

Annex 2

Confirmation from management companies of the Green or ESG funds

Please note that any representation in, or referred to in, any application, and any representation made from time to time in support of any application which is false or misleading in a material particular, the provision of any information to the SFC which is false or misleading in a material particular and the provision of any record or document which is false or misleading in a material particular may constitute an offence under section 383(1), 384(1) and/or 384(3) of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong).

Name of scheme(s):

a) Name (or such other name :
as may be approved by the
SFC) of the umbrella/single
fund(s) _____

b) Name (or such other name :
as may be approved by the
SFC) of the relevant sub-
fund(s) _____

(i) ***(please tick only one of the following boxes)***

- The above scheme(s) has/have been authorized by the Securities and Futures Commission (“Commission”);
- The above scheme(s) is/are in the process of obtaining authorization from the Commission;

(ii) **(please tick only one of the following boxes)**

For scheme(s) without submitting independent third party certification or fund label, we confirm the following:

- (a) the scheme(s) has/have incorporated one or more of the globally recognized green or ESG criteria or principles (“Green or ESG factor(s)”) as the key investment focus of the scheme(s);

(please state and briefly describe the Green or ESG factor(s) being considered and how the key investment focus is considered as green or ESG-related in the following box)

- (b) the scheme(s) invest(s) primarily in investments to reflect the particular green or ESG investment focus which the scheme(s) represent(s);
- (c) manager of the scheme(s) regularly monitors and evaluates the underlying investments with proper procedures in place to ensure the scheme(s) continue(s) to meet the stated investment objective and requirements as set out in the circular to management companies of SFC-authorized unit trusts and mutual funds – Green or ESG funds dated 11 April 2019 (“Circular”);

For scheme(s) submitting independent third party certification or fund label¹, we confirm the issuer of green or ESG fund certification or label is independent from the scheme(s) and its/their associated entities;

(iii) We confirm the scheme(s) has/have met the disclosure requirements as set out in the Circular; and

(iv) We have submitted a soft copy of the following document(s) along with the confirmation:

(a) *(Applicable to scheme(s) which has/have chosen to provide confirmation supported with independent third party certification or fund label)* the relevant green or ESG fund certificate or evidence of green or ESG fund label obtained by the scheme(s);

(b) the offering document(s) (including product key facts statement(s), where applicable) with proper annotation(s) of the required disclosures in text-searchable format.

¹ The SFC expects the independent third party or fund labelling agency as part of the certification or labelling process to review, at a minimum, the Green or ESG fund’s primary investment to reflect the particular green or ESG investment focus which the fund represents, investment selection and ongoing monitoring process, and adherence to globally recognized green or ESG criteria or principles.



Signed for and on behalf of:

Name of management company² :

Signature :

(Insert name of the Responsible Officer (in respect of Type 9 Regulated Activity) of SFC-licensed management company² or at least one executive director (or above)³ of the management company²)

Title / Position :

² For self-managed schemes, references to the management company are deemed to be references to the investment delegate of the scheme(s).

³ Equivalents include, for example, CEO, managing director, etc. Essentially, the signatory is expected to be a senior-ranking executive with overall responsibility for the confirmation.