



LEA 02	Disclosures	Monetary	Principles
<p>By providing investors the most up-to-date and reliable information on the status of the company's ESG performance, the company enables investors to make more informed decisions on their investments. This is particularly important for companies that are subject to high ESG risks or that are in high-growth sectors.</p> <p>The company's ESG performance is measured against the following criteria:</p> <ul style="list-style-type: none"> Environmental: Carbon footprint, greenhouse gas emissions, climate change, water usage, waste management, biodiversity, and pollution. Social: Employee relations, labor practices, human rights, diversity and inclusion, community relations, and product safety. Governance: Board composition, executive compensation, anti-corruption, and data privacy. 	<p>LEA 02</p>	<p>Monetary</p>	<p>Principles</p> <p>PRI 1, 2, 3</p>
<p>Type of engagement</p> <p>Individual/ internal staff engagements</p> <p>Collaborative engagements</p> <p>Service provider engagements</p>	<p>Reason for interaction</p> <p>To support investment decision-making in & company's ESG issues</p> <p>To influence corporate transition or identify the need for additional or other capacity</p> <p>To support investment decision-making in & company's ESG issues</p> <p>To influence corporate transition or identify the need for additional or other capacity</p> <p>To support investment decision-making in & company's ESG issues</p> <p>To influence corporate transition or identify the need for additional or other capacity</p>	<p>Individual/ internal staff engagements</p> <p>Collaborative engagements</p> <p>Service provider engagements</p>	<p>To support investment decision-making in & company's ESG issues</p> <p>To influence corporate transition or identify the need for additional or other capacity</p> <p>To support investment decision-making in & company's ESG issues</p> <p>To influence corporate transition or identify the need for additional or other capacity</p>

RI TRANSPARENCY REPORT

2014/15

Amethis Luxembourg S.à.r.l

About this report

The PRI Reporting Framework is a key step in the journey towards building a common language and industry standard for reporting responsible investment (RI) activities. This RI Transparency Report is one of the key outputs of this Framework. Its primary objective is to enable signatory transparency on RI activities and facilitate dialogue between investors and their clients, beneficiaries and other stakeholders. A copy of this report will be publicly disclosed for all reporting signatories on the [PRI website](#), ensuring accountability of the PRI Initiative and its signatories.

This report is an export of the individual Signatory organisation's response to the PRI during the 2014-15 reporting cycle. It includes their responses to mandatory indicators, as well as responses to voluntary indicators the signatory has agreed to make public. The information is presented exactly as it was reported. Where an indicator offers a response option that is multiple-choice, all options that were available to the signatory to select are presented in this report. Presenting the information exactly as reported is a result of signatory feedback which suggested the PRI not summarise the information. As a result, the reports can be extensive. However, to help easily locate information, there is a **Principles index** which highlights where the information can be found and summarises the indicators that signatories complete and disclose.

Understanding the Principles Index

The Principles Index summarises the response status for the individual indicators and modules and shows how these relate to the six [Principles for Responsible Investment](#). It can be used by stakeholders as an 'at-a-glance' summary of reported information and to identify particular themes or areas of interest.

Indicators can refer to one or more Principles. Some indicators are not specific to any Principle. These are highlighted in the 'General' column. When multiple Principles are covered across numerous indicators, in order to avoid repetition, only the main Principle covered is highlighted.

All indicators within a module are presented below. The status of indicators is shown with the following symbols:

Symbol	Status
✓	The signatory has completed all mandatory parts of this indicator
☑	The signatory has completed some parts of this indicator
🔒	This indicator was not relevant for this signatory
-	The signatory did not complete any part of this indicator
Ⓜ	The signatory has flagged this indicator for internal review

Within the table, indicators marked in blue are mandatory to complete. Indicators marked in grey are voluntary to complete.

Principles Index

Organisational Overview				Principle						General
Indicator	Short description	Status	Disclosure	1	2	3	4	5	6	
OO 01	Signatory category and services	✓	Public							✓
OO 02	Headquarters and operational countries	✓	Public							✓
OO 03	Subsidiaries that are separate PRI signatories	✓	Public							✓
OO 04	Reporting year and AUM	✓	Public							✓
OO 05	Breakdown of AUM by asset class	✓	Asset mix disclosed in OO 06							✓
OO 06	How would you like to disclose your asset class mix	✓	Public							✓
OO 07	Segregated mandates or pooled funds	🔒	n/a							✓
OO 08	Breakdown of AUM by market	✓	Private							✓
OO 09	Additional information about organisation	✓	Private							✓
OO 10	RI activities for listed equities	🔒	n/a							✓
OO 11	RI activities in other asset classes	✓	Public							✓
OO 12	Modules and sections required to complete	✓	Public							✓

Overarching Approach				Principle						General
Indicator	Short description	Status	Disclosure	1	2	3	4	5	6	
OA 01	RI policy and other guidance documents	✓	Public							✓
OA 02	Publicly available policies / documents	✓	Public							✓
OA 03	Policy components and coverage	✓	Public	✓	✓					
OA 04	Conflicts of interest	✓	Public							✓
OA 05	RI goals and objectives	✓	Public							✓
OA 06	Main goals/objectives this year	✓	Private							✓
OA 07	Governance, management structures and RI processes	✓	Private							✓
OA 08	RI roles and responsibilities	✓	Public							✓
OA 09	RI in performance management, reward and/or personal development	✓	Private							✓
OA 10	Collaborative organisations / initiatives	✓	Public				✓	✓		
OA 11	Promoting RI independently	✓	Public				✓			
OA 12	Dialogue with public policy makers or standard setters	✓	Private				✓	✓	✓	
OA 13	ESG issues in strategic asset allocation	✓	Private	✓						
OA 14	Allocation of assets to environmental and social themed areas	✓	Private	✓						
OA 15	ESG issues for internally managed assets not reported in framework	✓	Private							✓
OA 16	ESG issues for externally managed assets not reported in framework	🔒	n/a							✓
OA 17	RI/ESG in execution and/or advisory services	🔒	n/a	✓	✓					
OA 18	Innovative features of approach to RI	✓	Private							✓
OA 19	Internal and external review and assurance of responses	✓	Private							✓

Direct – Private Equity				Principle						General
Indicator	Short description	Status	Disclosure	1	2	3	4	5	6	
PE 01	Breakdown of investments by strategy	✓	Private							✓
PE 02	Typical level of ownership	✓	Private							✓
PE 03	Description of approach to RI	✓	Private	✓						✓
PE 04	Investment guidelines and RI	✓	Public		✓					
PE 05	Fund placement documents and RI	✓	Public	✓			✓		✓	
PE 06	Formal commitments to RI	✓	Private				✓			
PE 07	Incorporating ESG issues when selecting investments	✓	Public	✓						
PE 08	ESG advice and research when selecting investments	✓	Private	✓						
PE 09	ESG issues in investment selection process	✓	Public	✓		✓				
PE 10	Types of ESG information considered in investment selection	✓	Private	✓		✓				
PE 11	Encouraging improvements in investees	✓	Private	✓	✓					
PE 12	ESG issues impact in selection process	✓	Private	✓						
PE 13	Proportion of companies monitored on their ESG performance	✓	Public		✓					
PE 14	Proportion of portfolio companies with sustainability policy	✓	Public		✓					
PE 15	Actions taken by portfolio companies to incorporate ESG issues into operations	✓	Private		✓					
PE 16	Type and frequency of reports received from portfolio companies	✓	Private		✓	✓				
PE 17	Disclosure of ESG issues in pre-exit	✓	Private		✓					
PE 18	ESG issues affected financial/ESG performance	✓	Private	✓	✓					
PE 19	Examples of ESG issues that affected your PE investments	✓	Private	✓		✓				
PE 20	Disclosure of ESG information to public and clients/beneficiaries	✓	Public							✓
PE 21	Approach to disclosing ESG incidents	✓	Private							✓

Amethis Luxembourg S.à.r.l

Reported Information

Public version

Organisational Overview

PRI disclaimer

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Basic Information

OO 01	Mandatory	Gateway/Peering	General
-------	-----------	-----------------	---------

OO 01.1 Select the services you offer.

Fund management

% of assets under management (AUM) in ranges

<10%

10-50%

>50%

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

Other, specify

Execution and advisory services

OO 02	Mandatory	Peering	General
-------	-----------	---------	---------

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

Luxembourg

OO 02.2 Indicate the number of countries in which you have offices (including your headquarters).

1

2-5

6-10

>10

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

FTE

11.9

OO 02.4 Additional information. [Optional]

Amethis Advisory SAS provides investment services to Amethis Luxembourg S.à.r.l. through a service agreement signed until the inception of the Fund. Amethis Advisory SAS employed 11,90 FTE in year 2014

OO 03	Mandatory	Descriptive	General
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OO 03.1

Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right.

Yes

No

OO 04

Mandatory

Gateway/Peering

General

OO 04.1

Indicate the year end date for your reporting year.

31/12/2014

OO 04.2

Indicate your total AUM at the end of your reporting year, excluding subsidiaries you have chosen not to report on, and advisory/execution only assets.

	trillions	billions	millions	thousands	hundreds
Total AUM			400	000	000
Currency	EUR				
Assets in USD			524	596	470

OO 04.5

Indicate the level of detail you would like to provide about your asset class mix.

Approximate percentage breakdown to the nearest 5% (e.g. 45%)

Broad ranges breakdown (i.e. <10%; 10-50%; >50%)

OO 04.6

Additional information. [Optional]

Debt in USD

Equity in EUR

OO 06

Mandatory

Descriptive

General

OO 06.1

To contextualise your responses to the public, indicate how you would like to disclose your asset class mix.

Publish our asset class mix as broad ranges

	Internally managed (%)	Externally managed (%)
Listed equity	0	0
Fixed income – corporate	0	0
Fixed income – government	0	0

Fixed income – other	0	0
Private debt	10-50%	0
Private equity	>50%	0
Property	0	0
Infrastructure	0	0
Commodities	0	0
Hedge funds	0	0
Forestry	0	0
Farmland	0	0
Inclusive finance	0	0
Cash	0	0
Other (1), specify	0	0
Other (2), specify	0	0

Publish our asset class mix as per attached file (the following image formats can be uploaded: .jpg, .jpeg, .png, .bmp and .gif)

OO 06.2 Additional information. [Optional]

Debt in USD

Equity in EUR

Gateway asset class implementation indicators

OO 11

Mandatory

Gateway

General

OO 11.1

Indicate if in the reporting year you incorporated ESG issues into your investment decisions and/or your active ownership practices in the following internally managed asset classes.

- Private debt
- Private equity
- None of the above

OO 11.3

Additional information. [Optional]

Amethis Finance E&S Management Scheme tackles in the same manner debt or equity transactions

OO 12

Mandatory

Gateway

General

OO 12.1

The modules and sections that you will be required to complete are listed below.

This list is based on the percentages provided in your AUM breakdown and your responses to the gateway indicators. You are only required to report on asset classes that represent 10% or more of your AUM. You may report voluntarily on any applicable modules or sections by selecting them from the list. Fixed Income and Infrastructure are voluntary.

Core modules

- Organisational Overview
- Overarching Approach (including assets which do not have a separate module)

RI implementation directly or via service providers

Direct - Other asset classes with dedicated modules

- Private Equity

Closing module

- Closing module

Amethis Luxembourg S.à.r.l

Reported Information

Public version

Overarching Approach

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Responsible investment policy

OA 01	Mandatory	Gateway/Core Assessed	General
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OA 01.1 Indicate if you have a responsible investment policy.

- Yes
 No

OA 01.2 Indicate if you have other guidance documents or more specific policies related to responsible investment.

- Yes
 No

OA 01.3 Provide a brief description of the key elements of your responsible investment policy or, if you do not have a policy, of your overall approach to responsible investment. [Optional]

Amethis Finance adopts a responsible approach, promoting international standards in environmental and social management (IFC Performance Standards, World Bank EHS guidelines, ILO guidelines), but also governance, compliance and financial best practices (responsible lending)

Amethis believes that economic growth and healthy environment go hand in hand. It considers that most African risks, challenges and opportunities are strongly related to social and environmental considerations: employment and demographic growth, overexploitation of natural resources, sanitary risks... By investing in the continent, Amethis assumes responsibility for assessing and managing the risks, and taking advantage of these opportunities.

As environmental and societal responsibility ranks high among the priorities of its activities, Amethis recognizes the importance of mainstreaming these considerations into all business activities. This responsible investment strategy relies on two pillars: an environmental and social management scheme (ESMS) and a development impacts management scheme (DIMS).

Even if Amethis is not an Impact Fund, it will favour high impact projects and always take into account development impacts results in its decision making;

- Amethis Finance goes beyond usual E&S management systems, by implementing real development impact measurement and scoring
- E&S requirements tailored to all sectors and risk profiles, leading to pragmatic E&S management plans to be implemented by the clients
- Development impacts will be systematically measured and monitored

OA 02	Mandatory	Core Assessed	PRI 6
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OA 02.1 Indicate if your responsible investment policy is publicly available.

- Yes
 No

OA 02.3 Indicate if your other policies or guidance documents related to responsible investment are publicly available.

- Yes
- No

OA 03 **Mandatory** **Core Assessed** **PRI 1,2**

OA 03.1 Indicate the components/types and coverage of your responsible investment policy and guidance documents.

Select all that apply

Policy components/types	Coverage by AUM
<input checked="" type="checkbox"/> Policy setting out your overall approach <input checked="" type="checkbox"/> Engagement/active ownership policy <input checked="" type="checkbox"/> Specific guidelines on corporate governance <input checked="" type="checkbox"/> Specific guidelines on environmental issues <input checked="" type="checkbox"/> Specific guidelines on social issues <input checked="" type="checkbox"/> Asset class-specific guidelines <input checked="" type="checkbox"/> Screening/exclusion policy <input type="checkbox"/> Other, specify <input type="checkbox"/> Other, specify	<input checked="" type="radio"/> Applicable policies cover all AUM <input type="radio"/> Applicable policies cover a majority of AUM <input type="radio"/> Applicable policies cover a minority of AUM

OA 04 **Mandatory** **Core Assessed** **General**

OA 04.1 Indicate if your organisation has a policy on managing potential conflicts of interest in the investment process.

- Yes

OA 04.2 Describe your policy on managing potential conflicts of interest in the investment process. [Optional]

Amethis' Conflict of Interest Policy is designed to help members of Staff and management to identify situations that present potential conflicts of interest and to provide Amethis and all related companies with a procedure which, if observed, will allow the Group to enter into a transaction even though a conflict of interest has arisen with respect to the transaction

Amethis strategy is to provide a comprehensive product offer to long term clients. This strategy brings considerable advantages and added value, but it can also bring, in some cases, conflicts of interest, between debt and equity, or between arrangement and investment, that needs to be managed in an adequate way.

Generally speaking, all conflicts of interest arising in a project, being between products or clients or staff or investors, must be disclosed to the Investment Committee (the "IC") or to the Advisory Board depending on the nature of the conflict and mitigation measures must be proposed. It includes:

- Conflicts of interest between debt and equity
- Conflicts of interest between arrangement and investment
- Conflicts of interest between different competing clients or investees

- Conflicts of interest between investors (non members of the IC or the IAB) and investees
- Conflict of interest of IAB, board or IC members

This conflicts of interest policy consolidates the conflicts of interest sections of the Investment Policy, the Anti Money Laundering Manual, the Investors Advisory Board rules and the IC rules. This policy falls under the general framework of Amethis Private Placement Memorandum and all the obligations of any of the entities of the Group the Interested Person under the PPM.

Systematic disclosure to the relevant committees of potential Conflicts of Interest affecting Amethis is the rule.

All Investment Committee and Screening Committee notes must contain an "Conflict of Interest" part where the existence or not of potential conflict of interests as described in this policy (including those of the staff or the Board Members) is disclosed, together with mitigant and remediation propositions.

No

Objectives and strategies

OA 05	Mandatory	Gateway/Core Assessed	General
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OA 05.1 Indicate if your organisation sets objectives for its responsible investment activities.

Yes

OA 05.2 Indicate how frequently your organisation sets or revises objectives for responsible investment.

- At least once per year
- Less than once per year

OA 05.3 Indicate how frequently your organisation formally reviews performance against its objectives for responsible investment.

- Quarterly
- Biannually
- Annually
- Every two years or less
- It is not reviewed

No

Governance and human resources

OA 08	Mandatory	Gateway/Core Assessed	General
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OA 08.1 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

- Board members or trustees
- Chief Executive Officer (CEO), Chief Investment Officer (CIO), Investment Committee
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Other Chief-level staff or head of department, specify
- Portfolio managers
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- 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
- Other role, specify
- Other role, specify

OA 08.2 Indicate the number of dedicated responsible investment staff your organisation has. [Optional]

Number

0.4

Promoting responsible investment

OA 10 **Mandatory** **Core Assessed** **PRI 4,5**

OA 10.1 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.

- Select all that apply**
- Principles for Responsible Investment

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

- Basic
- Moderate
- Advanced

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

Taking into account: the closing of the fund, the need to deploy rapidly the first transactions and the late arrival of a dedicated E&S Manager, Amethis involvement in the initiative has been limited so far

- Asian Corporate Governance Association
- Association for Sustainable & Responsible Investment in Asia
- Australian Council of Superannuation Investors
- CDP Climate Change
- CDP Forests
- CDP Water
- CFA Institute Centre for Financial Market Integrity
- Council of Institutional Investors (CII)
- Eumedion
- Extractive Industries Transparency Initiative (EITI)
- Global Investors Governance Network (GIGN)
- Global Real Estate Sustainability Benchmark (GRESB)
- Institutional Investors Group on Climate Change (IIGCC)
- Interfaith Center on Corporate Responsibility (ICCR)
- International Corporate Governance Network (ICGN)
- Investor Group on Climate Change, Australia/New Zealand (IGCC)
- Investor Network on Climate Risk (INCR)/CERES
- Local Authority Pension Fund Forum
- Regional or National Social Investment Forums (e.g. UKSIF, Eurosif, ASRIA, RIAA), specify
- Shareholder Association for Research and Education (Share)
- United Nations Environmental Program Finance Initiative (UNEP FI)
- United Nations Global Compact
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify

OA 11

Mandatory

Core Assessed

PRI 4

OA 11.1

Indicate if your organisation promotes responsible investment, independently of collaborative initiatives.

Yes

OA 11.2

Indicate which of the following actions your organisation has taken to promote responsible investment, independently of collaborative initiatives.

- Provided or supported education or training programmes for clients, investment managers, broker/dealers, investment consultants, legal advisers or other investment organisations
- Provided financial support for academic or industry research on responsible investment
- Encouraged better transparency and disclosure of responsible investment practices across the investment industry
- Spoke publicly at events and conferences to promote responsible investment
- Wrote and published in-house research papers on responsible investment
- Encouraged the adoption of the PRI
- Other, specify

No

Amethis Luxembourg S.à.r.l

Reported Information

Public version

Direct – Private Equity

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Overview

PE 04	Mandatory	Core Assessed	PRI 2
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PE 04.1 Indicate if your organisation's investment guidelines for private equity refer to responsible investment.

Our investment guidelines do refer to responsible investment

PE 04.2 Describe how your organisation's investment guidelines outline your expectations on staff and portfolio companies' approach towards ESG issues [Optional].

Amethis has to test all of its investments against 3 policy principles:

- Positive financial returns for its investors and shareholders
- Good Environmental, Social and Governance: adherence to the principles of good ESG in the widest sense. Please refer to both Amethis ESMS Policy Manual, and Amethis corporate governance principals, the latter being developed in Chapter 10 of this document.
- Positive Development Impacts. Amethis aims at combining positive financial and development impacts. Development impacts will be systematically measured and discussed at Investment Committee level, and projects with a negative development impact will be rejected. Please refer to Amethis Development Impact Policy.

Impact measurement is embedded in the decision making process, from the screening committee (in a qualitative way) to the Investment Committee (through an impact measurement tool results). Amethis gives priority to high impact projects and always takes into account development impacts results in its decision making.

Amethis has developed an E&S methodology in order to achieve 4 objectives: to select projects, to measure impacts, to monitor our clients, to report and comm

Our investment guidelines do not refer to responsible investment

We do not have investment guidelines

Fundraising of private equity funds

PE 05	Mandatory	Core Assessed	PRI 1,4,6
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PE 05.1 Indicate if your fund placement documents (private placement memorandums (PPMs) or similar) refer to responsible investment aspects of your organisation.

Yes

PE 05.2

Indicate how your fund placement documents (PPMs or similar) refer to the following responsible investment aspects of your organisation:

- Policy and commitment to responsible investment
 - Always
 - In a majority of cases
 - In a minority of cases
- Approach to ESG issues in pre-investment processes
 - Always
 - In a majority of cases
 - In a minority of cases
- Approach to ESG issues in post-investment processes
 - Always
 - In a majority of cases
 - In a minority of cases

PE 05.3

Describe how your organisation refers to responsible investment in fund placement documents (PPMs or similar). [Optional]

Section 8.7 of the PPM is dedicated to "A responsible investor: E&S and impact measurement strategy"

"8.7.1 A team building on a strong E&S and development impacts history and track record": This section refers to DFI's track record of the team in a period were E&S management concern emerged

"8.7.2 Amethis Africa Finance will deploy strict E&S procedures and development impact measurement" refers to E&S policy, promotion of international standards (including UNPRI) and details main steps for E&S assessment in the investment process.

- No
- Not applicable as our organisation does not fundraise

Pre-investment (selection)

PE 07

Mandatory

Gateway

PRI 1

PE 07.1

Indicate if your organisation typically incorporates ESG issues when selecting private equity investments.

- Yes

PE 07.2

Describe your organisation's approach to incorporating ESG issues in private equity investment selection. [Optional]

ES Management and Development Impacts Management (DIM) are embedded simultaneously in the decision making process from the screening committee (in a qualitative way) to the investment committee (measurement tools);

•At project level, a dedicated E&S Manager supports the business team to comply with ESM Scheme and DIM Scheme requirements. Employees will be trained and management schemes continuously reviewed and improved;

•Either on ESM or on DIM, tailor-made tools and methodologies have been elaborated to assess and monitor projects in all sectors;

- For each potential transaction, Amethis i) verifies the compliance with the exclusion list, ii) categorizes the ES Risk, iii) performs due diligences and iv) monitoring on the portfolio companies; reputable external consulting firms may be called in for this purpose;
- Amethis seeks to include E&S action plans (ESAP) and other E&S requirements in the legal documentation;
- Amethis commits to continuously work with the portfolio companies to improve their performance on E&S and Development Impacts considerations;
- E&S or Impact low score is a criteria to reject a potential deal;
- Development impacts will be systematically measured and monitored. Amethis will publicly report on the implementation of ESM and DIM.

Amethis performs E&S due diligence before investing in a Company according to its risk rating. E&S due diligences are performed by an external technical consultant with the objective of drawing up an action plan that will be implemented by the company management so that to improve ESG policies and achieve IFC Performance standards. Moreover, E&S considerations are formalized in Selling & Purchase and loan agreements. Indeed any breach of ESG policy matters are contractually defined as Material breach triggering off a divestment of Amethis in the Company (selling of Amethis shares in the company to the Sponsor for example).

No

PE 09	Mandatory	Core Assessed	PRI 1,3
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PE 09.1	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.
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ESG issues

Environmental

List up to three typical examples of environmental issues

- 1- Ramco Group Kenya (printing industry): waste management (paper, ink...), energy efficiency
- 2- Petrolvoire (oil and gaz retailer): soil pollution and OHS for each site
- 3- Velogic (Logistic and Transport): Spill procedures, chemical management

Social

List up to three typical examples of social issues
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- 1- Velogic (Logistic and Transport): work contracts review (provide pay slips, payment receipt, creole explanation, OHS improvement)
- 2- CDCI (retail): OHS improvement in the warehouses

Governance

Post-investment (monitoring and active ownership)

PE 13	Mandatory	Gateway/Core Assessed	PRI 2
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PE 13.1	Indicate whether your organisation incorporates ESG issues in investment monitoring of portfolio companies.
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Yes

PE 13.2

Indicate the proportion of portfolio companies where your organisation included ESG performance in investment monitoring during the reporting year.

- >90% of portfolio companies
- 51-90% of portfolio companies
- 10-50% of portfolio companies
- <10% of portfolio companies

(in terms of total number of portfolio companies)

PE 13.3

Indicate ESG issues for which your organisation typically sets and monitors targets (KPIs or similar) and provide examples per issue.

ESG issues

- Environmental

List up to three example targets of environmental issues

Velogic (Logistic and transport) - Provision of spill kits and dedicated training, set up of housekeeping and waste storage areas with rules

Ramco Group - Soil pollution measurement around fuel tank and specific remediation

- Social

List up to three example targets of social issues

Ramco Group (Printing industry) - ESAP to be agreed with management including specific OHS actions

Velogic - Improvement of work contract (provide pay slips, payment receipt, creole explanation, OHS improvement)

Chase Bank - Support to Microfinance activities (level of loan portfolio dedicated to microfinance, to women...)

- Governance
- We do not set and/or monitor against targets

- No

PE 14

Mandatory

Core Assessed

PRI 2

PE 14.1

Indicate if your organisation tracks the proportion of your portfolio companies that have an ESG/sustainability-related policy (or similar guidelines).

- Yes

PE 14.2

Indicate what percentage of your portfolio companies has an ESG/sustainability policy (or similar guidelines).

- >90% of portfolio companies
- 51-90% of portfolio companies
- 10-50% of portfolio companies
- <10% of portfolio companies
- 0% of portfolio companies

(in terms of total number of portfolio companies)

- No

Communication

PE 20

Mandatory

Core Assessed

PRI 6

PE 20.1

Indicate whether your organisation proactively discloses ESG information on your private equity investments.

- Disclose publicly
- Disclose to investor clients (LPs)/beneficiaries only

PE 20.5

Indicate the type of ESG information that your organisation proactively discloses to your clients (LPs)/beneficiaries.

- ESG information in relation to our pre-investment activities
- ESG information in relation to our post-investment monitoring and ownership activities
- Information on our portfolio companies' ESG performance
- Other, specify

PE 20.6

Indicate your organisation's typical frequency of disclosing ESG information to your clients(LPs)/beneficiaries.

- Quarterly or more frequently
- Semi annually
- Annually
- Every two years or less frequently
- Ad-hoc, specify

PE 20.7

Describe the ESG information and how your organisation proactively discloses it to your clients (LPs)/beneficiaries. [Optional]

Quarterly report includes:

- main findings on the ongoing Due Diligences
- ESG decisions taken at the Boards of the portfolio companies
- Incident or accident resulting with severe injury or death
- New product or decision with positive development impact
- ...

- No proactive disclosure to the public or to clients (LPs)/beneficiaries