

LuxFLAG Climate Finance Label - Checklist of Documents

Applicant Fund Name (as mentioned in the prospectus):

File number	Name of the document	Submitted	Applicant Remark*	LuxFLAG Check	LuxFLAG Remark
Section 1	Legal documentation – Mandatory				
1	The Letter of Intent - available here (not applicable for renewal applications).	<input type="checkbox"/>		<input type="checkbox"/>	
2	The Application Form (with data as of last quarter). Kindly use the revised template sent in the renewal email or available on our website. Please make sure that the full list of portfolio of investments mentions : name of the invested company, amount invested, reference to the category and subcategory mentioned in appendix 1 of the eligibility criteria , % of turnover generated from Climate Finance related activities.	<input type="checkbox"/>		<input type="checkbox"/>	

3	The prospectus of the investment vehicle.	<input type="checkbox"/>		<input type="checkbox"/>	
4	The statutes or articles of incorporation of the investment vehicle.	<input type="checkbox"/>		<input type="checkbox"/>	
5	The latest yearly or quarterly audited financial statements. <i>If the audited financial statements are not available, please provide provisional financial statements (trial balance) or bank statement extracts.</i>	<input type="checkbox"/>		<input type="checkbox"/>	
Section 2	Policies and Procedures				
6	Description of the Investment Process which includes the definitions of: <ul style="list-style-type: none"> ➤ Non-financial investment objective(s) ➤ ESG Investing research. In case it is done internally, please mention tools (rating methodologies, external data providers) and resources (staffing, qualifications/experience and relevant ESG-trainings) ➤ Construction of the investable universe ➤ Investment decision-making process and persons in charge 	<input type="checkbox"/>		<input type="checkbox"/>	

	<ul style="list-style-type: none"> ➤ Monitoring of the Climate/ESG performance of the underlying assets ➤ Monitoring of engagement with invested companies about material Climate/ESG incidents 				
7	Climate or Environmental Investment Policy or ESG Policy or Responsible Investment policy or Sustainability Policy of the Fund or of the Asset Manager applicable to the Fund.	<input type="checkbox"/>		<input type="checkbox"/>	
8	Impact measurement mechanism description / policy	<input type="checkbox"/>		<input type="checkbox"/>	
9	Report on expected and realized results through stated indicators in the impact measurement policy (if any)	<input type="checkbox"/>		<input type="checkbox"/>	
10	<p>Exclusion Policy of the Fund or of the Asset Manager applicable to the Fund indicating controversial sectors, activities, and countries.</p> <p>List of companies excluded from the investable universe as per Exclusion Policy.</p>	<input type="checkbox"/>		<input type="checkbox"/>	

11	<p>Engagement policy/voting policy/active ownership policy.</p> <p>List of investments where the investment manager has entered into engagement activities. Provide details on the status of these activities and their outcomes.</p>	<input type="checkbox"/>		<input type="checkbox"/>	
12	<p>Post-trade investment monitoring describing all criteria, red flags and filters in place which would trigger a divestment. Mention timelines and actions to be taken (divestment, engagement) in case of breaches.</p> <p>List of divestments for ESG reasons made over the past 12 months.</p>	<input type="checkbox"/>		<input type="checkbox"/>	
13	<p>Description of the Sustainability governance and/or policy indicating the methods of:</p> <ul style="list-style-type: none"> ➤ Sustainable investment Implementation ➤ ESG/Sustainability research and analysts team 	<input type="checkbox"/>		<input type="checkbox"/>	

	<ul style="list-style-type: none"> ➤ Internal oversight and responsible body for sustainability oversight (e.g. sustainability committee, investment committee, executive committee, Fund board) ➤ Reporting of ESG integration 				
Section 3	Client information and other reports				
14	The offering and/or marketing documents that describe if and how non-financial performance is managed by the applicant investment Fund (KIID, investor presentation, other).	<input type="checkbox"/>		<input type="checkbox"/>	
15	The latest extra-financial report (can be a Climate report, Impact report, Sustainability report, SDG mapping report, monthly/quarterly factsheets, or other). <i>(if any)</i>	<input type="checkbox"/>		<input type="checkbox"/>	
16	Any communications made to Investors and other stakeholders during the period of the past 12 months <i>(if any)</i>	<input type="checkbox"/>		<input type="checkbox"/>	

17	Details about endorsement with other Sustainable Finance Initiatives supported, certifications, industry guidelines, or reporting framework used. Indicate if the Fund(s) were granted (are applying) to other sustainable finance Label(s). <i>(if any)</i>	<input type="checkbox"/>		<input type="checkbox"/>	
18	Asset manager logo (eps, JPG and PNG format)	<input type="checkbox"/>		<input type="checkbox"/>	
19	Other (please indicate under Applicant Remark)	<input type="checkbox"/>		<input type="checkbox"/>	

*In case any of the information mentioned above is not presented as a separate document, kindly mention which document LuxFLAG should refer to.

CONFIRMATIONS

For the purpose of the application for the LuxFLAG label, the applicant investment fund confirms that as of the end of the last quarter:

1. All portfolio items are in compliance with the investment criteria of the fund.
2. All portfolio items are in compliance with the exclusionary criteria of the fund and LuxFLAG (if not, please provide a list of such companies)
3. None of the portfolio items were divested due to ESG non-compliance reasons within the last 12 months (if so, please provide a list, as per section 12 of this checklist).
4. Internal or proprietary ESG processes and systems are reviewed or audited either internally or externally on a regular basis.

DECLARATION

By making this application, the undersigned hereby confirm(s) on behalf of the Applicant Investment Fund that:

- the information provided as part of the application package has been extracted from the books and records of the Applicant Investment Fund and presents fairly, accurately and completely in all material the information requested by LuxFLAG, as described herein and in the related documents;
- it/they commit(s) to promptly respond to any request for information made by LuxFLAG throughout the labelling process;
- it/they acknowledge(s) that upon presentation of the Applicant Investment Fund to the LuxFLAG's Board of Directors, the fees pertaining to the granting of the LuxFLAG label are due, whatever decision shall be taken by the said Board.
- the Applicant Investment Fund undertakes to comply with LuxFLAG's Terms & Conditions as available [here](#), should the Applicant Investment Fund be granted the LuxFLAG Label. To this end, the undersigned confirm(s) having read the LuxFLAG's Terms & Conditions.

Authorised Signature/s:	
Name/s:	
Date:	

For LuxFLAG use	
Verified by:	
Date:	