

Personal Ethical Fact Find

Name of Client:

1) The Issues

i) Which of the following company activities would you like to aim to support?

Company Activity (Definitions available at the back of the questionnaire)	Activity supported by fund
Basic Necessities	Yes / No / Desirable
Community Involvement	Yes / No / Desirable
Environmental Conservation	Yes / No / Desirable
Environmental Technologies	Yes / No / Desirable
Equal Opportunities	Yes / No / Desirable
Healthcare & Safety	Yes / No / Desirable
Positive Labour Relations	Yes / No / Desirable
Training & Education	Yes / No / Desirable

ii) Which of the following company activities would you like to aim to avoid investing in?

Company Activity (Definitions available at the back of the questionnaire)	Activity avoided by fund
Alcohol - Production	Yes / No / Desirable
Alcohol - Sale	Yes / No / Desirable
Animal Intensive Farming – Retail	Yes / No / Desirable
Animal Intensive Farming – Wholesale	Yes / No / Desirable
Animal Testing – Cosmetics and Toiletries	Yes / No / Desirable
Animal Testing – Pharmaceuticals	Yes / No / Desirable
Environmental Abuse	Yes / No / Desirable
Financial Services	Yes / No / Desirable
Gambling	Yes / No / Desirable
Human Rights Abuse	Yes / No / Desirable
Military	Yes / No / Desirable
Nuclear Energy	Yes / No / Desirable
Pornography	Yes / No / Desirable
Tobacco	Yes / No / Desirable

2) Engagement

Is it important to you whether a fund management group is involved in trying to encourage better business practices?	Yes / No / Desirable
Would you like details of the types of engagement activity the fund management group has been involved in?	Yes / No / Desirable
Would you like to know more about the way in which the fund management group goes about this?	Yes / No / Desirable
Do you consider it important for a fund management group to adopt an engagement process across their full ranges of funds, not just their ethical range?	Yes / No / Desirable
Do you consider it important for a fund management group to engage with companies outside of the UK?	Yes / No / Desirable

Note to Advisers: Actual fund policies and full engagement information is available via Synaptic research tools and/or direct from the product provider or fund manager.

3) Broader Fund Management Group/ Product Provider Activity

The following areas can be indicators of a fund management group or product provider's commitment to responsible practices. Please indicate which ones you would like to know more about:

Whether they have a publicly available "Corporate Social Responsibility" report?	Yes / No / Desirable
Whether they support the development of SRI through membership of the UKSIF (UK Social Investment Forum)?	Yes / No / Desirable
Whether they are a signatory of the European SRI Transparency Guidelines?	Yes / No / Desirable

Additional comments:

To be completed by Adviser

Name of Adviser:

Company:

Adviser's signature:

Date:

To be completed by Client

Client's signature:

Date:

The Issues - definitions

Alcohol – Production

The fund's policy includes a level of avoidance of companies involved in alcohol production.

Alcohol - Sale

The fund's policy includes a level of avoidance of companies involved in the sale of alcohol related products.

Animal Intensive Farming – Retail

The fund's policy includes a level of avoidance of companies involved in animal intensive farming, for retail purposes. This includes companies marketing or selling products from animals that have been intensively reared.

Animal Intensive Farming – Wholesale

The fund's policy includes a level of avoidance of companies involved in animal intensive farming, for wholesale purposes. This includes companies carrying out intensive animal farming and husbandry.

Animal Testing – Cosmetics and Toiletries

The fund's policy includes a level of avoidance of companies involved in animal testing for the purposes of cosmetics and toiletries.

Animal Testing – Pharmaceuticals

The fund's policy includes a level of avoidance of companies involved in animal testing for pharmaceutical purposes.

Basic Necessities

The fund's policy states that the fund will seek to invest in companies associated with basic necessities. This includes companies manufacturing, supplying and/or selling products and services that are considered as being necessary for everyday living (e.g. water, food, clothing, housing etc.)

Community Involvement

The fund's policy states that the fund will seek to invest in companies associated with community involvement. This includes companies making financial donations to initiatives or groups within the community.

Environmental Abuse

The fund's policy includes a level of avoidance of companies involved in environmental abuse. This includes companies that derive turnover from activities adversely affecting the environment.

Environmental Conservation

The fund's policy states that the fund will seek to invest in companies associated with environmental conservation. This includes companies that have a publicly available environmental policy.

Environmental Technologies

The fund's policy states that the fund will seek to invest in companies associated with technologies aimed at environmental conservation.

Equal Opportunities

The fund's policy states that the fund will seek to invest in companies associated with equal opportunities. This includes companies that practice and are able to prove a committed approach to operating good equal opportunities within the organisation.

Financial Services

The fund's policy includes a level of avoidance of companies involved in financial services. This includes banks, insurance companies and investment houses whose core business involves dealing with companies who would be excluded under the other Negative Criteria.

Gambling

The fund's policy includes a level of avoidance of companies involved in gambling. This includes companies engaging in gambling and related activities such as the supply of gambling equipment.

Healthcare & Safety

The fund's policy states that the fund will seek to invest in companies associated with healthcare & safety. This includes companies producing goods and services for the purpose of saving, protecting or enhancing human life.

Human Rights Abuse

The fund's policy includes a level of avoidance of companies involved in human rights abuse. This includes companies actively trading with countries having acknowledged human rights issues.

Military

The fund's policy includes a level of avoidance of companies involved in military. This includes companies engaged in the production and sale of military hardware and technology.

Nuclear Energy

The fund's policy includes a level of avoidance of companies involved in nuclear energy. This includes companies whose turnover is derived through the production of nuclear energy and/or the supply of goods and services to the nuclear industry.

Pornography

The fund's policy includes a level of avoidance of companies involved in pornography. This includes companies engaging in the production and/or distribution of offensive material.

Positive Labour Relations

The fund's policy states that the fund will seek to invest in companies associated with positive labour relations. This includes companies that practice and are able to prove a committed approach to positive labour relations to all staff.

Tobacco

The fund's policy includes a level of avoidance of companies involved in tobacco. This includes companies whose annual turnover derives from the production and/or sale of tobacco and tobacco related products.

Training & Education

The fund's policy states that the fund will seek to invest in companies associated with training & education. This includes companies that practice high standards of internal staff training and/or provide training facilities and resources to other parties.