbox"/> Other
Quarterly or more frequently

SG 19.2 Additional information [Optional]

Proxy voting information is continuously shared as soon as votes are cast. This is displayed on our proxy voting history portal on the AIMCo website.

SAM 01.1 Indicate which of the following ESG incorporation strategies you require your external manager(s) to implement on your behalf for all your listed equity and/or fixed income assets:

Active investment strategies

Active investment strategies	Listed Equity
Screening	<input checked="" type="checkbox"/>
Thematic	<input type="checkbox"/>
Integration	<input type="checkbox"/>
None of the above	<input type="checkbox"/>

SAM 01.2 Additional information. [Optional]

AIMCo requires our external managers to abide by AIMCo's exclusion lists. AIMCo's Compliance and RI teams review and update the exclusions lists quarterly and Compliance ensures that all asset classes receive an email with the updated exclusion lists. All external managers are to review these lists and ensure they divest of any applicable holdings by the end of the following quarter, should an equity, due to mergers and acquisitions or new business streams, qualify for one of the two exclusions lists (controversial weapons and tobacco).

SAM 02.1 Indicate what RI-related information your organisation typically covers in the majority of selection documentation for your external managers

	LE	Private equity	Property	Infrastructure
Investment strategy and how ESG objectives relate to it	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG incorporation requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ESG reporting requirements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
No RI information covered in the RFPs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you select any 'Other' option(s), specify

Infrastructure: AIMCo's deal team performs a due diligence review of fund managers within its selection processes. This process includes a review of ESG and RI related factors, including, but not limited to:

- Governance rights/access to information rights and LP advisory board seats;
- The governance 'competency' of external fund managers.

SAM 02.2 Explain how your organisation evaluates the investment manager's ability to align between your investment strategy and their investment approach

Strategy

	LE	Private equity	Property	Infrastructure
Assess the time horizon of the investment manager's offering vs. your/beneficiaries' requirements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Assess the quality of investment policy and its reference to ESG	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assess the investment approach and how ESG objectives are implemented in the investment process	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review the manager's firm-level vs. product-level approach to RI	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Assess the ESG definitions to be used	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

ESG people/oversight

	LE	Private equity	Property	Infrastructure
Assess ESG expertise of investment teams	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review the oversight and responsibilities of ESG implementation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review how is ESG implementation enforced /ensured	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review the manager's RI-promotion efforts and engagement with the industry	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Process/portfolio construction/investment valuation

	LE	Private equity	Property	Infrastructure
Review the process for ensuring the quality of the ESG data used	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review and agree the use of ESG data in the investment decision making process	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review and agree the impact of ESG analysis on investment decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review and agree ESG objectives (e.g. risk reduction, return seeking, real-world impact)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review and agree manager's ESG risk framework	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Review and agree ESG risk limits at the portfolio level (portfolio construction) and other ESG objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review how ESG materiality is evaluated by the manager	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review process for defining and communicating on ESG incidents	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review and agree ESG reporting frequency and detail	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you select any 'Other' option(s), specify

Infrastructure:

Strategy - ESG and RI factors are evaluated by analysis of the following in the due diligence process: 1) Adherence to UNPRI/similar guidelines 2) Background check on senior personnel and reference check of the firm 3) Operational due diligence by AIMCo Compliance 4) Call with Portfolio company executives.

ESG people/oversight - Follow UN PRI Guidelines on ESG for Transparency; Follow ILPA guidelines; and Board seat at advisory committee.

Process/portfolio construction/investment valuation - While carrying out research on the firm, the deal team reviews Annual Reports, Directors' Reports, and Corporate Governance and valuation policies to identify if there any redflags on ESG and other ethical issues.

SAM 02.3 Indicate the selection process and its ESG/RI components

- Review ESG/RI responses to RfP, RfI, DDQ etc.
- Review responses to PRI's Limited Partners' Responsible Investment Due Diligence Questionnaire (LP DDQ)
- Review publicly available information on ESG/RI
- Review assurance process on ESG/RI data and processes
- Review PRI Transparency Reports
- Request and discuss PRI Assessment Reports
- Meetings with the potential shortlisted managers covering ESG/RI themes
- Site visits to potential managers offices
- Other, specify

Property: Selection is determined with consideration to the Real Estate Sustainability Guidelines that have been adopted. Private Equity: Private Equity reviews Private Equity due diligence questionnaires; reviews publicly available information. Private Equity deal team meets with potential managers before making investment decision, to review investment managers' performance; and performs site visits to potential managers offices. Shortlisted managers would visit and present their past performance of other funds to the AIMCo deal team. Infrastructure: In addition to site visits by the deal team, our deal team short listed manager would visit and present their past performance to the AIMCo deal team. Deal team would also review outcomes related to Operational and RI Due Diligence.

SAM 02.4 When selecting external managers does your organisation set any of the following:

	LE	Private equity	Property	Infrastructure
ESG performance development targets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESG score	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESG weight	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Real world economy targets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other RI considerations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you select any 'Other' option(s), specify

Property: Managers' capabilities to operate and/or build with ESG factors in mind are considered in the selection process, although not assigned a specific weight.

Private Equity: AIMCo conducts 1-2 months of fulsome due diligence on any Private Equity fund AIMCo commits capital. This includes meeting with key investment staff to understand their investment and operational (governance) abilities, and reviewing investment information (e.g. prior investment memos and models) to develop a robust understanding of past performance and likelihood of repeated success going forward.

Infrastructure: Set out Governance Rights and LP Advisory Board Seats.

Public Equities and across all asset classes: There is a requirement for all external managers to abide by AIMCo's Investment Exclusion guidelines

SAM 02.5 Describe how the ESG information reviewed and discussed affects the selection decision making process. [OPTIONAL]

Property: In selecting managers, their aptitude for making responsible investment decisions and care for ESG practices are considered. Through our due diligence questionnaire issued to the managers, we are able to gather a conclusive summary of how the manager intends to manage our funds. We seek managers that are able to generate returns not at the expense of responsible investment practices.

SAM 04 Mandatory Core Assessed PRI 1

SAM 04.1 Indicate if in the majority of cases and where the structure of the product allows, your organisation does any of the following as part of the manager appointment and/or commitment process

- Sets standard benchmarks or ESG benchmarks
- Defines ESG objectives
- Sets incentives and controls linked to the ESG objectives
- Requires reporting on ESG objectives
- Requires the investment manager to adhere to ESG guidelines, regulations, principles or standards
- None of the above
- None of the above, we invest only in pooled funds and have a thorough selection process

SAM 04.2 Provide an example per asset class of your benchmarks, objectives, incentives/controls and reporting requirements that would typically be included in your managers' appointment.

Asset class

Listed equity (LE)

Benchmark	
<input checked="" type="checkbox"/> Standard benchmark	
<input type="checkbox"/> ESG benchmark, specify	

ESG Objectives	
<input type="checkbox"/> ESG related strategy, specify	
<input type="checkbox"/> ESG related investment restrictions, specify	
<input type="checkbox"/> ESG integration, specify	
<input type="checkbox"/> Engagement, specify	
<input checked="" type="checkbox"/> Voting, specify	
We specify that AIMCo retains voting privileges for our externally managed public equities	
<input type="checkbox"/> Promoting responsible investment	
<input type="checkbox"/> ESG specific improvements	
<input type="checkbox"/> ESG guidelines/regulation, principles/standards, specify	
<input type="checkbox"/> Other, specify	

Incentives and controls	
<input checked="" type="checkbox"/> We do not set incentives and controls	

Reporting requirements	
<input checked="" type="checkbox"/> Monthly	
<input type="checkbox"/> Quarterly	
<input type="checkbox"/> Bi-annually	
<input type="checkbox"/> Annually	
<input type="checkbox"/> Ad-hoc/when requested	

Private equity

Benchmark	
<input checked="" type="checkbox"/> Standard benchmark, specify	
The AIMCo asset class benchmark	
<input type="checkbox"/> ESG benchmark, specify	

ESG Objectives	
<input checked="" type="checkbox"/> ESG related strategy, specify	
Private Equity deal team would evaluate managers' investment strategy and past returns in relation to stated investment objectives and risks, including ESG objectives.	
<input type="checkbox"/> ESG related investment restrictions, specify	
<input type="checkbox"/> ESG integration, specify	
<input type="checkbox"/> Engagement, specify	
<input type="checkbox"/> Voting, specify	
<input type="checkbox"/> Promoting responsible investment	
<input type="checkbox"/> ESG specific improvements	
<input type="checkbox"/> ESG guidelines/regulation, principles/standards, specify	

Incentives and controls	
<input checked="" type="checkbox"/> We do not set incentives and controls	

Reporting requirements	
<input type="checkbox"/> Ad-hoc/when requested	
<input type="checkbox"/> Annually	
<input type="checkbox"/> Bi-annually	
<input checked="" type="checkbox"/> Quarterly	
<input type="checkbox"/> Monthly	

Property

Benchmark	
<input checked="" type="checkbox"/> Standard benchmark, specify	
The AIMCo asset class benchmark	
<input type="checkbox"/> ESG benchmark, specify	

ESG Objectives	
<input type="checkbox"/> Other, specify	
<input checked="" type="checkbox"/> ESG related strategy, specify	
Manager shall have the duty of providing accurate reporting and the necessary governance oversight.	
<input checked="" type="checkbox"/> ESG related investment restrictions, specify	
Manager will be bound by limitations on permitted investments regarding ESG restrictions. E.g. investing within Canada with specific focus toward residential asset class due to social demand for housing.	
<input checked="" type="checkbox"/> ESG integration, specify	
ESG related strategy are written in the partnership agreement and the general partner (manager) will be expected to integrate ESG strategies included.	

- Engagement, specify
- Voting, specify
- Promoting responsible investment
- ESG specific improvements
- ESG guidelines/regulation, principles/standards, specify

Incentives and controls

- We do not set incentives and controls

Reporting requirements

- Monthly
- Quarterly
- Bi-annually
- Annually
- Ad-hoc/when requested

- Infrastructure

Benchmark

- Standard benchmark, specify
The AIMCo asset class benchmark
- ESG benchmark, specify

ESG Objectives

- Other, specify
AIMCo supports GRESB infrastructure benchmark and requests fund managers to complete GRESB Survey.
- ESG related strategy, specify
Infrastructure deal team would evaluate external managers' risk strategy as it relates to ESG factor which could impact long term financial performance and considers the overall ESG risk profile of the fund (e.g. High Risk Portfolio may require more ESG risk measures). In addition to this, Infrastructure deal team would evaluate the target market of the fund (by Sector, Industry, Geography and Ownership).
- ESG related investment restrictions, specify
- ESG integration, specify
- Engagement, specify
- Voting, specify
- Promoting responsible investment
- ESG specific improvements
- ESG guidelines/regulation, principles/standards, specify
Fund managers that comply with UN PRI guidelines on ESG and ILPA guidelines on transparency carry more weight. AIMCo supports the GRESB Infrastructure benchmark and requests fund managers' participation.

Incentives and controls

- We do not set incentives and controls

Reporting requirements

- Ad-hoc/when requested
- Annually
- Bi-annually
- Quarterly
- Monthly

SAM 04.4 Indicate which of these actions your organisation might take if any of the requirements are not met

- Discuss requirements not met and set project plan to rectify
- Place investment manager on a "watch list"
- Track and investigate reason for non-compliance
- Re-negotiate fees
- Failing all actions, terminate contract with the manager
- Other, specify

Property: Major ESG initiatives such as buildings constructed to LEED certifications will have the requirement stipulated within the development management contract. Through the contract, managers will be dissuaded from breaching the legal agreement. Nonetheless, we strive to cooperate with our partners in regards to setting achievable targets and developing consistent and repeatable procedures to meeting the ESG reporting requirements.

- No actions are taken if any of the ESG requirements are not met

SAM 04.5 Provide additional information relevant to your organisation's appointment processes of external managers. [OPTIONAL]

Property: When AIMCo is considering appointing an external manager for a development with a specified Green Building designation, the contract will stipulate that designation must be achieved and/or maintained. Investments are continuously monitored to ensure sufficient standards/criteria are met to obtain the specified Green Building designations. AIMCo currently contracts an external consultant, WSP, to evaluate the sustainability performance of our assets.

SAM 05 Mandatory Core Assessed PRI 1

SAM 05.1 When monitoring managers, indicate which of the following types of responsible investment information your organisation typically reviews and evaluates

	LE	Private equity	Property	Infrastructure
ESG objectives linked to investment strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Evidence on how the ESG incorporation strategy(ies) affected the investment decisions and financial / ESG performance of the portfolio/fund	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Compliance with investment restrictions and any controversial investment decisions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG portfolio characteristics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How ESG materiality has been evaluated by the manager in the monitored period	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information on any ESG incidents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Metrics on the real economy influence of the investments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PRI Transparency Reports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
PRI Assessment Reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RI-promotion and engagement with the industry to enhance RI implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other general RI considerations in investment management agreements; specify	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you select any 'Other' option(s), specify

Property: AIMCo monitors investments in the development phase to ensure that managers are adhering to the specified Green building designations.

Infrastructure: AIMCo receives quarterly/annual reports from fund managers which include reports on ESG. Any ESG issues are highlighted in those reports.

Public Equity: Depending on the nature of the External Manager, we review any material ESG issues as reported by the external managers (including any engagement activities, incidents, etc.). As part of monitoring, our RI team reviews PRI Transparency Reports (across asset classes) and tracks whether our external managers are PRI signatories.

SAM 05.2 When monitoring external managers, does your organisation set any of the following to measure compliance/progress

	LE	Private equity	Property	Infrastructure
ESG score	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESG weight	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESG performance minimum threshold	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Real world economy targets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other RI considerations	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
None of the above	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you select any 'Other' option(s), specify

Property: ESG compliance/progress are not provided a score or weighting; however, their impact on performance are reviewed as a part of the process of monitoring external managers.

Infrastructure: Review of quarterly/annual fund reports that includes ESG and RI issues along with any breaches/incidents that may have occurred. We review results from the annual GRESB Infrastructure fund assessments completed by external fund managers.

SAM 05.3 Provide additional information relevant to your organisation's monitoring processes of external managers. [OPTIONAL]

Property: In an attempt to improve the sustainability performance of our assets, AIMCo employs an external consultant, WSP, to collect and evaluate sustainability performance data on our office, retail, industrial, and residential assets. The analysis carried out by WSP has a wide range of environmental and social implications as AIMCo reviews the results to set targets for the managers. The results of the analysis conducted by WSP also assists with the completion of the annual GRESB survey, for which AIMCo has recently maintained a "5 Green Star" rating, crediting AIMCo as a ESG-conscious organization. Infrastructure: AIMCo encourages its fund managers to complete the GRESB Infrastructure survey. Upon survey completion, AIMCo's RI team undertakes a comprehensive review/analysis of Infrastructure assets/funds performance and socializes the outcomes/observations with the Infrastructure team, focusing on top 3 areas for improvement, top 3 best performing areas and potential topics for engagement.

SAM 08 Mandatory to Report, Voluntary to Disclose Descriptive PRI 1

SAM 08.1 Describe how you ensure that best RI practice is applied to managing your assets

Private

SAM 08.2 Additional information. [Optional]

Private

SAM 09 Mandatory Additional Assessed PRI 1,6

SAM 09.1 Provide examples of how ESG issues have been addressed in the manager selection, appointment and/or monitoring process for your organisation during the reporting year.

Add Example 1

Topic or issue	ESG Governance Due Diligence
Conducted by	Internal staff
Asset class	Listed Equity
Scope and process	As part of the due diligence process, internal staff assess, among other critical elements, overall governance of ESG and integration policies being pursued by the prospecting external manager. We keep track of all our External Managers and whether they are PRI signatories (or have become PRI signatories) and we review their PRI transparency reports to gain further insights into how the external manager approaches ESG issues.
Outcomes	The manager was found to be fit to carry out the task of completing the project, as indicated by their extensive experience managing similar projects and ability to fulfill the various reporting requirements of AIMCo.

Add Example 2

Topic or issue	Building Sustainability
Conducted by	Internal staff
Asset class	Property
Scope and process	All of our managers are encouraged to make a conscious effort to improving sustainability wherever feasible. As opportunities arise, we engage in strategic discussions with our managers.
Outcomes	Manager made an effort to implement sustainability at one of our assets, whereby they engaged an outside consultant to conduct a feasibility study. This enabled the investment team to have an internal discussion regarding the topic and seriously consider the benefits of the LEED Certification.

Add Example 3

Topic or issue	Governance
Conducted by	Internal staff
Asset class	Private equity
Scope and process	Prior to appointing a new manager, the Private Equity team undertakes an extensive due diligence process, including an onsite visit to the manager's office to meet the investment professionals. Governance for Private Equity is usually focused around ensuring the present investment team continues with the manager. For this reason, AIMCo focuses on the "Key man" clause closely on the LPA.
Outcomes	In majority of instances where AIMCo was not satisfied with the Key man clause, it has worked with the manager to alter the clause such that AIMCo was comfortable.

Add Example 4

Topic or issue	Fund strategy/Investment performance
Conducted by	Internal staff
Asset class	Private equity
Scope and process	Prior to appointing a new manager, a comprehensive due diligence questionnaire is requested from the manager. Clear and consistent investment strategy and past performance are a focus of discussion in assessing the manager's ability to successfully deploy capital and generate return.
Outcomes	The Manager was found fit to carry out the task as indicated by the past performance in similar industries/sectors.

Add Example 5

Topic or issue	Environment, Governance and Risk Mitigation
Conducted by	Internal staff
Asset class	Infrastructure
Scope and process	The AIMCo Infrastructure team undertook a detailed due diligence review and a site visit to understand investment strategy and process of a fund, track records of the general partner, industry experience of the key investment personnel, client reporting services offered and the availability of LP advisory board seats. They worked collaboratively to assess the external manager's ESG approaches on the risk mitigation in its target investment market (i.e. the emerging market) and requested for additional documentation on ESG (i.e. PRI reports, GRESB assessments).
Outcomes	The AIMCo Infrastructure team identified key risks prior to the manager appointment and mitigated these risks by negotiating favourable terms and adding provision in LPA.

We are not able to provide examples

SAM 09.2 Additional information.

As part of the investment management agreement, external managers across different asset classes are not allowed to invest in certain excluded industries, such as the tobacco industry. If they inadvertently were to invest in an excluded company, our Compliance department would flag it, and the external manager would be required to sell the holdings in the entity by end of the following quarter. This incident and the underlying reasons for it would then be reported internally in order to avoid future occurrences. The external manager must regularly check with Compliance to ensure that any entity not previously flagged on the exclusions list has not entered the exclusions list by fulfilling the criteria for the exclusions list.

Governance aspects feature prominently in our considerations for selecting an external manager, and generally only managers with a sound management record are considered. For example, AIMCo's Timber team regularly conducts meetings with selected managers and they receive Operations Reports covering issues such as Workplace Safety, Environmental Protection, Human Resources, Community Involvement and Consultation to ensure best practice standards are fully implemented and upheld. Similarly, Private and Public Equity external managers are expected to follow established country and industry ESG regulations.

LEI 01	Mandatory	Core Assessed	PRI 1				
LEI 01.1	Indicate (1) which ESG incorporation strategy and/or combination of strategies you apply to your actively managed listed equities and (2) the breakdown of your actively managed listed equities by strategy or combination of strategies (+/- 5%)						
	<input checked="" type="checkbox"/> Screening alone (i.e. not combined with any other strategies) <table border="1"> <tr> <td>Percentage of active listed equity to which the strategy is applied</td> <td>57%</td> </tr> </table> <input type="checkbox"/> Thematic alone (i.e. not combined with any other strategies) <input type="checkbox"/> Integration alone (i.e. not combined with any other strategies) <input checked="" type="checkbox"/> Screening and integration strategies <table border="1"> <tr> <td>Percentage of active listed equity to which the strategy is applied</td> <td>43%</td> </tr> </table> <input type="checkbox"/> Thematic and integration strategies <input type="checkbox"/> Screening and thematic strategies <input type="checkbox"/> All three strategies combined <input type="checkbox"/> We do not apply incorporation strategies			Percentage of active listed equity to which the strategy is applied	57%	Percentage of active listed equity to which the strategy is applied	43%
Percentage of active listed equity to which the strategy is applied	57%						
Percentage of active listed equity to which the strategy is applied	43%						
LEI 01.2	Describe your organisation's approach to incorporation and the reasons for choosing the particular ESG incorporation strategy/strategies.						
	ESG screening best satisfies the goals and criteria of AIMCo's exclusions guidelines. ESG screening ensures that AIMCo complies with a client's mandated exclusion which pertains to investments in the tobacco industry and with federal regulations pertaining to investments in cluster munitions manufacturers, and to investments as prescribed by the Special Economic Measures Act and the United Nations Act. Screening is implemented throughout our internally managed active quantitative strategies.						
LEI 01.3	If assets are managed using a combination of ESG incorporation strategies, briefly describe how these combinations are used. [Optional]						
	For certain portfolios we apply active fundamental strategies, including an evaluation of the quality of a company's governance in tandem with financial metrics. This may include an evaluation of environmental and to a lesser extent, social metrics, depending on the industry.						
LEI 02	Voluntary	Additional Assessed	PRI 1				
LEI 02.1	Indicate what ESG information you use in your ESG incorporation strategies and who provides this information.						
	Private						
LEI 02.2	Provide a brief description of the ESG information used, highlighting any different sources of information across your ESG incorporation strategies.						
	Private						
LEI 02.3	Indicate if you incentivise brokers to provide ESG research.						
	Private						
LEI 02.5	Additional information. [Optional]						
	Private						
LEI 03	Voluntary	Additional Assessed	PRI 1				
LEI 03.1	Indicate if your organisation has a process through which information derived from ESG engagement and/or (proxy) voting activities is made available for use in investment decision-making.						
	Private						
LEI 03.2	Additional information. [Optional]						
	Private						
LEI 04	Mandatory	Descriptive	PRI 1				
LEI 04.1	Indicate and describe the type of screening you apply to your internally managed active listed equities.						
	<input checked="" type="checkbox"/> Negative/exclusionary screening <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Product <input checked="" type="checkbox"/> Activity <input checked="" type="checkbox"/> Sector <input checked="" type="checkbox"/> Country/geographic region <input type="checkbox"/> Environmental and social practices and performance <input type="checkbox"/> Corporate governance <table border="1"> <thead> <tr> <th>Description</th> </tr> </thead> <tbody> <tr> <td>All internally managed listed equity investments undergo negative/exclusionary screening in accordance with the AIMCo Exclusions Guidelines which covers Excluded Industries and Statutory Investment Restrictions. AIMCo does not invest directly in tobacco manufacturers, or in manufacturers of landmines, nuclear explosive devices or cluster munitions, in accordance with client investment protocols, statutory investment restrictions, and international treaties signed by Canada. AIMCo does not invest in high risk geographic areas excluded by the Special Economic Measures Act (Canada) and is subject to the United Nations Act (Canada).</td> </tr> </tbody> </table> <input type="checkbox"/> Positive/best-in-class screening <input type="checkbox"/> Norms-based screening			Description	All internally managed listed equity investments undergo negative/exclusionary screening in accordance with the AIMCo Exclusions Guidelines which covers Excluded Industries and Statutory Investment Restrictions. AIMCo does not invest directly in tobacco manufacturers, or in manufacturers of landmines, nuclear explosive devices or cluster munitions, in accordance with client investment protocols, statutory investment restrictions, and international treaties signed by Canada. AIMCo does not invest in high risk geographic areas excluded by the Special Economic Measures Act (Canada) and is subject to the United Nations Act (Canada).		
Description							
All internally managed listed equity investments undergo negative/exclusionary screening in accordance with the AIMCo Exclusions Guidelines which covers Excluded Industries and Statutory Investment Restrictions. AIMCo does not invest directly in tobacco manufacturers, or in manufacturers of landmines, nuclear explosive devices or cluster munitions, in accordance with client investment protocols, statutory investment restrictions, and international treaties signed by Canada. AIMCo does not invest in high risk geographic areas excluded by the Special Economic Measures Act (Canada) and is subject to the United Nations Act (Canada).							
LEI 04.2	Describe how the screening criteria are established, how often the criteria are reviewed and how you notify clients and/or beneficiaries when changes are made.						
	<p>ESG screening parameters are broadly established based on investment restrictions stipulated in clients' statements of investment policy and government regulations. Specific screening criteria for industries are created by the RI team and approved by the RI committee internally. These criteria help inform this portion of the Exclusions List.</p> <p>The Exclusions Guidelines for industries is updated quarterly. Statutory Investment Restrictions criteria are obtained from the federal government which inform updates to the Exclusions Guidelines on a rolling basis.</p> <p>Tobacco, cluster munitions, and federally mandated screens are implemented as part of our internal fundamental screening process. AIMCo regularly meets with clients to give investment updates, including updates with respect to investment exclusions.</p>						
LEI 05	Mandatory	Core Assessed	PRI 1				
LEI 05.1	Indicate which processes your organisation uses to ensure screening is based on robust analysis.						
	<input checked="" type="checkbox"/> Comprehensive ESG research is undertaken or sourced to determine companies' activities and products. <input checked="" type="checkbox"/> Companies are given the opportunity by you or your research provider to review ESG research on them and correct inaccuracies <input checked="" type="checkbox"/> External research and data used to identify companies to be excluded/included is subject to internal audit by ESG/RI staff, the internal audit function or similar						

- Third-party ESG ratings are updated regularly to ensure that portfolio holdings comply with fund policies.
 - A committee or body with representatives independent of the individuals who conduct company research reviews some or all screening decisions
 - A periodic review of the quality of the research undertaken or provided is carried out
 - Review and evaluation of external research providers
 - Other, specify
- The RI Committee reviews and approves screening criteria whereas Compliance and RI teams collaborate to implement screening protocols to be applied across all asset classes.
- None of the above

LEI 05.2 Indicate the proportion of your actively managed listed equity portfolio that is subject to comprehensive ESG research as part your ESG screening strategy.

- <10%
- 10-50%
- 51-90%
- >90%

LEI 05.3 Indicate how frequently third party ESG ratings are updated for screening purposes.

- Quarterly or more frequently
- Bi-annually
- Annually
- Less frequently than annually

LEI 05.4 Indicate how frequently you review internal research that builds your ESG screens.

- Quarterly or more frequently
- Bi-annually
- Annually
- Less frequently than annually

LEI 06 Voluntary Additional Assessed PRI 1

LEI 06.1 Indicate which processes your organisation uses to ensure fund criteria are not breached

Private

LEI 06.2 If breaches of fund screening criteria are identified - describe the process followed to correct those breaches.

Private

LEI 06.3 Additional information.[Optional]

Private

LEI 08 Mandatory Core Assessed PRI 1

LEI 08.1 Indicate which ESG factors you systematically research as part of your investment analysis and the proportion of actively managed listed equity portfolios that is impacted by this analysis.

ESG issues	Proportion impacted by analysis
Environmental	<p style="text-align: center;">Environmental</p> <input type="radio"/> <10% <input type="radio"/> 10-50% <input checked="" type="radio"/> 51-90% <input type="radio"/> >90%
	<p style="text-align: center;">Social</p> <input type="radio"/> <10% <input type="radio"/> 10-50% <input checked="" type="radio"/> 51-90% <input type="radio"/> >90%
Corporate Governance	<p style="text-align: center;">Corporate Governance</p> <input type="radio"/> <10% <input type="radio"/> 10-50% <input type="radio"/> 51-90% <input checked="" type="radio"/> >90%

LEI 08.2 Additional information. [Optional]

The extent to which ESG issues are reviewed by portfolio managers for active strategies depends on the strategy for the portfolio, and on the characteristics of the sector/industry of the investment. Certain portfolios are highly focused on the governance aspects of potential and current investments, and may specifically target companies whose financial and governance fundamentals appear out of sync. Other portfolios (such as those involving mining companies) will systematically evaluate environmental factors. Active fundamental strategies will review ESG factors to the extent they may be considered material to the investment decision. Portfolio managers may be contacted by RI staff regarding an upcoming vote or significant occurrence such as a merger or acquisition. In terms of the proxy voting process, AIMCo's proxy voting guidelines include ESG considerations and ESG factors are covered in the proxy research papers we use from two different service providers.

LEI 09 Voluntary Additional Assessed PRI 1

LEI 09.1 Indicate which processes your organisation uses to ensure ESG integration is based on a robust analysis.

Private

LEI 09.5 Describe how ESG information is held and used by your portfolio managers.

Private

LEI 09.6 Additional information.[Optional]

LEI 10	Mandatory to Report, Voluntary to Disclose	Core Assessed	PRI 1
LEI 10.1	Indicate which aspects of investment analysis you integrate material ESG information into.		
Private			
LEI 10.5	Additional information.		
Private			
LEI 12	Voluntary	Descriptive	PRI 1
LEI 12.1	Indicate how your ESG incorporation strategies have influenced the composition of your portfolio(s) or investment universe.		
Private			
LEI 12.2	Additional information.[Optional]		
Private			
LEI 13	Voluntary	Additional Assessed	PRI 1
LEI 13.1	Indicate whether your organisation measures how your approach to responsible investment in Listed Equity has affected your portfolio's financial and/or ESG performance.		
Private			
LEI 13.2	Describe how you are able to determine these outcomes.		
Private			
LEI 14	Voluntary	Descriptive	PRI 1
LEI 14.1	Provide examples of ESG issues that affected your investment view and/or performance during the reporting year.		
Private			
LEI 14.2	Additional information.[Optional]		
Private			

LEA 01	Mandatory	Core Assessed	PRI 2
LEA 01.1	Indicate whether your organisation has a formal engagement policy.		
<input checked="" type="checkbox"/> Yes			
LEA 01.2	Attach or provide a URL to your engagement policy.		
<input type="checkbox"/> Attachment provided: <input checked="" type="checkbox"/> URL provided: http://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/AIMCo%20Engagement%20Guidelines%20June%202013.pdf			
LEA 01.3	Indicate what your engagement policy covers:		
<input type="checkbox"/> Conflicts of interest <input type="checkbox"/> Insider information <input type="checkbox"/> Alignment with national stewardship code requirements <input type="checkbox"/> Due diligence and monitoring process <input checked="" type="checkbox"/> Prioritisation of engagements <input checked="" type="checkbox"/> Transparency of engagement activities <input checked="" type="checkbox"/> Environmental factors <input checked="" type="checkbox"/> Social factors <input checked="" type="checkbox"/> Governance factors <input checked="" type="checkbox"/> Other, describe <p>Our engagement guidelines outline potential choices, processes, and escalation strategies.</p> <input type="checkbox"/> None of the above			
LEA 01.4	Provide a brief overview of your organization's approach to engagement		
<p>AIMCo invests funds on behalf of public sector clients within the province of Alberta. Engagement with investee firms is intended to positively impact investee firms' ESG processes in order to protect and enhance long term, risk-adjusted investment returns for AIMCo clients. ESG focus areas are approved by AIMCo's Responsible Investment Committee. AIMCo also views engagements as a two-way communication process and dialogue with the company, to enable AIMCo to better understand the company's perspective while promoting the shareholder perspective. AIMCo generally prefers to engage with a firm rather than divest, that is to exercise 'voice over exit,' so as not to reduce the investable universe, and to contribute to firms' progress. Engagement is intended to be both proactive and reactive, conducted individually or collaboratively with peers as deemed appropriate.</p> <input type="checkbox"/> No			

LEA 02	Mandatory	Gateway	PRI 1,2,3
LEA 02.1	Indicate the method of engagement, giving reasons for the interaction.		
	Type of engagement	Reason for interaction	
	Individual/Internal staff engagements	<input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> Other, specify <p>To better understand issuers' perspectives, promote shareholder rights and encourage the company to act its own best long term interests</p> <input type="checkbox"/> We do not engage via internal staff	
	Collaborative engagements	<input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> Other, specify <p>To enhance issuer and investor accountability and to effect positive change at both the company and market level</p> <input type="checkbox"/> We do not engage via collaborative engagements	
	Service provider engagements	<input type="checkbox"/> To influence corporate practice (or identify the need to influence) on ESG issues <input type="checkbox"/> To encourage improved/increased ESG disclosure <input type="checkbox"/> Other, specify <input checked="" type="checkbox"/> We do not engage via service providers <p>Please specify why your organisation does not engage via service providers.</p> <p>AIMCo has not engaged service providers to carry out engagements to date for several reasons, namely due to costs, and we consider engagements as opportunities to understand an issuer's perspective on ESG issues as well as developing rapport.</p>	

LEA 03	Mandatory	Core Assessed	PRI 2
LEA 03.1	Indicate whether your organisation has a formal process for identifying and prioritising engagement activities carried out by internal staff.		
<input checked="" type="checkbox"/> Yes			
LEA 03.2	Describe the criteria used to identify and prioritise engagement activities carried out by internal staff.		
<input checked="" type="checkbox"/> Geography / market of the companies <input checked="" type="checkbox"/> Materiality of ESG factors <input checked="" type="checkbox"/> Systemic risks to global portfolios <input checked="" type="checkbox"/> Exposure (holdings) <input checked="" type="checkbox"/> In response to ESG impacts that have already occurred. <input type="checkbox"/> As a response to divestment pressure <input type="checkbox"/> Consultation with clients/beneficiaries <input checked="" type="checkbox"/> Consultation with other stakeholders (i.e. NGOs, trade unions etc.)			

- As a follow-up from a voting decision
- Client request
- Other, describe

other description

Return on Investment; Probability of Success/Influence; Costs of Engagement; Holding Period

No

LEA 03.3 Additional information. [Optional]

Additional criteria for identifying and prioritizing engagements include the following:

- ESG Focus areas: Climate change, worker safety and human rights across the supply chain, and shareholder rights, including say-on-pay, executive compensation aligned with performance and women on boards.
- Return on Investment (ROI): Preservation and enhancement of risk-adjusted returns and long-term shareholder or equity value.
- Probability of Success or Influence: Likelihood of success and/or possible influence of co-investors and public opinion
- Costs of Engagement: Transaction costs and/or the availability of AIMCo resources to initiate and monitor the engagement.
- Holding Period: Expected turnover influences the potential efficacy of the engagement process.

LEA 04 Mandatory Core Assessed PRI 2

LEA 04.1 Indicate if you define specific objectives for your engagement activities.

- Yes
 - Yes, for all engagement activities
 - Yes, for the majority of engagement activities
 - Yes, for a minority of engagement activities
- We do not define specific objectives for engagement activities carried out by internal staff.

LEA 04.2 Indicate if you monitor the actions that companies take during and following your engagements activities carried out by internal staff.

- Yes
 - Yes, in all cases
 - Yes, in the majority of cases
 - Yes, in the minority of cases
- We do not monitor the actions that companies take following engagement activities carried out by internal staff.

LEA 04.3 Indicate if you do any of the following to monitor and evaluate the progress of your engagement activities carried out by internal staff.

- Define timelines for your objectives
- Tracking and/or monitoring progress against defined objectives
- Tracking and or monitoring progress of actions taken when original objectives are not met
- Revisit and, if necessary, revise objectives on continuous basis
- Other, please specify

other description

Recording engagement outcomes for internal communication and training purposes

- We do not monitor and evaluate progress of engagement activities carried out by internal staff

LEA 04.4 Additional information. [Optional]

AIMCo's Responsible Investment Committee (RIC) is chaired by our CEO, and is comprised of our CIO and senior executives from all asset classes, as well as from Legal, Compliance, Risk, Communications and Client Relations. The RIC approves and reviews AIMCo's ESG focus areas annually. AIMCo's ESG focus areas define the scope of our engagement objectives in all cases. In 2017, RIC approved a letter writing strategy in which we write up to 10 issuers per quarter on the topics of women on boards and say-on-pay. In addition, we are involved in a collaborative engagement with peers with respect to Canadian issuers who have not adopted say-on-pay. RI engages with companies in person and via conference calls on the topics of climate change and supply chain risk, including human rights and worker safety.

AIMCo views engagement as a journey, not a destination. A successful engagement leaves the door open to continued engagement. Companies are added to our proxy voting watchlists and monitored for ESG upgrades/downgrades and incidents.

AIMCo tracks issuer progress against ESG defined objectives for specific ESG engagement campaigns, such as the rate of progress for women on boards, and rates of adoption of say-on-pay on the ballot and improvements made to executive compensation structure.

LEA 05 Mandatory Core Assessed PRI 2

LEA 05.1 Indicate whether your organisation has a formal process for identifying and prioritising collaborative engagements

- Yes

LEA 05.2 Describe the criteria used to identify and prioritise collaborative engagements.

- Potential to learn from other investors
- Ability to add value to the collaboration
- Geography / market of the companies targeted by the collaboration
- Materiality of ESG factors addressed by the collaboration
- Systemic risks to global portfolios addressed by the collaboration
- Exposure (holdings) to companies targeted by the collaboration
- In reaction to ESG impacts addressed by the collaboration that have already occurred.
- As a response to divestment pressure
- As a follow-up from a voting decision
- Consultation with clients/beneficiaries
- Consultation with other stakeholders (i.e. NGOs, trade unions etc.)
- Other, describe

No

LEA 05.3 Additional information [Optional]

The Responsible Investment community in Canada is a collaborative one, and we often act in concert to advocate for best corporate and corporate governance practices such as say-on-pay. We view select collaborative engagements, within our ESG focus areas, as an important tool to communicate the institutional shareholder perspective in order to effect positive change over the long term. Any decision to be part of a collaborative engagement is based on the experience and knowledge of our team members to provide value add to the collaboration such as the PRI Methane Engagement Advisory Committee, and say-on-pay.

LEA 06 Mandatory Core Assessed PRI 2

LEA 06.1 Indicate if you define specific objectives for your engagement activities carried out collaboratively.

- Yes
 - Yes, for all engagement activities
 - Yes, for the majority of engagement activities
 - Yes, for a minority of engagement activities
- We do not define specific objectives for engagement activities carried out collaboratively.

LEA 06.2 Indicate if you monitor the actions companies take during and following your collaborative engagements.

- Yes
 - Yes, in all cases
 - Yes, in the majority of cases
 - Yes, in the minority of cases
- We do not monitor the actions that companies take following engagement activities carried out collaboratively

LEA 06.3 Indicate if you do any of the following to monitor and evaluate the progress of your collaborative engagement activities.

- Define timelines for your objectives
- Tracking and/or monitoring progress against defined objectives
- Tracking and or monitoring progress of actions taken when original objectives are not met
- Revisit and, if necessary, revise objectives on continuous basis
- Other, please specify

other description
Recording engagement outcomes for internal communication and training purposes

We do not monitor and evaluate progress of engagement activities carried out by internal staff

LEA 06.4 Additional information. [Optional]

AIMCo joined a collaborate engagement with Canadian institutional investor peers requesting Canadian issuers to adopt say-on-pay. For issuers with no say-on-pay that three or more peers hold in common, a dialogue is requested.

This particular collaborative engagement features a two step process. A letter is first sent to the issuer requesting dialogue on say-on-pay. If the issuer refuses to add say-on-pay on the ballot without a sufficient rationale, AIMCo will file a shareholder proposal along with peers. The objective of the engagements is to create a level playing field for issuers and to enhance shareholder voice.

LEA 09 Voluntary Additional Assessed PRI 1,2

LEA 09.1 Indicate if insights gained from your engagements are shared with your internal or external investment managers.

Type of engagement	Insights shared
Individual/Internal staff engagements	<input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No
Collaborative engagements	<input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No

LEA 09.2 Additional information. [Optional]

Minutes are recorded and key insights from RI-ed engagements are shared internally with relevant PMs, should the issuer fail to adequately address ESG issues and concerns. In 2017, the RI team shared engagement insights during an internal staff training event.

LEA 10 Mandatory Gateway PRI 2

LEA 10.1 Indicate if you track the number of your engagement activities.

Type of engagement	Tracking engagements
Individual / Internal staff engagements	<input checked="" type="checkbox"/> Yes, we track the number of our engagements in full <input type="checkbox"/> Yes, we partially track the number of our engagements <input type="checkbox"/> We do not track
Collaborative engagements	<input checked="" type="checkbox"/> Yes, we track the number of our engagements in full <input type="checkbox"/> Yes, we partially track the number of our engagements <input type="checkbox"/> We do not track and cannot estimate our engagements

LEA 10.2 Additional information. [OPTIONAL]

AIMCo tracks the number of engagements led by RI staff, and by PMs in our high conviction equities who also routinely engage with companies on ESG related issues.

LEA 11 Mandatory to Report, Voluntary to Disclose Core Assessed PRI 2

LEA 11.1 Indicate the amount of your listed equities portfolio with which your organisation engaged during the reporting year.

Private

LEA 11.2	Indicate the proportion of engagements that involved multiple, substantive and detailed discussions or interactions with a company during the reporting year relating to ESG issue.
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Private

LEA 11.3	Indicate the percentage of your collaborative engagements for which you were a leading organisation during the reporting year.
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Private

LEA 11.5	Additional information. [Optional]
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Private

LEA 12	Voluntary	Additional Assessed	PRI 2
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LEA 12.1	Indicate which of the following your engagement involved.
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Private

LEA 12.2	Additional information. [Optional]
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Private

LEA 13	Voluntary	Descriptive	PRI 2
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LEA 13.1	Indicate whether you track the number of cases during the reporting year in which a company changed its practices, or made a formal commitment to do so, following your organisation's and/or your service provider's engagement activities.
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Private

LEA 13.3	Additional information [Optional].
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Private

LEA 14	Voluntary	Additional Assessed	PRI 2
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LEA 14.1	Provide examples of the engagements that your organisation or your service provider carried out during the reporting year.
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Private

LEA 14.2	Additional information. [Optional]
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Private

LEA 15	Mandatory	Core Assessed	PRI 1,2,3
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LEA 15.1	Indicate whether your organisation has a formal voting policy.
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Yes

LEA 15.2	Indicate what your voting policy covers:
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- Conflicts of interest
- Share blocking
- Securities lending process
- Prioritisation of voting activities
- Decision making processes
- Environmental factors
- Social factors
- Governance factors
- Filing/co-filing resolutions
- Extraordinary meetings
- Regional voting practices
- Transparency of proxy voting activities
- Company dialogue pre/post vote
- Other, describe

other description

Record keeping

None of the above

LEA 15.3	Attach or provide a URL to your voting policy. [Optional]
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Files: link, link

LEA 15.4	Provide a brief overview of your organization's approach to (proxy) voting.
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The proxy voting process is an important tool to maximize and protect stakeholder value while demonstrating shareholder voice. AIMCo enhances shareholder value by exercising proxy voting rights on behalf of our clients at annual general meetings of publicly traded companies around the globe. Voting decisions are principles-based and take unique circumstances and local markets into account. AIMCo takes a rigorous, hands-on approach to ensure proxy voting processes are robust and promote good corporate governance practices.

Key Components:

Proxy Voting Guidelines - AIMCo has developed our own bespoke Proxy Voting and Corporate Governance Guidelines and voting rationale. We do not rely upon or defer to any one proxy service provider but review voting recommendations from multiple sources.

Thorough, Robust Analysis - Every ballot item is reviewed and approved by AIMCo professionals.

Thoughtful, Considered Approach - AIMCo's Guidelines provide a set of guiding principles, but our processes require the analysis to be contextual and responsive rather than formulaic.

Responsive - Proxy voting issues and trends are always evolving. To ensure our practices are kept up to date, the Responsible Investment team regularly updates and brings the Guidelines to the Responsible Investment Committee for review and approval.

No

LEA 16	Mandatory	Descriptive	PRI 2
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LEA 16.1	Indicate how you typically make your (proxy) voting decisions.
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Approach
<input type="radio"/> We use our own research or voting team and make voting decisions without the use of service providers. <input checked="" type="checkbox"/> We hire service provider(s) that make voting recommendations or provide research that we use to inform our voting decisions.
Based on
<input type="radio"/> the service provider voting policy signed off by us <input checked="" type="checkbox"/> our own voting policy <input type="radio"/> our clients' requests or policy <input type="radio"/> other, explain
<input type="radio"/> We hire service provider(s) that make voting decisions on our behalf, except for some pre-defined scenarios for which we review and make voting decisions. <input type="radio"/> We hire service provider(s) that make voting decisions on our behalf.

LEA 16.2 Provide an overview of how you ensure your voting policy is adhered to, giving details of your approach when exceptions to the policy are made (if applicable).

AIMCo's Responsible Investment team reviews and approves every ballot item to ensure consistency and exercise shareholder voice. Specific ballot items such as say-on-pay and Shareholder Proposals are flagged for additional analysis and review. The Responsible Investment team considers multiple research inputs and conducts further research for key ballot items. In addition, the Responsible Investment team confers with relevant portfolio managers prior to voting for companies on AIMCo's Strategic Watch List or on particularly unique or contentious issues.

LEA 18	Voluntary	Descriptive	PRI 2
LEA 18.1	Describe your involvement in any projects to improve the voting trail and/or to obtain vote confirmation .		
Private			
LEA 18.2	Additional information. [OPTIONAL]		
Private			

LEA 19	Voluntary	Additional Assessed	PRI 2
LEA 19.1	Indicate if your organisation has a securities lending programme.		
Private			

LEA 20	Mandatory	Core Assessed	PRI 2
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LEA 20.1 Indicate whether you or the service providers acting on your behalf raise any concerns with companies ahead of voting

Yes, in most cases
 Sometimes, in the following cases:

- Votes for selected markets
- Votes relating to certain ESG issues
- Votes for significant shareholdings
- Votes for companies we are engaging with
- On request by clients
- Other

Companies in our high conviction portfolios are tracked for ESG upgrades and downgrades which may prompt an engagement on ESG issues prior to a vote.

Neither we nor our service provider raise concerns with companies ahead of voting

LEA 20.2 Indicate whether you and/or the service provider(s) acting on your behalf, communicate the rationale to companies, when , you abstain or vote against management recommendations.

Yes, in most cases
 Sometimes, in the following cases.
 We do not communicate the rationale to companies
 Not applicable because we and/or our service providers do not abstain or vote against management recommendations

LEA 20.3 Additional information. [Optional]

After AIMCo approves a proxy ballot, Glass Lewis executes the vote on our behalf. Through this process the issuer is notified of AIMCo's voting stance. If AIMCo abstains, votes against management recommendations, or has reservations about a management proposal then AIMCo will include a vote note, explaining the rationale for the voting decision. If AIMCo is contacted about our vote rationale after the vote, we may engage with the company as appropriate and further explain why a vote was cast in a particular manner.

LEA 21	Mandatory	Core Assessed	PRI 2
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LEA 21.1 For listed equities where you and/or your service provider have the mandate to issue (proxy) voting instructions, indicate the percentage of votes cast during the reporting year.

We do track or collect this information

Votes cast (to the nearest 1%)
98%
Specify the basis on which this percentage is calculated
<input type="radio"/> of the total number of ballot items on which you could have issued instructions <input checked="" type="checkbox"/> of the total number of company meetings at which you could have voted <input type="radio"/> of the total value of your listed equity holdings on which you could have voted

LEA 21.2 Explain your reason(s) for not voting certain holdings

- Shares were blocked
- Notice, ballots or materials not received in time
- Missed deadline
- Geographical restrictions (non-home market)
- Cost
- Conflicts of interest

- Holdings deemed too small
 - Administrative impediments (e.g., power of attorney requirements, ineligibility due to participation in share placement)
 - On request by clients
 - Other
- We do not track or collect this information

LEA 22	Mandatory	Additional Assessed	PRI 2
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LEA 22.1 Indicate if you track the voting instructions that you and/or your service provider on your behalf have issued.

Yes, we track this information

LEA 22.2 Of the voting instructions that you and/or third parties on your behalf issued, indicate the proportion of ballot items that were:

Voting instructions	Breakdown as percentage of votes cast
For (supporting) management recommendations	84.67%
Against (opposing) management recommendations	12.03%
Abstentions	3.30%

LEA 22.3 Describe the actions you take in relation to voting against management recommendations.

AIMCo releases our voting stance and voting rationale as soon as the vote has passed, so as not to unduly influence other shareholders' voting positions. Certain types of votes are recorded for the purposes of identifying companies for further engagement later, such as companies with no women on their board.

No, we do not track this information

LEA 23	Voluntary	Descriptive	PRI 2
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LEA 23.1 Indicate if your organisation directly or via a service provider filed or co-filed any ESG shareholder resolutions during the reporting year.

Private

LEA 23.6 Describe whether your organisation reviews ESG shareholder resolutions filed by other investors.

Private

LEA 23.7 Additional information. [Optional]

Private

LEA 24	Voluntary	Descriptive	PRI 2
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LEA 24.1 Provide examples of the (proxy) voting activities that your organisation and/or service provider carried out during the reporting year.

Private

LEA 24.2 Additional information. [Optional]

Private

FI 01.1 Indicate 1) Which ESG incorporation strategy and/or combination of strategies you apply to your actively managed fixed income investments; and 2) The proportion (+/- 5%) of your total actively managed fixed income investments each strategy applies to.

SSA	Screening alone	0
	Thematic alone	0
	Integration alone	0
	Screening + integration strategies	100
	Thematic + integration strategies	0
	Screening + thematic strategies	0
	All three strategies combined	0
	No incorporation strategies applied	0
Corporate (financial)	Screening alone	0
	Thematic alone	0
	Integration alone	0
	Screening + integration strategies	100
	Thematic + integration strategies	0
	Screening + thematic strategies	0
	All three strategies combined	0
	No incorporation strategies applied	0
Corporate (non- financial)	Screening alone	0
	Thematic alone	0
	Integration alone	0
	Screening + integration strategies	100
	Thematic + integration strategies	0
	Screening + thematic strategies	0
	All three strategies combined	0
	No incorporation strategies applied	0

Securitised	0	Screening alone
	0	Thematic alone
	0	Integration alone
	100	Screening + integration strategies
	0	Thematic + integration strategies
	0	Screening + thematic strategies
	0	All three strategies combined
	0	No incorporation strategies applied

FI 01.2 Describe your reasons for choosing a particular ESG incorporation strategy and how combinations of strategies are used.

ESG screening was chosen as it best satisfies the goals and criteria contained within each client's respective statement of investment policy and goals. This document may include geographic or investment grade restrictions. In addition, exclusionary screens are applied to all assets under management as required by AIMCo's Exclusions Guidelines.

AIMCo integrates the analysis of ESG issues into security selection and portfolio construction. Internal credit analysts conduct research and flag ESG issues through a bottom-up analytical approach and access to management.

FI 02 Mandatory to Report, Voluntary to Disclose Core Assessed PRI 1

- FI 02.1** Indicate which ESG factors you systematically research as part of your analysis on issuers.
Private
- FI 02.2** Indicate what format your ESG information comes in and where you typically source it
Private
- FI 02.3** Provide a brief description of the ESG information used, highlighting any differences in sources of information across your ESG incorporation strategies.
Private
- FI 02.4** Additional information. [Optional]
Private

FI 03 Mandatory Additional Assessed PRI 1

- FI 03.1** Indicate how you ensure that your ESG research process is robust:
 - Issuers are given the opportunity by you or your research provider to review ESG research on them and correct inaccuracies
 - Issuer information and/or ESG ratings are updated regularly to ensure ESG research is accurate
 - Internal audits of ESG research are undertaken in a systematic way
 - ESG analysis is benchmarked for quality against other providers
 - Other, specify
 - specify description
 - Our internal credit research captures ESG and such issues are flagged through a bottom-up analytical approach and access to management.
 - None of the above
- FI 03.2** Describe how your ESG information or analysis is shared among your investment team.
 - ESG information is held within a centralised database and is accessible to all investment staff
 - ESG information is a standard item on all individual issuer summaries, 'tear sheets', 'dashboards' or similar documents
 - Investment staff are required to discuss ESG information on issuers as a standard item during investment committee meetings
 - Records capture how ESG information and research was incorporated into investment decisions
 - Other, specify
 - Our internal research is independently produced by each analyst and is proprietary.
 - None of the above
- FI 03.3** Additional information. [Optional]

We employ a holistic approach to ESG. Analysts conduct research and will be the first to detect material ESG issues. They bring these issues to the attention of PMs, with an informed opinion as to the severity of the matter and whether this is sufficient to affect our investment thesis.

FI 04 Mandatory Gateway PRI 1

- FI 04.1** Indicate the type of screening you conduct.

	SSA	Corporate (financial)	Corporate (non-financial)	Securitised
Negative/exclusionary screening	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Positive/best-in-class screening	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Norms-based screening	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- FI 04.2** Describe your approach to screening for internally managed active fixed income

All internally managed active corporate fixed income investments undergo screening in accordance with the AIMCo Exclusions Guidelines which covers Excluded Industries and Statutory Investment Restrictions. AIMCo does not invest directly in tobacco manufacturers, or in manufacturers of landmines, nuclear explosive devices or cluster munitions, in accordance with client investment protocols, statutory investment restrictions, and international treaties signed by Canada. AIMCo does not invest in high risk geographic areas excluded by the Special

Economic Measures Act (Canada) and is subject to the United Nations Act (Canada).

Investments that do not meet investment grade criteria are naturally excluded from the investment universe in alignment with client statement(s) of investment policy and goals.

FI 05	Mandatory	Descriptive	PRI 1				
FI 05.1	Indicate why you conduct negative screening.						
	SSA	<input checked="" type="checkbox"/> For legal reasons <input type="checkbox"/> For non-legal reasons					
	Corporate (fin)	<input checked="" type="checkbox"/> For legal reasons <input checked="" type="checkbox"/> For non-legal reasons					
	Corporate (non-fin)	<input checked="" type="checkbox"/> For legal reasons <input checked="" type="checkbox"/> For non-legal reasons					
	Securitised	<input checked="" type="checkbox"/> For legal reasons <input checked="" type="checkbox"/> For non-legal reasons					
FI 05.2	Describe your approach to ESG-based negative screening of issuers from your investable universe.						
	<p>All internally managed active corporate fixed income investments undergo Negative/exclusionary screening in accordance with the AIMCo Exclusions Guidelines which covers Excluded Industries and Statutory Investment Restrictions. AIMCo does not invest directly in tobacco manufacturers, or in manufacturers of landmines, nuclear explosive devices or cluster munition, in accordance with client investment protocols, statutory investment restrictions, and international treaties signed by Canada. AIMCo does not invest in high risk geographic areas excluded by the Special Economic Measures Act (Canada) and is subject to the United Nations Act (Canada).</p>						
FI 06	Voluntary	Additional Assessed	PRI 1				
FI 06.1	Provide examples of how ESG factors are included in your screening criteria.						
	Private						
FI 06.2	Additional information.						
	Private						
FI 07	Mandatory	Core Assessed	PRI 1				
FI 07.1	Indicate which systems your organisation has to ensure that fund screening criteria are not breached in fixed income investments.						
	<table border="1"> <thead> <tr> <th>Type of screening</th> <th>Checks</th> </tr> </thead> <tbody> <tr> <td>Negative/exclusionary screening?</td> <td> <input checked="" type="checkbox"/> Checks are performed to ensure that issuers meet screening criteria <input checked="" type="checkbox"/> We ensure that data used for the screening criteria is updated at least every 2 years. <input checked="" type="checkbox"/> Automated IT systems prevent our portfolio managers from investing in excluded issuers or bonds that do not meet screening criteria <input type="checkbox"/> Audits of fund holdings are undertaken regularly by internal audit or compliance functions <input type="checkbox"/> Other, specify <input type="checkbox"/> None of the above </td> </tr> </tbody> </table>	Type of screening	Checks	Negative/exclusionary screening?	<input checked="" type="checkbox"/> Checks are performed to ensure that issuers meet screening criteria <input checked="" type="checkbox"/> We ensure that data used for the screening criteria is updated at least every 2 years. <input checked="" type="checkbox"/> Automated IT systems prevent our portfolio managers from investing in excluded issuers or bonds that do not meet screening criteria <input type="checkbox"/> Audits of fund holdings are undertaken regularly by internal audit or compliance functions <input type="checkbox"/> Other, specify <input type="checkbox"/> None of the above		
Type of screening	Checks						
Negative/exclusionary screening?	<input checked="" type="checkbox"/> Checks are performed to ensure that issuers meet screening criteria <input checked="" type="checkbox"/> We ensure that data used for the screening criteria is updated at least every 2 years. <input checked="" type="checkbox"/> Automated IT systems prevent our portfolio managers from investing in excluded issuers or bonds that do not meet screening criteria <input type="checkbox"/> Audits of fund holdings are undertaken regularly by internal audit or compliance functions <input type="checkbox"/> Other, specify <input type="checkbox"/> None of the above						
FI 07.2	Additional information. [Optional]						
	<p>If a breach of fund screening criteria is identified, the AIMCo compliance department would be notified. The investment would have to be exited by the end of the same fiscal quarter for Restricted Industries and immediately for Statutory Investment Restrictions.</p>						
FI 11	Mandatory	Descriptive	PRI 1				
FI 11.1	Describe your approach to integrating ESG into traditional financial analysis.						
	<p>The AIMCo Fixed Income team integrates the analysis of ESG issues into security selection and portfolio construction. Internal credit analysts evaluate ESG issues (independent of rating agencies). Our internal credit research will capture ESG factors and such issues are flagged through a bottom-up analytical approach and access to management. ESG information obtained from rating agencies serves as reference only.</p>						
FI 11.2	Describe how your ESG integration approach is adapted to each of the different types of fixed income you invest in.						
	SSA	<p>AIMCo's sovereign investments are mainly Canadian federal, provincial, municipal and related entities. Internal credit analysts evaluate sovereign issuers in the context of its financial institutions given that a sovereign issuer's credit is inextricably linked to that of its domestic banking system. AIMCo's Fixed Income team prioritizes analyzing lower rated corporate credits where ESG factors have a larger impact. Governance issues for municipal and quasi sovereign credits (e.g. universities, school boards, hospitals, transportation authorities) are considered more frequently.</p>					
	Corporate (financial)	<p>The AIMCo Fixed Income team integrates the analysis of ESG issues into security selection and portfolio construction. Our internal credit research will capture ESG. Such issues are flagged through a bottom-up analytical approach and access to management. These issues are incorporated into our internal notional ratings which portfolio managers use to select securities and construct portfolios.</p>					
	Corporate (non-financial)	<p>The AIMCo Fixed Income team integrates the analysis of ESG issues into security selection and portfolio construction. Our internal credit research will capture ESG. Such issues are flagged through a bottom-up analytical approach and access to management. These issues are incorporated into our internal notional ratings which portfolio managers use to select securities and construct portfolios.</p>					
	Securitised	<p>The AIMCo Fixed Income team integrates the analysis of ESG issues into security selection and portfolio construction. Our internal credit research will capture ESG. Such issues are flagged through a bottom-up analytical approach and access to management. These issues are incorporated into our internal notional ratings which portfolio managers use to select securities and construct portfolios. ESG risks are evaluated to the extent that such risks affect servicers, counterparties or specific obligors.</p>					
FI 12	Mandatory	Core Assessed	PRI 1				

FI 12.1	Indicate how ESG information is typically used as part of your investment process.			
	SSA	Corporate (financial)	Corporate (non-financial)	Securitized
ESG analysis is integrated into fundamental analysis	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG analysis is integrated into security weighting decisions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG analysis is integrated into portfolio construction decisions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG analysis is a standard part of internal credit ratings or assessment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG analysis for issuers is a standard agenda item at investment committee meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESG analysis is regularly featured in internal research notes or similar	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG analysis is a standard feature of ongoing portfolio monitoring	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ESG analysis features in all internal issuer summaries or similar documents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FI 13	Mandatory	Additional Assessed	PRI 1
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FI 13.1	Indicate the extent to which ESG issues are reviewed in your integration process.		
	Environment	Social	Governance
SSA	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input checked="" type="radio"/> Systematically <input type="radio"/> Occasionally <input type="radio"/> Not at all
Corporate (financial)	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input checked="" type="radio"/> Systematically <input type="radio"/> Occasionally <input type="radio"/> Not at all
Corporate (non-financial)	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input checked="" type="radio"/> Systematically <input type="radio"/> Occasionally <input type="radio"/> Not at all
Securitized	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input type="radio"/> Systematically <input checked="" type="radio"/> Occasionally <input type="radio"/> Not at all	<input checked="" type="radio"/> Systematically <input type="radio"/> Occasionally <input type="radio"/> Not at all

FI 13.2	Please provide more detail on how you review E, S and G factors in your integration process.
---------	--

SSA
<p>AIMCo's sovereign investments are mainly Canadian federal, provincial, municipal and related entities. Internal credit analysts evaluate sovereign issuers in the context of its financial institutions given that a sovereign's credit is inextricably linked to that of its domestic banking system. AIMCo's Fixed Income team prioritizes analyzing lower rated corporate credits where ESG factors have a larger impact. Governance issues for municipal and quasi sovereign credits (e.g. universities, school boards, hospitals, transportation authorities) are considered more frequently. Environmental and Social issues are typically reviewed when contingent liabilities are present.</p>
Corporate (financial)
<p>We integrate the analysis of governance issues into our security selection and portfolio construction. Internal credit analysts develop independent notional ratings and evaluate governance issues for the corporate bond issuers in our investing universe. Examples of typical governance issues include:</p> <ol style="list-style-type: none"> 1) Board independence and oversight of CEO; 2) Level and nature of executive compensation (alignment of incentives); and 3) Independence of audits and quality of internal controls. <p>AIMCo also considers the advice of rating agencies on governance issues (e.g. S&P). Environmental and Social issues are evaluated on a case by case basis if relevant to an individual issuer (e.g. potential environmental remediation or labour issues and their related impact).</p>
Corporate (non-financial)
<p>We integrate the analysis of governance issues into our security selection and portfolio construction. Internal credit analysts develop independent notional ratings and evaluate governance issues for the corporate bond issuers in our investing universe. Examples of typical governance issues include:</p> <ol style="list-style-type: none"> 1) Board independence and oversight of CEO; 2) Level and nature of executive compensation (alignment of incentives); and 3) Independence of audits and quality of internal controls. <p>AIMCo also considers the advice of rating agencies on governance issues (e.g. S&P). Environmental and Social issues are evaluated on a case-by-case basis if relevant to an individual issuer (e.g. potential environmental remediation or labour issues and their related impact).</p>
Securitized
<p>We integrate the analysis of ESG issues into our security selection and portfolio construction. Internal credit analysts develop independent notional ratings and evaluate ESG risks to the extent that such risks affect servicers, counterparties or specific obligors.</p>

FI 18	Mandatory to Report, Voluntary to Disclose	Additional Assessed	General
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FI 18.1	Indicate whether your organisation measures how your incorporation of ESG analysis in fixed income has affected investment outcomes and/or ESG performance.		
Private			
FI 18.2	Describe how your organisation measures how your incorporation of ESG analysis in fixed income has affected investment outcomes and/or ESG performance. [OPTIONAL]		
Private			
FI 18.3	Additional information.[OPTIONAL]		
Private			
FI 19	Voluntary	Descriptive	PRI 1,2
FI 19.1	Provide examples of how your incorporation of ESG analysis and/or your engagement of issuers has affected your fixed income investment outcomes during the reporting year.		
Private			
FI 19.2	Additional information.		
Private			

PE 01	Voluntary	Descriptive	PRI 1-6
PE 01.1	Provide a brief overview of your organisation's approach to responsible investment in private equity.		
Private			
PE 02	Mandatory	Core Assessed	PRI 2
PE 02.1	Indicate whether your organisation's investment activities are guided by a responsible investment policy / follow responsible investment guidelines.		
<input checked="" type="checkbox"/> Our investment activities are guided by a responsible investment policy			
PE 02.2	Describe how your organisation outlines expectations on staff and portfolio companies' approach towards ESG issues in investment activities.		
All members of the Private Equity group adhere to the AIMCo Board approved Responsible Investment Policy that applies to all asset classes. In addition, Private Equity follows AIMCo Exclusion Guidelines which outline investment restrictions for Excluded Industries and Statutory Investment Restrictions.			
<input type="checkbox"/> Our investment activities are not guided by a responsible investment policy <input type="checkbox"/> We do not have a responsible investment policy			
PE 03	Mandatory	Core Assessed	PRI 1,4,6
PE 03.1	Indicate if your most recent fund placement documents (private placement memorandums (PPM) or similar) refer to responsible investment.		
<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not applicable as our organisation does not fundraise			
PE 03.4	Explain why your organisation does not fund-raise.		
AIMCo was created as a Crown Corporation in 2008 with the express purpose of managing funds on behalf of a select group of 32 captive clients including pension plans and government funds.			
PE 05	Mandatory	Gateway	PRI 1
PE 05.1	During due-diligence indicate if your organisation typically incorporates ESG issues when selecting private equity investments.		
<input checked="" type="checkbox"/> Yes			
PE 05.2	Describe your organisation's approach to incorporating ESG issues in private equity investment selection.		
ESG factors are consistently given consideration when reviewing opportunities and further evaluated during the due diligence process for direct and fund opportunities that are actively pursued. We consider material company and sector specific ESG risks as part of due diligence process. In addition, investments are screened for compliance with AIMCo's exclusion requirements.			
<input type="checkbox"/> No			
PE 05.3	Additional information. [Optional]		
Internal and external resources are used to evaluate ESG factors and we also consider ESG and discuss at length during on-site diligence visits since it's one of many variables being considered when making an investment decision. As applicable, we also request in our side letter that the fund is a member of the Private Equity Growth Capital Council and endorses their guidelines for Responsible Investment. Fund's due diligence materials are also reviewed by our RI team and comments/suggestions are duly incorporated.			
PE 06	Mandatory	Core Assessed	PRI 1,3
PE 06.1	Indicate what type of ESG information your organisation typically considers during your private equity investment selection process.		
<input checked="" type="checkbox"/> Raw data from target company <input type="checkbox"/> Benchmarks against other companies <input checked="" type="checkbox"/> Sector level data/benchmarks <input type="checkbox"/> Country level data/benchmarks <input checked="" type="checkbox"/> Reporting standards, industry codes and certifications <input checked="" type="checkbox"/> International initiatives, declarations or standards <input checked="" type="checkbox"/> Engagements with stakeholders (e.g. customers and suppliers) <input checked="" type="checkbox"/> Advice from external resources <input checked="" type="checkbox"/> Other, specify			
We consider material company and sector specific ESG risks as part of due diligence such as quality of governance, safety statistics, emissions/waste, etc.			
<input type="checkbox"/> We do not track this information			
PE 06.2	Describe how this information is reported to, considered and documented by the Investment Committee or similar.		
Asset specific background information, including ESG considerations, are summarized and submitted for the Investment Committee approval in the form of a PowerPoint and an Investment Memorandum. Should an asset have International Standards organization (ISO) certification(s), a deal team would consider this as an additional and valuable assurance. Where applicable, AIMCo engages environmental and other special advisors (who provide a report) to provide additional expertise and analysis on these types of risks.			
PE 07	Voluntary	Additional Assessed	PRI 1,2
PE 07.1	During deal structuring, what is the process for integrating ESG-related considerations into the deal documentation and/or the post-investment action plan?		
Private			
PE 07.3	Additional information.		
Private			
PE 08	Voluntary	Additional Assessed	PRI 1
PE 08.1	Indicate how ESG issues impacted your private equity investment selection processes during the reporting year.		
Private			
PE 08.2	ESG issues were included in the post-investment action plan /100 day plan		
Private			
PE 08.3	Additional information.		
Private			

PE 09	Mandatory	Gateway/Core Assessed	PRI 2
PE 09.1	Indicate whether your organisation incorporates ESG issues in investment monitoring of portfolio companies.		
<input checked="" type="checkbox"/> Yes			
PE 09.2	Indicate the proportion of portfolio companies where your organisation included ESG performance in investment monitoring during the reporting year.		
<input checked="" type="checkbox"/> >90% of portfolio companies <input type="checkbox"/> 51-90% of portfolio companies <input type="checkbox"/> 10-50% of portfolio companies <input type="checkbox"/> <10% of portfolio companies			
PE 09.3	Indicate ESG issues for which your organisation typically sets and monitors targets (KPIs or similar) and provide examples per issue.		
<input checked="" type="checkbox"/> Environmental AIMCo has partial ownership in a leading global provider of environmental, health, safety, risk, and social consulting services. AIMCo has ownership stakes in several clean and/or renewable energy sources dedicated to finding alternative sources of energy. When environment-related issues arise in the areas our portfolio companies operate (i.e. Hurricane Harvey, recovery from the Fort McMurray wild fires).			
<input checked="" type="checkbox"/> Social The safety and wellbeing of all employees working at our portfolio companies is a significant concern.			
<input checked="" type="checkbox"/> Governance AIMCo has partial ownership in an independent governance services business, has a board seat and is actively involved in strategy and performance matters.			
<input type="checkbox"/> We do not set and/or monitor against targets			
<input type="radio"/> No			
PE 10	Mandatory	Core Assessed	PRI 2
PE 10.1	Indicate if your organisation tracks the proportion of your portfolio companies that have an ESG/sustainability-related policy (or similar guidelines).		
<input checked="" type="checkbox"/> Yes			
PE 10.2	Indicate what percentage of your portfolio companies has an ESG/sustainability policy (or similar guidelines).		
<input checked="" type="checkbox"/> >90% of portfolio companies <input type="checkbox"/> 51-90% of portfolio companies <input type="checkbox"/> 10-50% of portfolio companies <input type="checkbox"/> <10% of portfolio companies <input type="checkbox"/> 0% of portfolio companies			
<input type="radio"/> No			
PE 11	Voluntary	Additional Assessed	PRI 2
PE 11.1	Indicate the types of actions taken by your portfolio companies to incorporate ESG issues into operations and what proportion of your portfolio companies have implemented these actions.		
Private			
PE 11.2	Describe how your organisation contributes to the portfolio companies' resourcing and management of ESG issues.		
Private			
PE 12	Voluntary	Descriptive	PRI 2,3
PE 12.1	Indicate the type and frequency of reports you request and/or receive from portfolio companies covering ESG issues.		
Private			
PE 12.2	Describe what level of reporting you require from portfolio companies, and indicate what percentage of your assets are covered by ESG reporting.[OPTIONAL]		
Private			
PE 13	Voluntary	Additional Assessed	PRI 2
PE 13.1	Indicate whether during the reporting year your organisation disclosed information on ESG issues to potential buyers prior to exit for private equity investments.		
Private			
PE 13.2	Apart from disclosure, describe how your organisation considers ESG issues at exit.		
Private			
PE 13.3	Additional information.		
Private			
PE 14	Voluntary	Additional Assessed	PRI 1,2
PE 14.1	Indicate whether your organisation measures how your approach to responsible investment in Private Equity investments has affected financial and/or ESG performance.		
Private			
PE 14.2	Describe how you are able to determine these outcomes.		
Private			
PE 15	Mandatory to Report, Voluntary to Disclose	Descriptive	PRI 1,2
PE 15.1	Provide examples of ESG issues that you identified in your potential and/or existing private equity investments during the reporting year.		
Private			
PE 15.2	Describe how you define and evaluate the materiality of ESG factors.		
Private			
PE 16	Mandatory to Report, Voluntary to Disclose	Descriptive	PRI 6

PR 01	Mandatory	Core Assessed	PRI 1-6
PR 01.1	Indicate if your organisation has a Responsible Property Investment (RPI) policy.		
<input checked="" type="checkbox"/> Yes			
PR 01.2	Provide a URL or attach the document		
<input checked="" type="checkbox"/> URL https://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf			
<input type="checkbox"/> Attach Document			
<input type="radio"/> No			
PR 01.3	Provide a brief overview of your organisation's approach to responsible investment in property, and how you link responsible investment in property to your business strategy.		
<p>Real Estate has an internal sustainability policy that requires the incorporation of sustainability into AIMCo's real estate portfolio, which takes place in three forms:</p> <ol style="list-style-type: none"> Partnerships (with like minded and industry leading partners). Programs (Industry accepted third party green building certification systems employed throughout Canadian Office and Retail portfolio) Opportunities (acquisitions take into account sustainability initiatives already in place or that can be implemented to add value to the asset). <p>All AIMCo Property investments adhere to the AIMCo Exclusion Guidelines and process which covers Excluded Industries and Statutory Investment Restrictions.</p> <p>In addition, AIMCo maintained the "5 Green Star" status through our GRESB survey submission, thus substantiating our efforts to incorporate responsible investing in our business strategy.</p>			
PR 02	Mandatory	Core Assessed	PRI 1,4,6
PR 02.1	Indicate if your most recent fund placement documents (private placement memorandums (PPMs) or similar) refer to responsible investment aspects of your organisation.		
<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="checkbox"/> Not applicable as our organisation does not fundraise			
PR 02.4	Describe why your organisation does not fundraise.		
<p>AIMCo was created as a Crown Corporation in 2008 with the purpose of managing funds on behalf of a select group of 32 captive clients including pension plans and government funds. Due to these legal restrictions, AIMCo is unable to fundraise.</p>			
PR 04	Mandatory	Gateway/Core Assessed	PRI 1
PR 04.1	Indicate if your organisation typically incorporates ESG issues when selecting property investments.		
<input checked="" type="checkbox"/> Yes			
PR 04.2	Provide a description of your organisation's approach to incorporating ESG issues in property investment selection.		
<p>In accordance with the Real Estate Sustainability Guidelines, various ESG factors are considered depending on the investment characteristics. The process is comprised of three factors</p> <ol style="list-style-type: none"> We look for partners that are like-minded in how they build and operate assets Environmental, Social and Governance considerations are taken into account when acquiring and developing new assets. Green building certifications are sought for the construction of new properties and the operations of existing assets where possible. 			
PR 04.3	Indicate which E, S and/or G issues are typically considered by your organisation in the property investment selection process, and list up to three examples per issue.		
<input checked="" type="checkbox"/> Environmental			
Contamination			
	Description [OPTIONAL]		
Environmental contamination is examined before acquiring property.			
Energy efficiency			
	Description [OPTIONAL]		
Green building certifications (BOMA Best, LEED) for existing and future office and retail buildings are sought after if not already in place in order to ensure their sustainability and low environmental impact.			
Water efficiency			
	Description [OPTIONAL]		
Water consumption is an important factor considered when deciding to invest capital in existing properties.			
<input checked="" type="checkbox"/> Social			
Socio-economic			
	Description [OPTIONAL]		
Despite being a profit-driven organization, AIMCo is keen to review and address social-economic issues that it faces.			
Health, Safety and wellbeing			
	Description [OPTIONAL]		
AIMCo considers health, safety and wellbeing issues pertinent to its assets. Policies created and capital programs are undertaken to address any issues that may arise.			
Affordable Housing			
	Description [OPTIONAL]		
When developing a residential asset, allocating a portion of the buildable area to affordable housing is considered.			
<input checked="" type="checkbox"/> Governance			
Conflicts of interest			
	Description [OPTIONAL]		

Before we make an investment we ensure that we have available a qualified property manager and that they're financially incentivized to have aligned interests.

Governance structure

Description [OPTIONAL]

When investing with partners, extensive consideration is made to the governance structure to ensure that we have sufficient control over an asset.

Other

Description [OPTIONAL]

Proper financial reporting processes with annual audits performed by an external auditor must be in place before we make an investment.

No

PR 05	Voluntary	Additional Assessed	PRI 1,3
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PR 05.1 Indicate what type of ESG information your organisation typically considers during your property investment selection process.

Private

PR 05.2 Provide a brief description of how this ESG information was incorporated into your investment selection process.

Private

PR 06	Mandatory	Core Assessed	PRI 1
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PR 06.1 Indicate if ESG issues impacted your property investment selection process during the reporting year.

- ESG issues helped identify risks and/or opportunities for value creation
- ESG issues led to the abandonment of potential investments
- ESG issues impacted the investment in terms of price offered and/or paid
- ESG issues impacted the terms in the shareholder/purchase agreements and/or lending covenants
- ESG issues were considered but did not have an impact on the investment selection process
- Other, specify
- Not applicable, our organisation did not select any investments in the reporting year
- We do not track this potential impact

PR 06.2 Indicate how ESG issues impacted your property investment deal structuring processes during the reporting year.

- ESG issues impacted the investment in terms of price offered and/or paid
- ESG issues impacted the terms in the shareholder/purchase agreements and/or lending covenants
- ESG issues were considered but did not have an impact on the deal structuring process
- Other, specify
- Not applicable, our organisation did not select any investments in the reporting year
- We do not track this potential impact

PR 07	Mandatory	Core Assessed	PRI 4
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PR 07.1 Indicate if your organisation includes ESG issues in your selection, appointment and/or monitoring of third-party property managers.

Yes

PR 07.2 Indicate how your organisation includes ESG issues in your selection, appointment and/or monitoring of third party property managers.

- Selection process of property managers incorporated ESG issues

Types of actions

- Request explanation of how ESG is effectively integrated, including inquiries about governance and processes
- Request track records and examples of how the manager implements ESG in their asset and property management
- Discuss property level out-performance opportunities through greater integration of ESG criteria
- Request explanation of engaging stakeholders on ESG issues
- Other, explain

Coverage

- >75% to 100%
- >50% to 75%
- >25% to 50%
- >0% to 25%

- Contractual requirements when appointing property managers includes ESG issues

Types of actions

- Include clear and detailed expectations for incorporating ESG
- Require dedicated ESG procedures in all relevant asset and property management phases
- Clear ESG reporting requirements
- Clear ESG performance targets
- Other, explain

Coverage

- >75% to 100%
- >50% to 75%
- >25% to 50%
- >0% to 25%

- Monitoring of property managers covers ESG responsibilities and implementation

Types of actions

- Performance against quantitative and material environmental / resource targets over specified timeframe.
- Performance against quantitative and material environmental / resource targets against relevant benchmarks
- Performance against quantitative and qualitative targets to address social impacts of the portfolio/investment,
- Other, explain

Coverage

- >75% to 100%
- >50% to 75%
- >25% to 50%
- >0% to 25%

No

PR 07.3 Provide a brief description of your organisations selection, appointment and monitoring of third party property managers and how they contribute to the management of ESG issues for your property investments.

AIMCo's selection, appointment and monitoring of third party property managers is usually conducted through a tendering process with multiple evaluation criteria. ESG and sustainability criteria are reviewed as a component of the track record of the third party manager, but not necessarily broken out as a separate scoring factor.

PR 08 Mandatory Gateway PRI 2

PR 08.1 Indicate if your organisation, and/or property managers, considers ESG issues in post-investment activities relating to your property assets.

Yes

PR 08.2 Indicate whether your organisation, and/or property managers, considers ESG issues in the following post-investment activities relating to your property assets.

- We consider ESG issues in property monitoring and management
- We consider ESG issues in property developments and major renovations.
- We consider ESG issues in property occupier engagements
- We consider ESG issues in community engagements related to our properties
- We consider ESG issues in other post-investment activities, specify

PR 08.3 Describe how your organisation, and/or property managers, considers ESG issues in post-investment activities related to your property assets.

Environmental performance is monitored and reported on annually, and many of our partners have tenant engagement programs in place (e.g. issues reporting hotlines, tenant awareness and education programs regarding building operations). Construction (building or refurbishment) is typically done in a sustainable manner and assured via a third party certification system such as LEED. In addition, AIMCo employs a wealth of social and wellness programs in our properties to ensure that the tenants and occupants are provided with exceptional service and working conditions, the results of which have allowed us to outperform our peers on the basis of health and wellness on the GRESB survey.

No

PR 09 Mandatory Core Assessed PRI 2,3

PR 09.1 Indicate the proportion of property assets for which your organisation, and/or property managers, set and monitored ESG targets (KPIs or similar) during the reporting year.

- >90% of property assets
- 51-90% of property assets
- 10-50% of property assets
- <10% of property assets

PR 09.2 Indicate which ESG targets your organisation and/or property managers typically set and monitor

Environmental

Target/KPI	Progress Achieved
Energy consumption targets	Portfolio energy intensity has experienced a consistent decrease over the last 5 years.
Water consumption targets	Portfolio water intensity has experienced a consistent decrease over the last 5 years.
Waste diversion targets	Portfolio waste diversion rates have steadily improved over the last 3 years.

Social

Target/KPI	Progress Achieved
Social engagement KPI	We continue to measure our progress in terms of tenant engagement on environmental/social issues and make the corresponding adjustments.

Governance

Target/KPI	Progress Achieved
Governance arrangement with manager	Every new manager is required to answer an extensive due diligence questionnaire that details their normal governance structure and capacity to manage the committed funds.

We do not set and/or monitor against targets

PR 09.3 Additional information. [Optional]

Historically, AIMCo's focus has been on monitoring the environmental performance of our retail and office properties. Property managers at many of AIMCo's Real Estate investments have independently set environmental performance targets and continuously work to meet their goals. AIMCo has also begun to set portfolio wide targets. In addition, tenant engagement metrics are measured in our property level tenant engagement surveys. Improvements are constantly sought to raise the tenants' participation.

PR 10 Voluntary Descriptive PRI 2

PR 10.1 Indicate whether your property assets are assessed against certification schemes, ratings and/or benchmarks

Private

PR 10.3 Indicate if your organisation uses property specific reporting standards to disclose information related to your property investments' ESG performance.

Private

PR 10.4	Additional information.		
Private			
PR 11	Mandatory	Core Assessed	PRI 2
PR 11.1	Indicate the proportion of active property developments and major renovations where ESG issues have been considered.		
	<input checked="" type="checkbox"/> >90% of active developments and major renovations <input type="checkbox"/> 51-90% of active developments and major renovations <input type="checkbox"/> 10-50% of active developments and major renovations <input type="checkbox"/> <10% of active developments and major renovations <input type="checkbox"/> N/A, no developments and major renovations of property assets are active		
PR 11.2	Indicate if the following ESG considerations are typically implemented and monitored in your property developments and major renovations.		
	<input checked="" type="checkbox"/> Environmental site selection requirements <input checked="" type="checkbox"/> Environmental site development requirements <input checked="" type="checkbox"/> Sustainable construction materials <input checked="" type="checkbox"/> Water efficiency requirements <input checked="" type="checkbox"/> Energy efficiency requirements <input type="checkbox"/> Energy generation from on-site renewable sources <input checked="" type="checkbox"/> Waste management plans at sites <input checked="" type="checkbox"/> Health and safety management systems at sites <input checked="" type="checkbox"/> Construction contractors comply with sustainability guidelines <input checked="" type="checkbox"/> Resilient building design and orientation <input type="checkbox"/> Other, specify		
PR 11.3	Additional information. [Optional]		
	AIMCo also implements and monitors Carbon Performance (including carbon emissions and intensity) indicators.		
PR 12	Mandatory	Core Assessed	PRI 2
PR 12.1	Indicate the proportion of property occupiers your organisation, and/or your property managers, engaged with on ESG issues during the reporting year.		
	<input type="checkbox"/> >90% of occupiers <input type="checkbox"/> 50-90% of occupiers <input checked="" type="checkbox"/> 10-50% of occupiers <input type="checkbox"/> <10% of occupiers		
PR 12.2	Indicate if the following practises and areas are typically part of your, and/or your property managers', occupier engagements.		
	<input checked="" type="checkbox"/> Distribute a sustainability guide to occupiers <input checked="" type="checkbox"/> Organise occupier events focused on increasing sustainability awareness <input checked="" type="checkbox"/> Deliver training on energy and water efficiency <input checked="" type="checkbox"/> Deliver training on waste minimisation <input checked="" type="checkbox"/> Provide feedback on energy and water consumption and/or waste generation <input checked="" type="checkbox"/> Provide feedback on waste generation <input checked="" type="checkbox"/> Carry out occupier satisfaction surveys <input type="checkbox"/> Offer green leases <input type="checkbox"/> Other, specify		
PR 12.3	Additional information. [Optional]		
	As a GRESB member, AIMCo submits a response to the GRESB survey annually. In order to achieve our current "Green Star" status, sustainability performance data is collected from the properties to identify areas of improvement and achievable targets are set to ensure the properties improve upon their energy/water/waste efficiency.		
PR 13	Voluntary	Additional Assessed	PRI 2
PR 13.1	Indicate the proportion of all leases signed during the reporting year that used green leases or the proportion of Memoranda of Understandings (MoUs) with reference to ESG issues.		
	<input type="checkbox"/> >90% of leases or MoUs <input type="checkbox"/> 50-90% of leases or MoUs <input checked="" type="checkbox"/> 10-50% of leases or MoUs <input type="checkbox"/> <10% of leases or MoUs <input type="checkbox"/> 0% of leases or MoUs <input type="checkbox"/> N/A, no leases or MoUs were signed during the reporting year		
PR 14	Voluntary	Additional Assessed	PRI 2
PR 14.1	Indicate what proportion of property assets your organisation, and/or your property managers, engaged with the community on ESG issues during the reporting year.		
	Private		
PR 14.2	Indicate if the following areas and activities are typically part of your, and/or your property managers', community engagement.		
	Private		
PR 14.3	Additional information.		
	Private		
PR 15	Voluntary	Additional Assessed	PRI 1,2
PR 15.1	Indicate whether your organisation measures how your approach to responsible investment in property investments has affected financial and/or ESG performance.		
	Private		

PR 15.3	Describe how you are able to determine these outcomes.		
<i>Private</i>			
PR 16	Voluntary	Descriptive	PRI 1,3
PR 16.1	Provide examples of ESG issues that affected your property investments during the reporting year.		
<i>Private</i>			
PR 16.2	Additional information. [Optional]		
<i>Private</i>			

INF 01	Voluntary	Descriptive	PRI 1-6
INF 01.1	Provide a brief overview of your organisation's approach to responsible investment in infrastructure where you have equity stakes.		
	Private		
INF 02	Mandatory	Core Assessed	PRI 1-6
INF 02.1	Indicate if your organisation has a responsible investment policy for infrastructure.		
	<input checked="" type="checkbox"/> Yes		
INF 02.2	Provide a URL if your policy is publicly available.		
	https://www.aimco.alberta.ca/DesktopModules/AIMCoWhitepaper/Whitepapers/Responsible%20Investment%20Policy%20AIMCo%20Board%20approved%202017%20final-signed.pdf		
	<input type="checkbox"/> No		
INF 02.3	Additional information. [Optional]		
	AIMCo's Responsible Investment Policy applies to all assets under management. In addition, AIMCo's Infrastructure and Timber department adopted its own bespoke Infrastructure & Timber Sustainability Guidelines in effect as of Dec 31, 2014, with two revisions to date.		
INF 03	Mandatory	Core Assessed	PRI 1,4,6
INF 03.1	Indicate if your most recent fund placement documents (private placement memorandums (PPMs) or similar) refer to responsible investment aspects of your organisation.		
	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not applicable as our organisation does not fundraise		
INF 03.4	Describe why your organisation does not fundraise.		
	Alberta Investment Management Corporation (AIMCo) is a Crown corporation wholly owned by Her Majesty the Queen in Right of Alberta (HMQ). HMQ is the legal personification of the Province of Alberta, Canada. AIMCo was incorporated under the Alberta Investment Management Corporation Act for the purpose of managing investments on behalf of HMQ, various public pensions and endowments, and certain other entities designated by the Minister of Finance for the Province of Alberta.		
INF 04	Voluntary	Additional Assessed	PRI 4
INF 04.1	Indicate whether your organisation makes formal commitments in fund formation contracts, Limited Partnership Agreements (LPAs) or in side letters relating to responsible investment in infrastructure when requested by clients.		
	Private		
INF 04.2	Additional information.		
	Private		
INF 05	Mandatory	Gateway	PRI 1
INF 05.1	Indicate if your organisation typically incorporates ESG issues when selecting infrastructure investments.		
	<input checked="" type="checkbox"/> Yes		
INF 05.2	Describe your organisation's approach to incorporating ESG issues in infrastructure investment selection.		
	<p>Initial Screening: During the preliminary screening process, potential infrastructure investments are screened for appropriate governance models, compliance with organization-wide exclusions, and significant negative control rights. The AIMCo Infrastructure team duly considers environmental factors and any related environmental or social risks that may negatively impact future investment valuations.</p> <p>Due Diligence: Due diligence advisors are engaged to review and report on potential infrastructure investments. ESG factors are usually covered in detailed due diligence work streams to help the deal investment team to develop a clear understanding of potential ESG risks.</p>		
	<input type="checkbox"/> No		
INF 06	Voluntary	Descriptive	PRI 1,4
INF 06.1	Indicate whether your organisation typically uses ESG advice and research sourced internally and/or externally when incorporating ESG issues into the infrastructure investment selection process.		
	Private		
INF 06.2	Additional information.		
	Private		
INF 07	Mandatory	Core Assessed	PRI 1,3
INF 07.1	Indicate which E, S and/or G issues are typically considered by your organisation in the investment selection process and list up to three typical examples per issue.		
	<input checked="" type="checkbox"/> Environmental Wind intensity or strong wind risks associated with alternative energy generation Environmental impacts and remedies, such as pollution risks and decommissioning costs of certain projects Earthquake risk		
	<input checked="" type="checkbox"/> Social Worker safety policies, safety KPIs Community engagement, CSR and charity initiatives, relationships with First Nations where applicable Due diligence on employee pension plans, relationships with labor unions		
	<input checked="" type="checkbox"/> Governance Minority shareholders' rights; for example, voting rights and veto rights Governance rights such as the number of board seats, shareholder information rights Stakeholders' relationships with other stakeholders, regulators and the management team		
INF 07.2	Additional information. [Optional]		
	Due diligence advisors are usually selected based on the nature of an asset to best identify its corresponding ESG issues.		

INF 08	Voluntary	Additional Assessed	PRI 1,3
INF 08.1	Indicate what type of ESG information your organisation typically considers during your infrastructure investment selection process.		
Private			
INF 08.2	Additional information.		
Private			
INF 09	Voluntary	Additional Assessed	PRI 1
INF 09.1	Indicate if ESG issues impacted your infrastructure investment selection processes during the reporting year.		
Private			
INF 09.2	Indicate how ESG issues impacted your infrastructure investment deal structuring processes during the reporting year.		
Private			
INF 09.3	Additional information.		
Private			
INF 11	Mandatory	Gateway	PRI 2
INF 11.1	Indicate whether your organisation and/or operators consider ESG issues in post-investment activities relating to your infrastructure assets.		
<input checked="" type="checkbox"/> Yes			
INF 11.2	Indicate how your organisation, and/or operators, considers ESG issues in the following post-investment activities relating to your infrastructure assets.		
<input checked="" type="checkbox"/> We consider ESG issues in the monitoring and operation of infrastructure <input checked="" type="checkbox"/> We consider ESG issues in infrastructure maintenance <input checked="" type="checkbox"/> We consider ESG issues in stakeholder engagements related to our infrastructure <input type="checkbox"/> We consider ESG issues in other post-investment activities, specify			
INF 11.3	Describe how your organisation, and/or operators, considers ESG issues in post-investment activities related to your infrastructure investments. [Optional]		
<p>AIMCo takes an active role in company governance and ESG risk mitigation in assets with majority and significant minority ownerships. AIMCo sends board directors to attend board meetings and vote on key operational items such as annual budgets, business plans, risk mitigation plans, new capital expenditure projects and targets for management incentives. AIMCo also sends board observers to attend board meetings (where possible) to observe the discussions at the board level to effectively monitor and manage the asset.</p> <p>The AIMCo team reviews board materials (and other information provided to shareholders) from the invested company and organizes calls with AIMCo board representatives to discuss key issues including ESG issues. Board materials usually include routine updates on key ESG ratios and major stakeholder issues.</p> <p>When a shareholder looks for an exit on its ownerships of an asset, AIMCo initiates communications with the other shareholders where necessary to make the best decisions for its clients.</p>			
<input type="checkbox"/> No			
INF 12	Mandatory	Core Assessed	PRI 2
INF 12.1	Indicate the proportion of infrastructure assets for which your organisation and/or operators included ESG performance in investment monitoring during the reporting year.		
<input checked="" type="checkbox"/> >90% of infrastructure assets <input type="checkbox"/> 51-90% of infrastructure assets <input type="checkbox"/> 10-50% of infrastructure assets <input type="checkbox"/> <10% of infrastructure assets			
INF 12.2	Indicate ESG issues for which your organisation, and/or operators, typically sets and monitors targets (KPIs or similar) and provide examples per issue.		
<input checked="" type="checkbox"/> Environmental Property damage/Environmental (ex. Damage to company, public or private property resulting in monetary costs) Noise impact (ex. decibel level)			
<input checked="" type="checkbox"/> Social Worker safety (ex. lost workday case rate) Contractor safety (ex. injury rates)			
<input checked="" type="checkbox"/> Governance Director independence (ex. number or percentage of independent directors) Minority shareholders' rights (ex. shareholder rights plan in place)			
<input type="checkbox"/> We do not set and/or monitor against targets			
INF 12.3	Additional information. [Optional]		
Infrastructure & Timber Sustainability Guidelines effective as of Dec 31, 2014.			
INF 13	Mandatory	Additional Assessed	PRI 2
INF 13.1	Indicate whether you track the proportion of your infrastructure investees that have an ESG/sustainability-related policy (or similar guidelines).		
<input checked="" type="checkbox"/> Yes			
INF 13.2	Indicate the proportion of your infrastructure investees that have an ESG/sustainability-related policy (or similar guidelines).		
<input checked="" type="checkbox"/> >90% of infrastructure investees <input type="checkbox"/> 51-90% of infrastructure investees <input type="checkbox"/> 10-50% of infrastructure investees <input type="checkbox"/> >0% and <10% of infrastructure investees <input type="checkbox"/> 0% of infrastructure investees			
INF 13.3	Describe how your organisation, and/or your operators, contribute to the infrastructure investees' management of ESG issues. [Optional]		
Monthly or quarterly board meetings (or board committee meetings) review ESG KPIs and discuss key ESG issues (i.e. safety incidents, community engagements, major			

stakeholder issues, regulatory updates and governance issues).

No

INF 14	Voluntary	Descriptive	PRI 2,3
INF 14.1	Indicate the type and frequency of reports you request and/or receive from infrastructure investees covering ESG issues.		
	Private		
INF 14.2	Additional information.		
	Private		
INF 15	Mandatory	Core Assessed	PRI 2
INF 15.1	Indicate the proportion of active infrastructure maintenance projects where ESG issues have been considered.		
	<input type="radio"/> >90% of active maintenance projects <input type="radio"/> 51-90% of active maintenance projects <input type="radio"/> 10-50% of active maintenance projects <input type="radio"/> <10% of active maintenance projects <input checked="" type="radio"/> N/A, no maintenance projects of infrastructure assets are active		
INF 15.2	Describe your approach to ESG considerations for infrastructure maintenance projects. [Optional]		
	<p>We don't have information on the percentage of ESG considerations for infrastructure maintenance because those are usually addressed at the operational level by each asset company. However, our portfolio assets are invited to participate in the GRESB global infrastructure sustainability index and disclose ESG information voluntarily.</p>		
INF 16	Voluntary	Additional Assessed	PRI 2
INF 16.1	Indicate which stakeholders your organisation, and/or operators, engaged with on ESG issues in relation to your infrastructure assets during the reporting year and what proportion of your investments they apply to.		
	Private		
INF 16.2	Describe your approach to stakeholder engagements in relation to your infrastructure assets.		
	Private		
INF 17	Voluntary	Additional Assessed	PRI 1,2
INF 17.1	Indicate whether your organisation measures how your approach to responsible investment in Infrastructure investments has affected financial and/or ESG performance.		
	Private		
INF 17.2	Describe how you are able to determine these outcomes.		
	Private		
INF 18	Voluntary	Descriptive	PRI 1,3
INF 18.1	Provide examples of ESG issues that affected your infrastructure investments during the reporting year.		
	Private		
INF 18.2	Additional information.		
	Private		
INF 19	Mandatory to Report, Voluntary to Disclose	Descriptive	PRI 6
INF 19.1	Describe your organisation's approach to disclosing ESG incidents in infrastructure investments to your investor clients.		
	Private		

CM1 01.1	Mandatory	Core Assessed	General
CM1 01.1	Indicate whether the reported information you have provided for your PRI Transparency Report this year has undergone:		
	<input type="checkbox"/> Third party assurance over selected responses from this year's PRI Transparency Report <input type="checkbox"/> Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year <input type="checkbox"/> Third party assurance or audit of the implementation of RI processes (that have been reported to the PRI this year) <input type="checkbox"/> Internal audit conducted by internal auditors of the implementation of RI processes and/or RI data that have been reported to the PRI this year <input checked="" type="checkbox"/> Internal verification of responses before submission to the PRI (e.g. by the CEO or the board) <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Whole PRI Transparency Report has been internally verified <input type="checkbox"/> Selected data has been internally verified <input type="checkbox"/> Other, specify <input type="checkbox"/> None of the above		
CM1 01.2 & 01.8	Mandatory	Descriptive	Planned assurance of this year's PRI Transparency Report
CM1 01.2	Do you plan to conduct third party assurance of this year's PRI Transparency report?		
	<input type="radio"/> Whole PRI Transparency Report will be assured <input type="radio"/> Selected data will be assured <input checked="" type="radio"/> We do not plan to assure this year's PRI Transparency report		
CM1 01.3 & 01.9	Mandatory	Descriptive	General
CM1 01.3	We undertook third party assurance on last year's PRI Transparency Report		
	<input type="radio"/> Whole PRI Transparency Report was assured last year <input type="radio"/> Selected data was assured in last year's PRI Transparency Report <input checked="" type="radio"/> We did not assure last year's PRI Transparency report, or we did not have such a report last year.		
CM1 01.4, 10-12	Mandatory	Descriptive	General
CM1 01.4	We undertake confidence building measures that are unspecific to the data contained in our PRI Transparency Report:		
	<input type="checkbox"/> We adhere to an RI certification or labelling scheme <input type="checkbox"/> We carry out independent/third party assurance over a whole public report (such as a sustainability report) extracts of which are included in this year's PRI Transparency Report <input type="checkbox"/> ESG audit of holdings <input checked="" type="checkbox"/> Other, specify <p style="margin-left: 20px;">All answers are reviewed internally by RI and supporting documentation is internally tracked in a separate file system that is reviewed by our Compliance department.</p> <input type="checkbox"/> None of the above		
CM1 01.7	Mandatory	Descriptive	General
CM1 01.7	Indicate who has reviewed/verified internally the whole - or selected data of the - PRI Transparency Report . and if this applies to selected data please specify what data was reviewed		
	<input checked="" type="checkbox"/> CEO or other Chief-Level staff <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Sign-off or review of responses <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Sign-off <input type="checkbox"/> Review of responses <input type="checkbox"/> The Board <input type="checkbox"/> Investment Committee <input checked="" type="checkbox"/> Compliance Function <input checked="" type="checkbox"/> RI/ESG Team <input checked="" type="checkbox"/> Investment Teams <input type="checkbox"/> Legal Department <input type="checkbox"/> Other (specify) 		
CM1 01.13	Additional information for all confidence building measures [OPTIONAL]		
	In terms of C-Suite level staff, our Chief Compliance Officer and CEO have both signed off on the survey responses.		