



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

EVALUATION AND IMPLEMENTATION OF SUSTAINABLE PRINCIPLES

COMPANY Name: _____ (“Respondent”)

Many risks and opportunities facing companies may not be captured on a balance sheet or income statement, but nonetheless have an impact on financial performance and business operations. These risks and opportunities are generally referred to as environmental, social and governance (ESG) factors. The following questions are intended to elicit disclosure of information that sheds light on how ESG factors are relevant to the Respondent and the services it provides.

1. Does your firm have a policy that addresses ESG factors? If so, please describe.
2. Please list some examples of the ESG factors that you would consider in your firm’s decision-making process. How do you evaluate the potential financial impact of these ESG factors?
3. Have you designated someone within the firm ultimately responsible for sustainability policies and research?
4. Do you provide training or resources to staff to keep abreast of emerging sustainability issues? If so, what data sources do you use to access ESG-related data?
5. Are you a signatory or member of any sustainability-related initiatives or groups (e.g., UN Principles for Responsible Investment, the Carbon Disclosure Project, International Corporate Governance Network, Investor Network on Climate Risk or UK Stewardship Code)?
6. Do you have a policy for evaluating current or prospective relationships with manufacturers or retailers of civilian firearms?
7. In regards to doing business with manufacturers or retailers of civilian firearms, do you have a policy that requires safe and responsible use, ownership or production?
8. Do you conduct enhanced screening of current or prospective relationships with manufacturers or retailers of civilian firearms?
9. Do you conduct enhanced screening of current or prospective relationships with any industry or sector that may be subject to increased regulatory oversight, or that may present adverse social and/or environmental impacts?
10. Do you have merchant credit relationships with retailers of civilian firearms and accessories? If so, do you have policies in place to evaluate whether these retailers comply with applicable laws regarding sales of firearms?
11. Please provide any additional information that may be helpful in understanding your approach to evaluating ESG factors.

Official:

Signed: _____

Name: _____

Title: _____