AAM FUND MANAGER SURVEY 2022

AAM will plant a tree on behalf of every fund manager who takes part in this year’s survey and provides us with a valid response. This is in association with Yuanhui Sand Control Network, an organisation that engages in reforestation and de-desertification projects in the Ecological Migration Demonstration Area of the Alxa League and the Inner Mongolia Autonomous Region.

Please take a moment to help us make a difference.

Our deadline for submissions is September 19, 2022.

**A: Overview:**

1. Name of firm:

|  |  |  |
| --- | --- | --- |
| i. | Total Assets Under Management (Global) as of June 30, 2022: | Total: US$ |
| ii. | Total Assets Under Management in Asia as of June 30, 2022 (including Japan, excluding Australia and New Zealand): | Total: US$ |
| iii. | Total assets managed from: |  |
|  | 1. Hong Kong:
 | US$ |
|  | 1. Singapore:
 | US$ |
|  | 1. Taiwan:
 | US$ |
|  | 1. Korea:
 | US$ |
|  | 1. China
 | US$ |
|  | 1. India:
 | US$ |
|  | 1. Japan:
 | US$ |
|  | 1. Other Asian countries; please specify:
 | US$ |

1. Assets Under Management in (US$):
2. Breakdown of Institutional Assets Under Management in Asia in US$ as of June 30, 2022
(including Japan, excluding Australia and New Zealand):

|  |  |  |
| --- | --- | --- |
| i. | Segregated: | US$ |
| ii. | Pooled Funds: | US$ |

1. Out of your total global AUM stated in 2(i), what amount (or percentage) as of June 30, 2022 is:

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Total US$ | Percentage % |
| i. | Alternatives/private markets (vs public market assets) |  |  |
|  | Date of valuation used for alternatives (please see note below) |  |
| ii. | Actively managed (vs passive) |  |  |
| iii. | ESG compliant |  |  |

NB: *Valuations for alternatives can be delayed and may not be available as at June 30, 2022. If so, kindly state the date of the latest valuation used. Please note that we define alternatives as any assets excluding public equities/debt and cash equivalents (including derivatives based on these). Alternatives would include direct real estate, private equity/VC, private debt, hedge funds, infrastructure funds etc. that are not traded on public markets:*

**B: Adoption of Environmental, Social and Governance (ESG) strategies:**

1. What amount or percentage of your AUM sourced in Asia is ESG compliant as of June 30, 2022?

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Total US$ | Percentage % |
| i. | Amount (US$) or percentage of AUM in Asia: |  |  |

1. Total assets sourced from Asia in US$ as of June 30, 2022 that are ESG compliant:

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Amount (US$) | Percentage (%) |
| i. | Retail: | US$ |  |
| ii. | Institutional: | US$ |  |
| iii | Private banks: | US$ |  |
| iv. | ETFs: | US$ |  |
| v. | Others | US$ |  |

3. Of the institutional funds sourced from Asia in US$ as of June 30, 2022 that are ESG compliant, what amount and percentage is allocated to:

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Amount (US$) | Percentage (%) |
| i. | Pension funds: | US$ |   |
| ii. | Insurance funds: | US$ |  |
| iii | Sovereign wealth funds: | US$ |  |
| iv. | Others (please specify): | US$ |  |

4. Net Zero goals:

|  |  |  |
| --- | --- | --- |
| i. | Do you have a Net Zero goal? | Yes / No(please circle one) |
| ii. | If yes, what is your target date to achieve your Net Zero goal? |  |
| iii | Are you a signatory to any of the following international climate initiatives? |  |
|  | 1. United Nations SDGs
 |  |
|  | 1. Asia Investor Group on Climate Change (AIGCC)
 |  |
|  | 1. Net Zero Asset Managers Initiative (NZAM)
 |  |
|  | 1. United Nations PRI
 |  |
|  | 1. Others (please specify)
 |  |
| iv. | Do you determine climate aligned investment solutions for your portfolios with reference to: |  |
|  | a) United Nations SDGs |  |
|  | b) Task Force for Climate Related Financial Disclosures (TCFD) |  |
|  | c) Paris Aligned Investment Initiative (PAII) |  |
|  | d) Third party ESG data providers |  |
|  | e) Internal ESG research and scoring methodology |  |
|  | f) Others (please specify) |  |

**C: Impact of Covid-19:**

1. Have you made any changes to your investments in the light of the Covid-19 pandemic? If so, please describe the key asset allocation, stock selection eg. Industry, geography, duration changes that were made?

|  |
| --- |
|  |

1. What challenges do you see over the next 12 months as a result of Covid-19?

|  |
| --- |
|  |

1. Have you made any changes to your working style during the pandemic, eg. provisions for employees working from home?

|  |
| --- |
|  |

**D: Personnel:**

1. Number of professionals in Asia (including Japan, excluding Australia and New Zealand):

|  |  |  |
| --- | --- | --- |
| i. | Portfolio Managers |  |
| ii. | Research Analysts |  |
| iii. | Institutional Sales / Marketing |  |
| iv. | Retail Sales / Marketing |  |
| v. | Marketing / Client Servicing |  |
| vi. | Back Office / Operations |  |
| vii. | Others |  |

1. Number of professionals in Asia by country (including Japan, excluding Australia and New Zealand) working from:

|  |  |
| --- | --- |
| 1. Hong Kong:
 |  |
| 1. Singapore:
 |  |
| 1. Taiwan:
 |  |
| 1. Korea:
 |  |
| 1. China
 |  |
| 1. India:
 |  |
| 1. Japan:
 |  |
| 1. Other Asian countries; please specify:
 |  |

1. Contact details for survey:

|  |  |  |
| --- | --- | --- |
| i. | Name / Job title: |  |
| ii. | Email: |  |
| iii. | Office address: |  |
| iv. | Contact No.: |  |
| v. | Fax No.: |  |
| vi. | Website: |  |

**Guidance notes and frequently asked questions**

1. Total Assets Under Management (AUM) (global): This refers to total AUM firm wide.
2. Total AUM in Asia: This refers to assets managed in Asia, including AUM in Japan, excluding Australia and New Zealand.
3. Total assets sourced from Asia: This refers to assets sourced of clients that are based in Asia, including Japan, excluding Australia and New Zealand. This does not include assets of clients who are investing in Asia but are located outside of Asia.
4. While AUM of joint ventures (JVs) are included in item 1 above, please note that we allow for 100% of the JV’s assets to be included in the firm-wide total only if the shareholding in the JV is 35% or more. If it is less than 35%, the AUM should then be on a pro rata basis, based on the level of equity ownership. For example, if company A has a JV and owns 20% of the JV, company A should only include 20% of the JV’s AUM in the firm-wide total.
5. Data provided for this survey must refer to the 12-month period ending June 30, 2022.
6. AAM will make a donation to Yuanhui Sand Control Network on behalf of every manager who completes the survey. All survey participants will receive a certificate of participation and be listed as a donor in the 2022 AAM Fund Management Survey. Information on this organisation can be found at www.sf-ecology.com. Any participants not wanting to be listed as donors should advise us in advance of publication.
7. Please return the completed survey to us on / before **Monday, September 19, 2022**, and submit it, preferably in PDF format, to fms@asiaasset.com.

**Note:** Please return the completed survey to us on / before **Monday, September 19, 2022** and send it, preferably in PDF format, to fms@asiaasset.com.

If you have any questions regarding this survey, please email your enquiries to fms@asiaasset.com **or** contact us at (852) 2547 7331.

Thank you for your participation.

**Asia Asset Management**