

# Vontobel Fund (CH) - Ethos Equities Swiss Mid&Small

CH0023568022

<b>Issuer</b>	Vontobel
<b>Fund provider</b>	Vontobel
<b>Fund type/Asset class</b>	Equity fund
<b>Legal form</b>	Contractual fund, under Swiss law, of the "other funds for traditional investments" type
<b>Fund issue date</b>	10/12/2004
<b>Last Update</b>	18.06.2024
<b>Benchmark</b>	SPI Extra, Total Return in CHF
<b>Tranche</b>	Private Investors Institutional Investors foundations



**Risk Indicator (PRIIP)**  
4 of 7

**Licensed in**  
CH

**Classification by SFDR**  
Article 8

**EU Taxonomy**  
-

**% of Sustainable Investments according to SFDR**  
-

## Principal Adverse Impacts

No explicit details regarding the principal adverse impacts.

## Sustainable Development Goals

No explicit details regarding the Sustainable Development Goals

## NORMAL ALLOCATION

<b>Equities</b>	95 % to 100 %
<b>Bonds</b>	Excluded
<b>Money market/Bank deposits</b>	0 % to 5 %
<b>Commodities</b>	Excluded
<b>Direct investments</b>	Excluded
<b>Derivatives</b>	Excluded
<b>Other</b>	-

## Sustainability approach

Principal Adverse Impacts	-
Further remarks on the consideration of SDGs	-
Rationale behind classification according to SFDR	Article 8 Equivalent to Article 8
Engagement	Yes, organized internally <a href="#">Link to engagement policy</a>
Voting	Yes, organized internally <a href="#">Link to voting policy</a>
Best-in/of-Class	Best-In-Class  Ethos assesses companies based on a standard quantitative multi-criteria approach using approximately 100 ESG data points split into three main categories: Governance (40%), Strategy & Reporting (20%) and Stakeholders (40%). The weights of the three main categories are fixed but not those of the subdivisions which depend on the company's sector. Each company is given an ESG score based on the abovementioned criterion. The ESG score takes into account industry specific ESG characteristics and positions the company with regard to its peers. An ESG rating is attributed to each company depending on its ESG score (quantitative) and its controversy assessment level (qualitative). Based on evidence that is checked by its staff, Ethos identifies companies involved in serious ESG controversies, such as human rights and labour rights breaches, serious environmental damages, severe corruption, etc. In this process, Ethos also measures the pertinence of the companies' responses to such controversies and takes it into account in the result of the screening. In addition, for each company, Ethos applies a Carbon rating, which measures the carbon footprint of companies and compares it with the footprint of their peers (quantitative assessment) and assesses their climate change strategy (qualitative assessment), such as the strategy implemented by the company in order to reduce its carbon footprint and tackle climate change. The funds can only invest in companies with the best ESG ratings and Carbon ratings.
ESG-Integration	No
Norm-based screening	<ul style="list-style-type: none"> <li>✓ UN Global Compact</li> <li>✓ ILO core labour standards</li> <li>✓ OECD Guidelines for Multinational Enterprises</li> </ul> <p><b>Other</b> Universal Declaration of Human Rights, UN Guiding Principles on Business and Human Rights, UN Sustainable Development Goals, among others</p>
Themes	-
Impact Investing	-
Further information on the sustainability approach	-

## Research and Transparency

In-house sustainability analysis	Yes, 23
Research partners	Yes RepRisk, Trucost (S&P Global)
Percentage of portfolio with sustainability analysis	100 %
Strategically important suppliers included	Yes
Sustainability advisory committee	No
Analysis of portfolio CO2	Yes, backward-looking indicator  The carbon footprint is calculated at least on a quarterly basis and compared to the relevant benchmark to assess the carbon profile of the fund via the weighted average of the carbon intensity (WACI) method (scope 1 and scope 2).
Sustainability reporting	Yes  Monthly factsheets with ESG indicators are published as well as quarterly carbon footprint and proxy voting reports.
At least monthly portfolio publication	Yes  <a href="#">Link to monthly portfolio publication</a>
Certification/Label awarded by independent auditors	<ul style="list-style-type: none"> <li>✓ FNG Label ★★★</li> </ul> <p><b>Other</b> FNG Label (3 stars)</p>

## Environmental

### EXCLUSION OF SECTORS / AREAS OF BUSINESS – COMPANIES

Fossil fuels (Coal, Oil and Gas)	No
Nuclear power (operation and components)	Yes 5 % Turnover threshold
Green genetic engineering	Yes 5 % Turnover threshold
Chlorine and agrochemicals (biocides)	No
Other	Coal, Oil sands, Shale gas and oil, Arctic oil and gas, Transport of unconventional fossil fuels in oil and gas pipelines 5 % Turnover threshold

## EXCLUSION OF BUSINESS PRACTICES – COMPANIES

Environmentally damaging behaviour	Yes
Damage to biodiversity	Yes
Other	Violation of the precautionary principle, hazardous industrial production methods, non-conventional mining or oil production methods

## EXCLUSION CRITERIA – COUNTRIES

Non-ratification of the Paris Climate Agreement	No
Non-ratification of the Protocol on Biosafety	No
Non-ratification of the UN Biodiversity Convention	No
Nuclear power by proportion of gross energy production	No
Other	-

## Social

### EXCLUSION OF SECTORS / AREAS OF BUSINESS – COMPANIES

Weapons/Armaments	Yes 5 % Turnover threshold
Cluster bombs and anti-personnel mines	Yes
Weapons of mass destruction (ABC/CBRN)	Yes
Tobacco products	Yes 5 % Turnover threshold
Pornography	Yes 5 % Turnover threshold
Spirits/Alcohol	No
Gambling	Yes 5 % Turnover threshold
Other	-

## EXCLUSION OF BUSINESS PRACTICES – COMPANIES

Labour rights (ILO core labour standards)	Yes
Exploitative child labour	Yes
Violation of human rights	Yes
Animal testing	Yes
Other	-

## EXCLUSION CRITERIA – COUNTRIES

Labour rights	No
Violation of human rights	No
Military spending as a percentage of GDP	No
Death penalty, torture	No
Countries classified by Freedom House as not free	No
Violations of the Nuclear Non-Proliferation Treaty	No
Violations of other non-proliferation treaties	No
Other	-

## Governance

### EXCLUSION OF BUSINESS PRACTICES – COMPANIES

<b>Corruption and bribery</b>	Yes
<b>Tax: planned avoidance &amp; detected violations</b>	Yes
<b>Other</b>	Non-compliance with certain fundamental principles of good corporate governance respected, in particular the poor protection of minority shareholders

### EXCLUSION CRITERIA – COUNTRIES

<b>Corruption</b>	No
<b>Other</b>	-

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