RI TRANSPARENCY REPORT

2014/15

SUSI Partners AG
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:

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<thead>
<tr>
<th>Symbol</th>
<th>Status</th>
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<tr>
<td>✓</td>
<td>The signatory has completed all mandatory parts of this indicator</td>
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<tr>
<td>☐</td>
<td>The signatory has completed some parts of this indicator</td>
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<tr>
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<td>This indicator was not relevant for this signatory</td>
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<td>-</td>
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<td>⚪</td>
<td>The signatory has flagged this indicator for internal review</td>
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Within the table, indicators marked in blue are mandatory to complete. Indicators marked in grey are voluntary to complete.
## Principles Index

### Organisational Overview

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Short description</th>
<th>Status</th>
<th>Disclosure</th>
<th>1</th>
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<td>Proportion of stakeholders that were engaged with on ESG issues</td>
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SUSI Partners AG

Reported Information

Public version

Organisational Overview

PRI disclaimer

This document presents information reported directly by signatories. This information has not been audited by the PRI Secretariat or any other party acting on their behalf. While this information is believed to be reliable, no representations or warranties are made as to the accuracy of the information presented, and no responsibility or liability can be accepted for any error or omission.
## 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%
- [x] >50%

- Fund of funds, manager of managers, sub-advised products
- Other, specify
- Execution and advisory services

### OO 01.2  
**Additional information. [Optional]**

SUSI Partners AG is an investment advisor based in Switzerland identifying and analyzing projects in the field of the energy transition (renewable energy, energy efficiency measures and energy storage). The projects are then financed through funds managed by Sustainable Sàrl (based in Luxembourg). Sustainabel Sàrl is a subsidiary wholly owned by SUSI Partners AG.

**OO 02**  
**Mandatory**  
**Peering**  
**General**

### OO 02.1  
**Select the location of your organisation’s headquarters.**

Switzerland

### 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  
21

**OO 03**  
**Mandatory**  
**Descriptive**  
**General**
Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right.

- Yes
- No

Indicate the year end date for your reporting year.

31/12/2014

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.

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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%)

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

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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Farmland</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Inclusive finance</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cash</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other (1), specify</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other (2), specify</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

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

**OO 08**

**Mandatory to Report Voluntary to Disclose**

**Peering**

**General**

**OO 08.1**

Indicate the breakdown of your organisation’s AUM by market.

<table>
<thead>
<tr>
<th>Market breakdown</th>
<th>% of AUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developed Markets</td>
<td>0%</td>
</tr>
<tr>
<td>Emerging, Frontier and Other Markets</td>
<td>&gt;50%</td>
</tr>
</tbody>
</table>

**OO 09**

**Voluntary**

**Descriptive**

**General**

**OO 09.1**

Provide any additional information about your organisation, its mission, strategies, activities or investments which are important to contextualise your responsible investment activities.

The future energy supply is based on the three cornerstones:

1. generation of renewable energy
(2) improvement of energy efficiency
(3) energy storage and smart grids

SUSI Partners AG is specialized in identifying and analyzing sustainable energy infrastructure projects. Through its subsidiary Sustainable Sàrl (LUX) measures for the implementation of the energy transition can be financed to generate stable annual returns for institutional investors. The Funds advised by SUSI Partners AG finance exclusively measurable sustainable and ecologically responsible infrastructure like renewable energy projects and energy efficient retrofits of existing infrastructure (e.g. public infrastructure, industrial facilities, private buildings). We measure the amount of CO2 savings per project (in t CO2/yr).

Gateway asset class implementation indicators

<table>
<thead>
<tr>
<th>Gateway asset class implementation indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>OO 11</td>
</tr>
<tr>
<td>OO 11.1</td>
</tr>
<tr>
<td>☑ Infrastructure</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Gateway asset class implementation indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>OO 12</td>
</tr>
<tr>
<td>OO 12.1</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Direct - Other asset classes with dedicated modules</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Infrastructure</td>
</tr>
</tbody>
</table>

Closing module

☐ Closing module
SUSI Partners AG

Reported Information

Public version

Overarching Approach

PRI disclaimer

This document presents information reported directly by signatories. This information has not been audited by the PRI Secretariat or any other party acting on their behalf. While this information is believed to be reliable, no representations or warranties are made as to the accuracy of the information presented, and no responsibility or liability can be accepted for any error or omission.
## Responsible Investment Policy

### OA 01

**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]

The core business of the company is centred around responsible investments. Investments are only done in sustainable energy infrastructure projects which must result in a measurable reduction of environmental impact (CO2 savings are measured in tons per year).

### OA 02

**OA 02.1** Indicate if your responsible investment policy is publicly available.

- ☑ Yes

**OA 02.2** Provide a URL to your responsible investment policy.

<table>
<thead>
<tr>
<th>URL</th>
</tr>
</thead>
</table>

- ☐ No

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

- ☐ Yes
- ☑ No

**OA 02.5** Additional information. [Optional]

As a member of the UN Global Compact SUSI Partners AG supports the Ten Principles of the United Nations Global Compact in the areas of Human Rights, Labour, Environment and Anti-Corruption.

Further information and SUSI's Communication on Progress (COP) can be found here: [https://www.unglobalcompact.org/participant/36241-SUSI-Partners-AG](https://www.unglobalcompact.org/participant/36241-SUSI-Partners-AG)
### OA 03

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

**Select all that apply**

<table>
<thead>
<tr>
<th>Policy components/types</th>
<th>Coverage by AUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Policy setting out your overall approach</td>
<td>☑ Applicable policies cover all AUM</td>
</tr>
<tr>
<td>☑ Engagement/active ownership policy</td>
<td>☑ Applicable policies cover a majority of AUM</td>
</tr>
<tr>
<td>☑ Specific guidelines on corporate governance</td>
<td>☑ Applicable policies cover a minority of AUM</td>
</tr>
<tr>
<td>☑ Specific guidelines on environmental issues</td>
<td></td>
</tr>
<tr>
<td>☑ Specific guidelines on social issues</td>
<td></td>
</tr>
<tr>
<td>☑ Asset class-specific guidelines</td>
<td></td>
</tr>
<tr>
<td>☑ Screening/exclusion policy</td>
<td></td>
</tr>
<tr>
<td>☐ Other, specify</td>
<td></td>
</tr>
<tr>
<td>☐ Other, specify</td>
<td></td>
</tr>
</tbody>
</table>

### OA 04

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

- ☑ Yes

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

The Advisory Committee of the specific Funds (consisting of fund investors) is responsible for solving potential conflicts of interest.

- ☐ No

### Objectives and strategies

**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

OA 06  Voluntary  Descriptive  General

OA 06.1  List your three main responsible investment objectives you had set for the reporting year. For each, indicate any key performance indicators you set to measure your progress and also indicate your progress towards achieving your objectives.

☑ Add responsible investment objective 1

<table>
<thead>
<tr>
<th>Objective 1</th>
<th>Reduction of CO2 emissions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key performance indicators</td>
<td>Tons of CO2 savings per year (per asset)</td>
</tr>
<tr>
<td>Describe the progress achieved</td>
<td>SUSI saves approx. 600 t CO2 per million invested (renewable energy); approx.1'000 t CO2 (energy efficiency) =250,600 t total savings p.a.</td>
</tr>
</tbody>
</table>

☐ Add responsible investment objective 2
☐ Add responsible investment objective 3

OA 06.2  List your three main objectives for responsible investment implementation for the next reporting year and indicate any key performance indicators you intend to use to measure your progress.

☑ Add responsible investment objective 1 for the next reporting year

<table>
<thead>
<tr>
<th>Objective 1 for the next reporting year</th>
<th>Please refer to answer 6.1.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key performance indicators</td>
<td></td>
</tr>
</tbody>
</table>

☐ Add responsible investment objective 2 for the next reporting year
☐ Add responsible investment objective 3 for the next reporting year
### Governance and human resources

<table>
<thead>
<tr>
<th>OA 07</th>
<th>Voluntary</th>
<th>Descriptive</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 07.1</td>
<td>Provide a brief description of your organisation’s governance, management structures and processes related to responsible investment.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The Vice President Operations is responsible for designing, adapting and implementing ESG criteria in day-to-day business under the supervision of one of the members of the Board, i.e. former Swiss environment minister Moritz Leuenberger. Regarding investments, criteria are defined by the Board and then communicated and implemented on all hierarchical levels.

☐ I would like to attach an organisation chart (the following image formats can be uploaded: .jpg, .jpeg, .png, .bmp and .gif)

<table>
<thead>
<tr>
<th>OA 08</th>
<th>Mandatory</th>
<th>Gateway/Core Assessed</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 08.1</td>
<td>Indicate the roles present in your organisation and for each, indicate whether they have oversight and/or implementation responsibilities for responsible investment.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Roles present in your organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Board members or trustees</td>
</tr>
<tr>
<td>☑ Oversight/accountability for responsible investment</td>
</tr>
<tr>
<td>☐ Implementation of responsible investment</td>
</tr>
<tr>
<td>☐ No oversight/accountability or implementation responsibility for responsible investment</td>
</tr>
<tr>
<td>☑ Chief Executive Officer (CEO), Chief Investment Officer (CIO), Investment Committee</td>
</tr>
<tr>
<td>☑ Oversight/accountability for responsible investment</td>
</tr>
<tr>
<td>☑ Implementation of responsible investment</td>
</tr>
<tr>
<td>☐ No oversight/accountability or implementation responsibility for responsible investment</td>
</tr>
<tr>
<td>☑ Other Chief-level staff or head of department, specify</td>
</tr>
</tbody>
</table>

Managing Directors
☐ Oversight/accountability for responsible investment
☐ Implementation of responsible investment
☐ No oversight/accountability or implementation responsibility for responsible investment

☑ 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

<table>
<thead>
<tr>
<th>OA 09</th>
<th>Voluntary</th>
<th>Additional Assessed</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 09.1</td>
<td>Indicate if your organisation’s performance management, reward and/or personal development processes have a responsible investment element.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Board members/Board of trustees**

☑ Responsible investment included in personal development and/or training plan

| OA 09.2 | Describe any activities undertaken during the reporting year to develop and maintain Board members’ skills and knowledge in relation to responsible investment. |

Implementation of continuous events serving as opportunity to further develop skills related to responsible investments.

☐ None of the above

**Chief Executive Officer (CEO), Chief Investment Officer (CIO), Investment Committee**

☑ Responsible investment KPIs and/or goals included in objectives
☑ Responsible investment included in appraisal process
☐ Variable pay linked to responsible investment performance
☑ Responsible investment included in personal development and/or training plan
☐ None of the above

**Other C-level staff or head of department**

Managing Directors
.catalog

☐ Responsible investment KPIs and/or goals included in objectives
☐ Responsible investment included in appraisal process
☐ Variable pay linked to responsible investment performance
☐ Responsible investment included in personal development and/or training plan
☐ None of the above

**Portfolio managers**

☐ Responsible investment KPIs and/or goals included in objectives
☐ Responsible investment included in appraisal process
☐ Variable pay linked to responsible investment performance
☐ Responsible investment included in personal development and/or training plan
☐ None of the above

**Investment analysts**

☐ Responsible investment KPIs and/or goals included in objectives
☐ Responsible investment included in appraisal process
☐ Variable pay linked to responsible investment performance
☐ Responsible investment included in personal development and/or training plan
☐ None of the above

**Dedicated responsible investment staff**

☐ Responsible investment KPIs and/or goals included in objectives
☐ Responsible investment included in appraisal process
☐ None of the above
☐ Variable pay linked to responsible investment performance
☐ Responsible investment included in personal development and/or training plan
☐ None of the above

---

**Promoting responsible investment**

<table>
<thead>
<tr>
<th>OA 10</th>
<th>Mandatory</th>
<th>Core Assessed</th>
<th>PRI 4,5</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 10.1</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

☐ 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

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

☑ Basic
☐ Moderate
☐ Advanced

☐ 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

<table>
<thead>
<tr>
<th>OA 11</th>
<th>Mandatory</th>
<th>Core Assessed</th>
<th>PRI 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 11.1</td>
<td>Indicate if your organisation promotes responsible investment, independently of collaborative initiatives.</td>
<td>☑ Yes</td>
<td></td>
</tr>
</tbody>
</table>

© Yes

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**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

Direct collaboration with academic research.

- ☐ No

**OA 12**  Voluntary  Additional Assessed  PRI 4,5,6

**OA 12.1**  Indicate if your organisation - individually or in collaboration with others - conducted dialogue with public policy makers or standard-setters in support of responsible investment in the reporting year.

- ☑ Yes
  - ☑ Yes, individually
  - ☑ Yes, in collaboration with others

**OA 12.2**  Select the methods you have used.

- ☑ Endorsed written submissions to governments, regulators or standard-setters developed by others
- ☐ Drafted your own written submissions to governments, regulators or standard-setters
- ☑ Participated in face-to-face meetings with government members or officials to discuss policy
- ☐ Other, specify

**OA 12.3**  Where you have made written submissions (individually or collaboratively) to governments and regulatory authorities, indicate if these are publicly available.

- ☑ Yes, publicly available

Provide URL

http://www.klimakampagne.ch/eng/#whynow

- ☐ No

**OA 13**  Voluntary  Descriptive  PRI 1

**ESG issues in asset allocation**
### OA 13.1
Indicate if your organisation considers ESG issues in strategic asset allocation and/or allocation of assets between geographic markets.

- **Yes**
  - Allocation between asset classes
  - Determining fixed income duration
  - Allocation of assets between geographic markets
  - Other, specify

### OA 13.2
Describe how you apply ESG issues in strategic asset allocation and/or allocation of assets between geographic markets.

- **Reducing environmental impact is mandatory for every single investment.**

- **No**

### OA 14
Voluntary  |  Descriptive  |  PRI 1
---|---|---
### OA 14.1
Indicate if your organisation allocates assets to, or manages, funds based on specific environmental and social themed areas.

- **Yes**

### OA 14.2
Indicate the percentage of your total AUM invested in environmental and social themed areas.

- 100%

### OA 14.3
Please specify which thematic area(s) you invest in and provide a brief description.

- **Clean technology (including renewable energy)**
  - **Asset class invested**
    - Infrastructure
  - **Brief description of investment**
    - Renewable energy (e.g. on-shore wind, PV power plants); energy efficiency retrofits

- **Green buildings**
  - **Asset class invested**
    - Infrastructure
**Brief description of investment**

Energy efficiency retrofits for existing buildings, industrial processes and public infrastructure

- Sustainable forestry
- Sustainable agriculture
- Microfinance
- SME financing

**Asset class invested**

- Infrastructure
- Social enterprise / community investing
- Affordable housing
- Education
- Global health
- Water
- Other area, specify

**Innovation**

<table>
<thead>
<tr>
<th>OA 18</th>
<th>Voluntary</th>
<th>Descriptive</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 18.1</td>
<td>Indicate whether any specific features of your approach to responsible investment are particularly innovative.</td>
<td>☑ Yes</td>
<td></td>
</tr>
<tr>
<td>OA 18.2</td>
<td>Describe any specific features of your approach to responsible investment that you believe are particularly innovative.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Especially for energy efficiency retrofits in existing infrastructure innovation is represented by solving the market inefficiency of lacking adequate financing by providing capital to real estate owners, industrial companies and public infrastructure project via "off-balance-sheet"-financing.

**Assurance of responses**

<table>
<thead>
<tr>
<th>OA 19</th>
<th>Voluntary</th>
<th>Additional Assessed</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 19.1</td>
<td>Indicate whether your reported information has been reviewed, validated and/or assured by internal and/or external parties.</td>
<td>☑ Yes</td>
<td></td>
</tr>
</tbody>
</table>
OA 19.2 | Indicate who has reviewed, validated and/or assured your reported information.

☑ Reviewed by Board, CEO, CIO or Investment Committee
☐ Validated by internal audit or compliance function
☐ Assured by an external independent provider, specify name

☐ No
SUSI Partners AG

Reported Information

Public version

Direct - Infrastructure

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Overview

INF 01 | Mandatory to Report Voluntary to Disclose | Gateway/Peering | General
---|---|---|---
INF 01.1 | Provide a breakdown of your organisation’s internally managed infrastructure investments by equity and debt.

<table>
<thead>
<tr>
<th>Infrastructure investment instruments</th>
<th>Percentage of your internally managed infrastructure investments (in terms of AUM)</th>
</tr>
</thead>
</table>
| **Equity investments** | ☑ >50%  
| | ☑ 10-50%  
| | ☑ <10%  
| | ☑ 0%  |
| **Debt investments** | ☑ >50%  
| | ☑ 10-50%  
| | ☑ <10%  
| | ☑ 0%  |
| **Total** | 100% |

INF 01.2 | Indicate the level of ownership you typically hold in your infrastructure investments.

☑ a majority stake (>50%)  
☑ a 50% stake  
☑ a significant minority stake (between 10-50%)  
☑ a minority stake (<10%)  
☑ a mix of ownership stakes  
☑ N/A, we hold 100% debt investments

INF 02 | Mandatory to Report Voluntary to Disclose | Gateway/Peering | General
---|---|---|---
INF 02.1 | Provide a breakdown of your organisation’s infrastructure assets based on who manages the assets.
<table>
<thead>
<tr>
<th>Infrastructure assets managed by</th>
<th>Breakdown of your infrastructure assets (by number)</th>
</tr>
</thead>
</table>
| Managed directly by your organisation/companies owned by you | ☐ >50%  
☐ 10-50%  
☐ <10%  
☐ 0% |
| Managed via third-party operators appointed by your organisation/companies owned by you | ☐ >50%  
☐ 10-50%  
☐ <10%  
☐ 0% |
| Managed by other investors/their third-party operators | ☐ >50%  
☐ 10-50%  
☐ <10%  
☐ 0% |
| **Total** | **100%** |

---

**INF 03** | Voluntary | Descriptive | General
---|---|---|---
**INF 03.1** | Indicate up to three of your largest infrastructure sectors by AUM.
## Sector

### Main infrastructure sectors (by AUM)

| Largest infrastructure sector | ○ Transportation |
|                               | ◆ Energy infrastructure |
|                               | ○ Conventional energy |
|                               | ○ Renewable energy |
|                               | ○ Water management |
|                               | ○ Waste management |
|                               | ○ Communication |
|                               | ○ Social infrastructure |
|                               | ○ Other, specify |

| Second largest infrastructure sector | ○ Transportation |
|                                     | ◆ Energy infrastructure |
|                                     | ○ Conventional energy |
|                                     | ◆ Renewable energy |
|                                     | ○ Water management |
|                                     | ○ Waste management |
|                                     | ○ Communication |
|                                     | ○ Social infrastructure |
|                                     | ○ Other, specify |

| Third largest infrastructure sector | ○ Transportation |
|                                    | ◆ Energy infrastructure |
|                                    | ○ Conventional energy |
|                                    | ○ Renewable energy |
|                                    | ○ Water management |
|                                    | ○ Waste management |
|                                    | ○ Communication |
|                                    | ○ Social infrastructure |
|                                    | ○ Other, specify |

### INF 04

**Voluntary**

**Descriptive**

**PRI 1-6**

| INF 04.1 | Provide a brief overview of your organisation’s approach to responsible investment in infrastructure where you have equity stakes. |

The future energy supply is based on the three cornerstones

1. generation of renewable energy, 2. improvement of energy efficiency and 3. optimized energy storage and smart grids.

SUSI Partners AG is an investment advisor identifying and analyzing sustainable energy infrastructure projects to implement the energy transition. These projects are then finances through the funds managed by SUSI Partners AG's subsidiary Sustainable Sàrl (based in Luxembourg). The funds advised by SUSI Partners AG generate stable returns for institutional investors and invest exclusively in measurable sustainable and ecologically responsible infrastructure like renewable energy projects and energy efficient retrofits of buildings and industrial facilities.
INF 05.1 Indicate if your organisation has a responsible investment policy for infrastructure.

- Yes
- No

Fundraising of infrastructure funds

INF 06.1 Indicate if your fund placement documents (private placement memorandums (PPMs) or similar) refer to responsible investment aspects of your organisation.

- Yes

INF 06.2 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

INF 06.3 Describe how your organisation refers to responsible investment for infrastructure funds in fund placement documents (PPMs or similar). [Optional]

All investments have to generate a measurable positive impact on the environment by reducing CO2 emissions. Thus, for every infrastructure project the amount of CO2 savings is to be reported.

- No
- Not applicable as our organisation does not fundraise
### INF 07.1
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.

- We always make formal commitment to responsible investment in fund formation contracts, LPAs or side letters
- In a majority of cases we make formal commitment to responsible investment in fund formation contracts, LPAs or side letters
- In a minority of cases we make formal commitment to responsible investment in fund formation contracts, LPAs or side letters
- We do not make formal commitment to responsible investment in fund formation contracts, LPAs or side letters
- Our clients do not request us to make formal commitments to responsible investment in infrastructure

### INF 07.3
Additional information.

For every project the amount CO2 savings (in tons) needs to be reported.

### Pre-investment (selection)

#### INF 08
Indicate if your organisation typically incorporates ESG issues when selecting infrastructure investments.

- Yes

#### INF 08.2
Describe your organisation’s approach to incorporating ESG issues in infrastructure investment selection. [Optional]

Every energy infrastructure project has to provide the possibility to reduce a measurable amount of CO2 emissions, otherwise it is not even taken into consideration for investment.

- No

### INF 09
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.

- Internal staff
  - Specify role
    - Portfolio Managers and Investment Analysts
  - Specify role
  - Specify role
- External resources
- No use of internal or external advice on ESG issues
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.

**ESG issues**

☑️ Environmental

List up to three typical examples of environmental issues

- CO2 emissions
- Investments in renewable energy, in particular in wind and solar farms
- Financing of energy efficiency retrofits for existing infrastructure

☐ Social

☑️ Governance

List up to three typical examples of governance issues

- Every investment is transparent and can be communicated to investors.

Indicate what type of ESG information your organisation typically considers during your infrastructure investment selection process.

☑️ Raw data from the target infrastructure asset/company

☐ Benchmarks/ratings against similar infrastructure asset

☑️ Sector level data/benchmarks

☐ Country level data/benchmarks

☐ Reporting standards, infrastructure sector codes and certifications

☐ International initiatives, declarations or standards

☐ Engagements with stakeholders (e.g. contractors and suppliers)

☑️ Advice from external sources

☐ Other, specify

☐ We do not track this information

For every selected infrastructure investment a full environmental impact study is conducted.
Indicate if ESG issues impacted your infrastructure investment selection processes 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
☐ We do not track this potential impact

Post-investment (monitoring and active ownership)

Overview

INF 14 Mandatory Gateway PRI 2

INF 14.1 Indicate if your organisation, and/or operators, consider ESG issues in post-investment activities relating to your infrastructure assets.

☐ Yes

INF 14.2 Indicate how your organisation, and/or operators, considers ESG issues in the following post-investment activities relating to your infrastructure assets.

☐ We consider ESG issues in the monitoring and operation of infrastructure
☐ We consider ESG issues in infrastructure maintenance
☐ We consider ESG issues in stakeholder engagements related to our infrastructure
☐ We consider ESG issues in other post-investment activities, specify

INF 14.3 Describe how your organisation, and/or operators, considers ESG issues in post-investment activities related to your infrastructure investments. [Optional]

On a continuous basis, tons of CO2 emissions reduced are measured for every investment.

☐ No

Infrastructure monitoring and operations

INF 15 Mandatory Core Assessed PRI 2
**INF 15.1** Indicate the proportion of infrastructure assets where your organisation, and/or operators, included ESG performance in investment monitoring during the reporting year.

- ☐ >90% of infrastructure assets
- ○ 51-90% of infrastructure assets
- ○ 10-50% of infrastructure assets
- ○ <10% of infrastructure assets

(in terms of number of infrastructure assets)

**INF 15.2** Indicate ESG issues for which your organisation, and/or operators, typically sets and monitors targets (KPIs or similar) and provide examples per issue.

- ☑ Environmental
  - List up to three example targets per issue
  - Tons of CO2 emissions reduced per project invested (in % and total amount)
  - Employees use innovative credit card, which captures emissions linked to all purchases and offsets them via investments in premium emission-reduction projects
- ☑ Social
  - List up to three example targets per issue
  - Public and bike transport encouragement (% of employees using public transportation or the bike to reach the office)
- ☑ Governance
  - List up to three example targets per issue
  - Investors satisfaction survey
  - ☐ We do not set and/or monitor against targets

**INF 16** Mandatory

**INF 16.1** Indicate if you track the proportion of your infrastructure investees that have an ESG/sustainability-related policy (or similar guidelines).

- ○ Yes
- ☐ No

**INF 17** Voluntary

**INF 17.1** Indicate the type and frequency of reports you request and/or receive from infrastructure investees covering ESG issues.

**Type of Reporting**
Infrastructure maintenance

**INF 18** Mandatory

<table>
<thead>
<tr>
<th>INF 18.1</th>
<th>Indicate the proportion of active infrastructure maintenance projects where ESG issues have been considered.</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ &gt;90% of active maintenance projects</td>
<td></td>
</tr>
<tr>
<td>○ 51-90% of active maintenance projects</td>
<td></td>
</tr>
<tr>
<td>○ 10-50% of active maintenance projects</td>
<td></td>
</tr>
<tr>
<td>○ &lt;10% of active maintenance projects</td>
<td></td>
</tr>
<tr>
<td>○ N/A, no maintenance projects of infrastructure assets are active</td>
<td></td>
</tr>
</tbody>
</table>

(in terms of number of active maintenance projects)

**INF 18.2** Describe your approach to ESG considerations for infrastructure maintenance projects. [Optional]

General environmental impact is assessed during maintenance of projects and in particular, the saving of CO2 emissions has to be proven over the entire duration of a project.

Outputs and outcomes

**INF 20** Voluntary

<table>
<thead>
<tr>
<th>INF 20.1</th>
<th>Indicate if your organisation measures whether your approach to ESG issues in Infrastructure investments has affected financial and/or ESG performance.</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ We measure whether our approach to ESG issues impacts funds’ financial performance</td>
<td></td>
</tr>
<tr>
<td>☑ We measure whether our approach to ESG issues impacts funds’ ESG performance</td>
<td></td>
</tr>
</tbody>
</table>

Describe the impact on: Funds’ ESG performance

<table>
<thead>
<tr>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Positive</td>
</tr>
<tr>
<td>○ Negative</td>
</tr>
<tr>
<td>○ No impact</td>
</tr>
</tbody>
</table>

☐ None of the above
Provide examples of ESG issues that affected your infrastructure investments during the reporting year.

☐ Add Example 1

<table>
<thead>
<tr>
<th>ESG issue</th>
<th>Environmental impact</th>
</tr>
</thead>
</table>
| Types of infrastructure affected | a) renewable energy power plants  
b) energy efficiency retrofits in existing infrastructure (buildings, industrial sites and public infrastructure) |
| Impact (or potential impact) on investment | Increase in cash flows originating from:  
a) selling of electricity generated by renewable energy plants  
b) savings of energy costs by increasing energy efficiency of infrastructure |
| Activities undertaken to influence the investment and the outcomes | Continuous monitoring of technology and regulatory aspects related to investments |

☐ Add Example 2  
☐ Add Example 3  
☐ Add Example 4  
☐ Add Example 5

Indicate if your organisation proactively discloses ESG information on your infrastructure investments.

☐ Disclose publicly  
☒ Disclose to clients/beneficiaries only

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

☒ ESG information on how you select infrastructure investments  
☒ ESG information on how you monitor and manage infrastructure investments  
☒ Information on your infrastructure investments’ ESG performance  
☐ Other: specify
### INF 22.6
Indicate your organisation’s typical frequency of disclosing ESG information to your clients/beneficiaries.

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

### INF 22.7
Describe the ESG information and how your organisation proactively discloses it to your clients/beneficiaries. [Optional]

Reports include the amount of CO2 emissions that have been saved.

- No proactive disclosure to the public or to clients/beneficiaries