

GISR GUIDANCE FOR OWNER/RESEARCH ORGANIZATION DATA POINTS

AT A GLANCE

Agency Name: The registered name of your agency.

Agency Logo: A JPG file of your agency's logo. Size 248 x 112 is preferable.

Website: URL for your agency's publicly available home page or designated webpage.

Email for Investors: An email address for investor inquiries regarding your agency's ESG products.

Email for Rated Company: An email address for rated company inquiries regarding your agency's ESG products.

Email for General Use: An email address for general inquiries regarding your agency's ESG products

Headquarters: The city and country of your agency's headquarters.

Phone: A phone number for additional information on your agency's ESG products.

Agency Description: A succinct description of your agency, including a brief history, major business segments, ESG product and/or service offerings, strategic partners and summary of ESG approach. [Note: Limit of 200 words.]

Primary ESG Audience: The primary audience(s) for your agency's ESG products. (Select *primary* audience; select more than one if audiences are of equal importance.) For "other," please describe other ESG Audience in text box.

Coverage: Issue areas covered by your agency's ESG products. (Select all that apply.) For "other," please list other issue area in text box.

ESG Products/Services: ESG Products and/or Services offered by your agency. (Select all that apply.) [Note: You will have an opportunity to list additional ESG products/services not listed below in Part II: Background.]

Analytics: Systematic analysis of ESG data, often featuring graphical presentation of the data, with the purpose of drawing conclusions about that information.

Bespoke Research: Customized research, ratings or analysis prepared on behalf of a client.

Company Profiles/Research: Descriptive bodies of work on individual companies that address ESG issues.

Company Rankings: Company Rankings place a specific set of companies in order of performance against a given set of ESG criteria.

Company Ratings: Company Ratings ascribe an alphanumeric "score" to companies based on their performance against a given set of ESG criteria.

Controversies/Incidents Monitoring & Alerts: Tracking companies for controversial business activities or incidents determined material by a product’s methodology and/or alerting users when such controversies or incidents are discovered. Monitoring can be a distinct offering or embedded within your agency’s ESG products.

Country Analysis: Analysis of a country’s performance on ESG issues.

Corporate Engagement: Facilitating client interaction with corporations through research and/or outreach support, or serving as the client’s proxy in direct engagement with corporations.

Datafeeds: ESG data designed to integrate with securities trading platforms; datafeeds typically include company security identifiers

Green Bonds: Providing an index, rating or research on bonds that fund the development of environmental or sustainability-oriented projects or products.

Other Debit/Credit – Fixed Income ESG Research and/or Ratings (not including Green Bonds): Analysis of how ESG issues affect fixed income instruments, especially with respect to risk analysis, valuations and screening, and/or ratings of fixed income instruments from an ESG perspective. [Note: If Green Bonds only, select option above.]

Indices: Indexes are a group of securities that meet ESG criteria relative to specific markets or sectors for the purpose of benchmarking investment performance and/or serving as the basis for investment products.

Portfolio Analysis: Analysis of a client’s portfolio from an ESG perspective.

Proxy Voting Research: Research to support voting decisions on ESG shareholder resolutions pending at corporate annual meetings.

Screening/Restrictions Management Services: Service or product identifies companies for exclusion or inclusion based on their participation in specific sectors or business practices, e.g., tobacco.

Raw data: ESG data that has not been processed or analyzed.

Distinguishing Characteristics: A succinct description of the characteristics, attributes or features of your agency’s approach to ESG evaluation that distinguish it from its competitors. [Note: Limit of 120 words.]

AUM Utilizing Agency’s ESG Products/Services: Estimate of total combined assets under management (USD) that directly utilize your agency’s ESG products and/or services. (Select only one.)

PART II: BACKGROUND

Date Founded: Date agency was founded.

Key Milestones: Dates of significant ESG-related developments, such as mergers or acquisitions; formation or dissolution of partnerships; formation and composition of advisory groups; additions to ESG offerings; and company coverage expansion.

Ownership Structure: Your agency’s ownership structure, e.g., private, public, non-profit, etc. If privately owned, please describe Shareholder Structure.

Memberships: Key ESG-related memberships. (Select all that apply.)

PRI: Principles for Responsible Investment

ARISE: Association for Responsible Investment Services

Other: List other key ESG-related memberships in text box.

Significant interests in other companies: % ownership interests in other companies that provide ESG products and/or services.

Regional Offices: List the city and country of all corporate offices with at least one employee.

Business Partnerships: Key ESG-related partnerships with other business entities.

Academic Partnerships: Key ESG-related partnerships with academic entities.

Total Number of Employees (FTE): Total number of full-time equivalent employees. To arrive at this figure, tally the number of full-time employees (both employees directly employed by your agency and contract workers) who work on average 30 hours or more a week for your agency. Add a full-time equivalent figure that represents an aggregation of the hours worked by part-time employees, both direct and contract. For example, two part-time employees, each of whom works 15 hours per week, represent the equivalent of one full-time employee.

Of these, how many are directly employed by your agency on a permanent basis (FTE): Total number of employees listed above who are directly employed by your agency on a permanent basis.

Total Number of Employees Working on ESG Research and Rating Activities (FTE): Total number of full-time equivalent employees (both employees directly employed by your agency and contract workers) working on ESG research and rating activities. Such work includes ESG research, analysis, scoring, quality management, data management, client relations, rated entity relations, marketing, sales, product development, financial analysis and general administration. To arrive at this figure, tally the number of direct and contract employees working full-time (on average 30 hours or more a week) only on ESG research and rating activities. Add a full-time equivalent figure that represents an aggregation of the hours worked on ESG research and rating activities by part-time direct and contract employees. For example, two employees, who each work 15 hours per week on ESG research and rating activities, represent the equivalent of one full-time employee working on ESG research and rating activities.

Of these, how many are directly employed by your agency on a permanent basis (FTE): Total number of employees working on ESG research and rating activities listed above who are directly employed by your agency on a permanent basis.

Total Number of ESG Research Analysts (FTE): Total number of full-time equivalent ESG research analysts (both research analysts directly employed by your agency and contract research analysts). Research analysts conduct research, analysis, scoring, quality management, data management and interactions with clients and evaluated companies. To arrive at this figure, tally the number of full-time ESG research analysts, both direct and contract, who work on average 30 hours or more a week for your agency. Add a full-time equivalent figure that represents an aggregation of the hours worked by part-time ESG

research analysts, both direct and contract. For example, two ESG research analysts, each of whom works 15 hours per week, represent the equivalent of one ESG research analyst.

Of these, how many are directly employed by your agency on a permanent basis (FTE): Total number of ESG research analysts listed above who are directly employed by your agency on a permanent basis.

Additional ESG Products/Services not included in “At A Glance”: Please *list* any additional ESG-related products and/or services offered by your agency. (Please *list* these products only; you will have the opportunity to provide **descriptions and details** on these products in Part IV: Supplemental Information.)

Assurance: Assurance standards in which your agency participates. (Select all that apply.)

ARISTA certified: Agency has Certificate of Conformity confirming the compliance of its methodology, integrity codes and quality management systems and products with the standard ARISTA 3.0® after annual audits. Provide URL link in the text box.

ISO: Agency or agency’s product is ISO certified. List specific ISO standard and indicate if standard applies to agency or specific product(s) in text box.

Other third party assurance: Agency has obtained third party assurance. List name of third party in text box.

Annual Reports/Audited Accounts: **Public firms:** Provide the URL link to the investor section of your firm’s website if it has links to corporate annual reports or provide the URL link to corporate annual reports filed at the appropriate regulatory agency, e.g., Form 10-K filed with the U.S. Securities and Exchange Commission. **Private agencies:** Select “Yes” if agency produces annual reports or audited accounts. If publicly available, select “publicly available” and provide the URL link in the text box.

Sustainability Report: Select “Yes” if your agency produces a Sustainability or Corporate Social Responsibility Report. If publicly available, select “publicly available” and provide the URL link in the text box.

Code of Conduct: Select “Yes” if your agency has a Code of Conduct for its employees. If publicly available, select “publicly available” and provide the URL link in the text box.

Independence Policy: Select “Yes” if your agency has an Independence Policy. Please highlight how your agency manages and discloses perceived conflicts of interest. If information is publicly available, select “publicly available” and provide the URL link in the text box.

PART III: ISSUES

Environmental: List **all** environmental issues (not indicators) included in your agency’s ESG products. [Note: Issues are distinct from indicators, which are used to measure issues. For instance, a product incorporates the “issue” of climate change and uses the amount of greenhouse gas emissions as an “indicator” to measure or gauge a company’s performance or disclosure on climate change. Also note that this is meant to be a comprehensive listing; Product Profiles will link specific environmental issues to specific products.]

Social: List **all** social issues (not indicators) included in your agency’s ESG products. [Note: Issues are distinct from indicators, which are used to measure issues. For instance, a product incorporates the “issue” of labor rights and uses the percentage of facilities where workers have received training or education on workplace standards as an “indicator” to measure or gauge a company’s performance or disclosure on labor rights. Also note that this is meant to be a comprehensive listing; Product Profiles will link specific social issues to specific products.]

Governance: List **all** governance issues (not indicators) included in your agency’s ESG products. [Note: Issues are distinct from indicators, which are used to measure issues. For instance, a product incorporates the “issue” of executive compensation and uses the ratio of CEO pay to median employee pay as an “indicator” to measure or gauge a company’s performance or disclosure on executive compensation. Also note that this is meant to be a comprehensive listing; Product Profiles will link specific governance issues to specific products.]

Other: List any additional issues included in your agency’s ESG products not listed above. [Note: Issues are distinct from indicators, which are used to measure issues. For instance, a product incorporates the “issue” of product responsibility and uses any major controversies, fines or settlements related to product responsibility as an “indicator” to measure or gauge a company’s performance or disclosure on product responsibility. Also note that this is meant to be a comprehensive listing; Product Profiles will link specific additional issues to specific products.]

PART IV: SUPPLEMENTAL INFORMATION

Additional ESG Products/Services:

Description or URL link to any additional ESG products/services/reports that your agency would like to highlight and are not included in Section 4 (ratings, rankings or indexes). [Note: No limit on length.]

Quality Assurance:

Description or URL link to any additional information on your agency’s quality assurance program/procedures that your agency would like to provide. [Note: No limit on length.]