



| LEA 02 | Discipline: Mandatory | Principle: PRI 1, 2, 3 |
|--|---|------------------------|
| <p>Type of engagement</p> <p>Individual/ internal staff engagements</p> | <p>Reason for interaction</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> To support investment decisionmaking in & company's material ESG issues <input checked="" type="checkbox"/> To influence corporate practice or identify the need for a material or other issue <input type="checkbox"/> To support investment decisionmaking in & company's material ESG issues <input type="checkbox"/> To influence corporate practice or identify the need for a material or other issue | |
| <p>Collaborative engagements</p> | <ul style="list-style-type: none"> <input type="checkbox"/> To support investment decisionmaking in & company's material ESG issues <input type="checkbox"/> To influence corporate practice or identify the need for a material or other issue | |
| <p>Service provider engagements</p> | <ul style="list-style-type: none"> <input type="checkbox"/> To support investment decisionmaking in & company's material ESG issues <input type="checkbox"/> To influence corporate practice or identify the need for a material or other issue | |

RI TRANSPARENCY REPORT

2017

Banco BTG Pactual S.A.

About this report

The PRI Reporting Framework is a key step in the journey towards building a common language and industry standard for reporting responsible investment (RI) activities. This RI Transparency Report is one of the key outputs of this Framework. Its primary objective is to enable signatory transparency on RI activities and facilitate dialogue between investors and their clients, beneficiaries and other stakeholders. A copy of this report will be publicly disclosed for all reporting signatories on the [PRI website](#), ensuring accountability of the PRI Initiative and its signatories.

This report is an export of the individual Signatory organisation's response to the PRI during the 2017 reporting cycle. It includes their responses to mandatory indicators, as well as responses to voluntary indicators the signatory has agreed to make public. The information is presented exactly as it was reported. Where an indicator offers a response option that is multiple-choice, all options that were available to the signatory to select are presented in this report. Presenting the information exactly as reported is a result of signatory feedback which suggested the PRI not summarise the information. As a result, the reports can be extensive. However, to help easily locate information, there is a **Principles index** which highlights where the information can be found and summarises the indicators that signatories complete and disclose.

Understanding the Principles Index

The Principles Index summarises the response status for the individual indicators and modules and shows how these relate to the six [Principles for Responsible Investment](#). It can be used by stakeholders as an 'at-a-glance' summary of reported information and to identify particular themes or areas of interest.

Indicators can refer to one or more Principles. Some indicators are not specific to any Principle. These are highlighted in the 'General' column. When multiple Principles are covered across numerous indicators, in order to avoid repetition, only the main Principle covered is highlighted.

All indicators within a module are presented below. The status of indicators is shown with the following symbols:

| Symbol | Status |
|--------|---|
| ✓ | The signatory has completed all mandatory parts of this indicator |
| ☑ | The signatory has completed some parts of this indicator |
| 🔒 | This indicator was not relevant for this signatory |
| - | The signatory did not complete any part of this indicator |
| Ⓜ | The signatory has flagged this indicator for internal review |

Within the table, indicators marked in blue are mandatory to complete. Indicators marked in grey are voluntary to complete.

Principles Index

| Organisational Overview | | | | Principle | | | | | | General |
|-------------------------|---|--------|------------------------------|-----------|---|---|---|---|---|---------|
| Indicator | Short description | Status | Disclosure | 1 | 2 | 3 | 4 | 5 | 6 | |
| OO 01 | Signatory category and services | ✓ | Public | | | | | | | ✓ |
| OO 02 | Headquarters and operational countries | ✓ | Public | | | | | | | ✓ |
| OO 03 | Subsidiaries that are separate PRI signatories | ✓ | Public | | | | | | | ✓ |
| OO 04 | Reporting year and AUM | ✓ | Public | | | | | | | ✓ |
| OO 05 | Breakdown of AUM by asset class | ☑ | Asset mix disclosed in OO 06 | | | | | | | ✓ |
| OO 06 | How would you like to disclose your asset class mix | ✓ | Public | | | | | | | ✓ |
| OO 07 | Fixed income AUM breakdown | ✓ | Private | | | | | | | ✓ |
| OO 08 | Segregated mandates or pooled funds | 🔒 | n/a | | | | | | | ✓ |
| OO 09 | Breakdown of AUM by market | ✓ | Private | | | | | | | ✓ |
| OO 10 | RI activities for listed equities | ☑ | n/a | | | | | | | ✓ |
| OO 11 | RI activities in other asset classes | ☑ | n/a | | | | | | | ✓ |
| OO 12 | Modules and sections required to complete | 🔒 | n/a | | | | | | | ✓ |
| OO End | Module confirmation page | ✓ | - | | | | | | | |

| Strategy and Governance | | | | Principle | | | | | | General |
|-------------------------|--|--------|------------|-----------|---|---|---|---|---|---------|
| Indicator | Short description | Status | Disclosure | 1 | 2 | 3 | 4 | 5 | 6 | |
| SG 01 | RI policy and coverage | ☑ | n/a | | | | | | | ✓ |
| SG 02 | Publicly available RI policy or guidance documents | ☑ | Public | | | | | | | ✓ |
| SG 03 | Conflicts of interest | ✓ | Public | | | | | | | ✓ |
| SG 04 | Identifying incidents occurring within portfolios | - | n/a | | | | | | | ✓ |
| SG 05 | RI goals and objectives | ✓ | Public | | | | | | | ✓ |
| SG 06 | Main goals/objectives this year | - | n/a | | | | | | | ✓ |
| SG 07 | RI roles and responsibilities | ✓ | Public | | | | | | | ✓ |
| SG 08 | RI in performance management, reward and/or personal development | ✓ | Private | | | | | | | ✓ |
| SG 09 | Collaborative organisations / initiatives | ✓ | Public | | | | ✓ | ✓ | | |
| SG 10 | Promoting RI independently | ☑ | Public | | | | ✓ | | | |
| SG 11 | Dialogue with public policy makers or standard setters | - | n/a | | | | ✓ | ✓ | ✓ | |
| SG 12 | ESG issues in strategic asset allocation | ✓ | Public | ✓ | | | | | | |
| SG 13 | Long term investment risks and opportunity | ☑ | Private | ✓ | | | | | | |
| SG 14 | Allocation of assets to environmental and social themed areas | ✓ | Private | ✓ | | | | | | |
| SG 15 | ESG issues for internally managed assets not reported in framework | 🔒 | n/a | | | | | | | ✓ |
| SG 16 | ESG issues for externally managed assets not reported in framework | 🔒 | n/a | | | | | | | ✓ |
| SG 17 | Innovative features of approach to RI | - | n/a | | | | | | | ✓ |
| SG End | Module confirmation page | ✓ | - | | | | | | | |

| Direct - Listed Equity Active Ownership | | | | Principle | | | | | | General |
|---|--|--------|------------|-----------|---|---|---|---|---|---------|
| Indicator | Short description | Status | Disclosure | 1 | 2 | 3 | 4 | 5 | 6 | |
| LEA 01 | Description of approach to engagement | ✓ | Public | | ✓ | | | | | |
| LEA 02 | Reasoning for interaction on ESG issues | ☑ | Public | ✓ | ✓ | ✓ | | | | |
| LEA 03 | Process for identifying and prioritising engagement activities | ✓ | Public | | ✓ | | | | | |
| LEA 04 | Objectives for engagement activities | ☑ | Public | | ✓ | | | | | |
| LEA 05 | Process for identifying and prioritising collaborative engagement | 🔒 | n/a | | ✓ | | | | | |
| LEA 06 | Objectives for engagement activities | 🔒 | n/a | | ✓ | | | | | |
| LEA 07 | Role in engagement process | 🔒 | n/a | | ✓ | | ✓ | | | |
| LEA 08 | Monitor / discuss service provider information | 🔒 | n/a | | ✓ | | | | ✓ | |
| LEA 09 | Share insights from engagements with internal/external managers | ✓ | Private | ✓ | ✓ | | | | | |
| LEA 10 | Tracking number of engagements | ✓ | Public | | ✓ | | | | | |
| LEA 11 | Number of companies engaged with, intensity of engagement and effort | 🔒 | n/a | | ✓ | | | | | |
| LEA 12 | Engagement methods | ✓ | Private | | ✓ | | | | | |
| LEA 13 | Engagements on E, S and/or G issues | 🔒 | n/a | | ✓ | | | | | |
| LEA 14 | Companies changing practices / behaviour following engagement | ✓ | Private | | ✓ | | | | | |
| LEA 15 | Examples of ESG engagements | - | n/a | | ✓ | | | | | |
| LEA 16 | Disclosure of approach to ESG engagements | - | n/a | | ✓ | | | | ✓ | |
| LEA 17 | Voting policy & approach | 🔒 | n/a | ✓ | ✓ | ✓ | | | | |
| LEA 18 | Typical approach to (proxy) voting decisions | 🔒 | n/a | | ✓ | | | | | |
| LEA 19 | Percentage of voting recommendations reviewed | 🔒 | n/a | | ✓ | | | | | |
| LEA 20 | Confirmation of votes | 🔒 | n/a | | ✓ | | | | | |
| LEA 21 | Securities lending programme | 🔒 | n/a | | ✓ | | | | | |
| LEA 22 | Informing companies of the rationale of abstaining/voting against management | 🔒 | n/a | | ✓ | | | | | |
| LEA 23 | Percentage of (proxy) votes cast | 🔒 | n/a | | ✓ | | | | | |
| LEA 24 | Proportion of ballot items that were for/against/abstentions | 🔒 | n/a | | ✓ | | | | | |
| LEA 25 | Shareholder resolutions | 🔒 | n/a | | ✓ | | | | | |
| LEA 26 | Examples of (proxy) voting activities | 🔒 | n/a | | ✓ | | | | | |
| LEA 27 | Disclosing voting activities | 🔒 | n/a | | ✓ | | | | ✓ | |
| LEA End | Module confirmation page | ✓ | - | | | | | | | |

Banco BTG Pactual S.A.

Reported Information

Public version

Organisational Overview

PRI disclaimer

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Basic Information

OO 01

Mandatory

Public

Gateway/Peering

General

OO 01.1

Select the services you offer.

Fund management

% of assets under management (AUM) in ranges

- <10%
- 10-50%
- >50%

Fund of funds, manager of managers, sub-advised products

% of assets under management (AUM) in ranges

- <10%
- 10-50%
- >50%

Other, specify

Execution and advisory services

OO 01.2

Additional information. [Optional]

BTG Pactual Group is an investment bank and asset and wealth manager with a dominant franchise in Brazil, and a successful international investment and distribution platform. BTG Pactual Group has international investment platforms located in London and New York, which in partnership with its Brazilian and other Latin American offices offers investment products and services in global emerging markets to our client's base.

OO 02

Mandatory

Public

Peering

General

OO 02.1

Select the location of your organisation's headquarters.

Brazil

OO 02.2

Indicate the number of countries in which you have offices (including your headquarters).

- 1
- 2-5
- 6-10
- >10

OO 02.3

Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).

| |
|-----|
| FTE |
|-----|

1895

| | |
|----------------|------------------------------------|
| OO 02.4 | Additional information. [Optional] |
|----------------|------------------------------------|

Currently, BTG Pactual has offices on three continents, and provides a comprehensive range of financial services to a Brazilian and global client base that includes corporations, institutional investors, governments and high net worth individuals. BTG Pactual has presence on South America (Brazil offices: São Paulo, Rio de Janeiro, Brasília, Recife, Porto Alegre, Belo Horizonte, Salvador, Curitiba; Colombia offices: Medellín and Bogotá; Lima; Buenos Aires; and Santiago), North America (New York, Ciudad de México) and Europe (London and Luxembourg).

As reported above, in December/2016, BTG Pactual had 1895 staffs in full-time equivalents, of these 344 are exclusively dedicated to Asset Management business.

| | | | | |
|--------------|-----------|--------|-------------|---------|
| OO 03 | Mandatory | Public | Descriptive | General |
|--------------|-----------|--------|-------------|---------|

| | |
|----------------|---|
| OO 03.1 | Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right. |
|----------------|---|

- Yes
- No

| | | | | |
|--------------|-----------|--------|-----------------|---------|
| OO 04 | Mandatory | Public | Gateway/Peering | General |
|--------------|-----------|--------|-----------------|---------|

| | |
|----------------|---|
| OO 04.1 | Indicate the year end date for your reporting year. |
|----------------|---|

31/12/2016

| | |
|----------------|---|
| OO 04.2 | Indicate your total AUM at the end of your reporting year, excluding subsidiaries you have chosen not to report on. |
|----------------|---|

| | trillions | billions | millions | thousands | hundreds |
|---------------|-----------|----------|----------|-----------|----------|
| Total AUM | | 83 | 400 | 000 | 000 |
| Currency | BRL | | | | |
| Assets in USD | | 24 | 073 | 417 | 092 |

| | | | | |
|--------------|-----------|--------|-------------|---------|
| OO 06 | Mandatory | Public | Descriptive | General |
|--------------|-----------|--------|-------------|---------|

New selection options have been added to this indicator. Please review your prefilled responses carefully.

| | |
|----------------|--|
| OO 06.1 | How you would like to disclose your asset class mix. |
|----------------|--|

- as percentage breakdown
- as broad ranges

| | | |
|--|------------------------|------------------------|
| | Internally managed (%) | Externally managed (%) |
|--|------------------------|------------------------|

| | | |
|--------------------|--------|---|
| Listed equity | <10% | 0 |
| Fixed income | 10-50% | 0 |
| Private equity | 10-50% | 0 |
| Property | 10-50% | 0 |
| Infrastructure | <10% | 0 |
| Commodities | 0 | 0 |
| Hedge funds | 10-50% | 0 |
| Forestry | <10% | 0 |
| Farmland | 0 | 0 |
| Inclusive finance | 0 | 0 |
| Cash | 0 | 0 |
| Other (1), specify | 0 | 0 |
| Other (2), specify | 0 | 0 |

OO 06.2

Publish our asset class mix as per attached image [Optional].

Banco BTG Pactual S.A.

Reported Information

Public version

Strategy and Governance

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Investment policy

| | | | | |
|-------|-----------|--------|---------------|---------|
| SG 03 | Mandatory | Public | Core Assessed | General |
|-------|-----------|--------|---------------|---------|

SG 03.1 Indicate if your organisation has a policy on managing potential conflicts of interest in the investment process.

Yes

SG 03.2 Describe your policy on managing potential conflicts of interest in the investment process.

BTG Pactual Code of Business Principles and Ethics sets ethical behaviour and professional conduct that must be followed by BTG Pactual partners, employees, interns, consultants, contractors and temporary workers ("Staff") when interacting with each other, with Clients or with counterparties and any other third parties related to our business. Also, our Global Policy on Conflicts of Interests sets out BTG Pactual's overall approach to ensure the appropriate identification and management of conflicts of interests relating to BTG Pactual and its Clients. Our Global Compliance Manual concentrates on conflicts of interests involving Staff Members. Some of these conflicts are further controlled through specific policies (e.g.: Global Personal Investment Policy; Global Information Barriers Policy; Global Outside Directorship and Other External Functions Policy, etc.). Staff should avoid business conflicts. If the conflict cannot be avoided it should be reported to Senior Management and Compliance, mitigated and, if applicable, disclosed to Clients or other affected parties

No

SG 03.3 Additional information. [Optional]

BTG Pactual's Code of Business Principles and Ethics sets ethical behaviour and professional conduct that must be followed by BTG Pactual partners, employees, interns, consultants, contractors and temporary workers ("Staff") when interacting with each other, with Clients or with counterparties and any other third parties related to our business. We are oriented to conduct business on a Client focused manner, which means our mission is to serve Clients in an innovative, cost-effective and transparent manner, understanding their needs, optimizing solutions and establishing long term relationships. This means that in BTG Pactual we "Identify and avoid, or manage, conflicts of interest, always using the utmost transparency. In general, our Clients have priority over BTG Pactual, and BTG Pactual has priority over staff members". We also strive to deliver quality results that exceed expectations effectively taking responsibility for our action, which means that we "Identify, manage and escalate concerns and/or conflicts of interest promptly to management or control functions as appropriate" as established in our Code of Business Principles and Ethics.

Objectives and strategies

| | | | | |
|-------|-----------|--------|-----------------------|---------|
| SG 05 | Mandatory | Public | Gateway/Core Assessed | General |
|-------|-----------|--------|-----------------------|---------|

SG 05.1

Indicate if and how frequently your organisation sets and reviews objectives for its responsible investment activities.

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad-hoc basis
- It is not reviewed

SG 05.2

Additional information. [Optional]

BTG Pactual policies are reviewed annually, including its objectives and goals. All staffs members, including assets managers and ESG team, have goals and objectives that are set annually. BTG Pactual follows ESG indicators that may affect its investments and reacts accordingly to rebalance the portfolio.

Governance and human resources

SG 07**Mandatory****Public****Core Assessed****General****SG 07.1**

Indicate the roles present in your organisation and for each, indicate whether they have oversight and/or implementation responsibilities for responsible investment.

Roles present in your organisation

- Board members or trustees
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Chief Executive Officer (CEO), Chief Investment Officer (CIO), Investment Committee
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Other Chief-level staff or head of department, specify
Senior partner, Management Committee Member

- Oversight/accountability for responsible investment
- Implementation of responsible investment
- No oversight/accountability or implementation responsibility for responsible investment
- Portfolio managers
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Investment analysts
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Dedicated responsible investment staff
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- External managers or service providers
- Investor relations
- Other role, specify (1)
- Other role, specify (2)

SG 07.2

For the roles for which you have RI oversight/accountability or implementation responsibilities, indicate how you execute these responsibilities.

BTG Pactual Board has approved our ESG Global Policy, which sets ESG core principles, and is responsible for the oversight its implementation. The Investment Committee also oversees the responsible investment strategies, addressing ESG issues accordingly. The portfolio managers are responsible for implementing the investment strategies defined by the Investment Committee and accordingly to the ESG principles defined by the Board of Directors.

BTG Pactual established an ESG structure to ensure ESG Policy implementation, the responsible for this structure, who also is our spokesperson for Brazilian Central Bank propose, is a senior partner - Mr. Iuri Rapoport. Mr. Rapoport oversees the ESG team and weekly conduct meeting with the team in order to discuss all projects the team have been working on order to be in compliance with our ESG Policy. Iuri Rapoport is statutory Director of BTG Pactual and is based in Sao Paulo. Mr. Rapoport joined Pactual in 1995 and became a partner in 2001. He became Co-Head of the Legal Department in 1999 and General Counsel between 2003 and 2009. He was a Statutory Director responsible for strategic issues from 2008 to 2011 when he left BTG Pactual to assume the position of Chief Operating Officer at Banco Panamericano. In February of 2014 he returned to BTG Pactual as statutory Director to work in the area of operating and strategic issues connected with the Senior Management. Mr. Rapoport holds a Bachelor Degree in Law (with specialization in Business law) from University of São Paulo and also holds a LLM - Master of Laws (International Finance) from King's College London, University of London.

The ESG team is composed by two specialists in environmental matters. Beatriz Freitas is Head of the ESG Department and is also based in São Paulo. Mrs. Freitas joined BTG Pactual in 2015 and received the challenge of implementing our ESG structure, procedures and daily routines aligned to BTG Pactual philosophy. She has almost 10 years of experience in ESG agenda and, prior to joining BTG Pactual's team, she worked at big Brazilian banks, as Itaú and China Construction Bank with sustainability governance and social and environmental assessments. Mrs. Freitas holds a bachelor's degree in environmental engineering from the State University of São Paulo, a degree in Law from Pontifical Catholic University of São Paulo and a Master's degree in Environmental Management for the Energy Sector from the University of São Paulo. And, Rafaela Dortas is an ESG analyst and holds a degree in Law from Fundação Getúlio Vargas and a Master on Environmental Management System from University of São Paulo. Prior to joining BTG Pactual, she worked in a relevant law office with environmental due diligences.

SG 07.3

Indicate the number of dedicated responsible investment staff your organisation has.

Number

3

Promoting responsible investment

SG 09

Mandatory

Public

Core Assessed

PRI 4,5

New selection options have been added to this indicator. Please review your prefilled responses carefully.

SG 09.1

Select the collaborative organisation and/or initiatives of which your organisation is a member or in which it participated during the reporting year, and the role you played.

Select all that apply

Principles for Responsible Investment

Your organisation's role in the initiative during the reporting period (see definitions)

Basic

Moderate

Advanced

AFIC – La Commission ESG

Asian Corporate Governance Association

Australian Council of Superannuation Investors

BVCA – Responsible Investment Advisory Board

CDP Climate Change

Your organisation's role in the initiative during the reporting period (see definitions)

- Basic
- Moderate
- Advanced
- CDP Forests
- CDP Water
- CFA Institute Centre for Financial Market Integrity
- Code for Responsible Investment in SA (CRISA)
- Code for Responsible Finance in the 21st Century
- Council of Institutional Investors (CII)
- ESG Research Australia
- Eumedion
- EVCA – Responsible Investment Roundtable
- Extractive Industries Transparency Initiative (EITI)
- Global Investors Governance Network (GIGN)
- Global Impact Investing Network (GIIN)
- Global Real Estate Sustainability Benchmark (GRESB)
- Green Bond Principles
- Institutional Investors Group on Climate Change (IIGCC)
- Interfaith Center on Corporate Responsibility (ICCR)
- International Corporate Governance Network (ICGN)
- Investor Group on Climate Change, Australia/New Zealand (IGCC)
- International Integrated Reporting Council (IIRC)
- Investor Network on Climate Risk (INCR)/CERES
- Local Authority Pension Fund Forum
- Principles for Sustainable Insurance
- Regional or National Social Investment Forums (e.g. UKSIF, Eurosif, ASRIA, RIAA), specify
- Responsible Finance Principles in Inclusive Finance
- Shareholder Association for Research and Education (Share)
- United Nations Environmental Program Finance Initiative (UNEP FI)
- United Nations Global Compact

Your organisation's role in the initiative during the reporting period (see definitions)

- Basic
- Moderate
- Advanced
- Other collaborative organisation/initiative, specify
88% of forests we are managing have a third party independent certification, as FSC, SFI, FEPC, Cerflor and American Three Farm.

Your organisation's role in the initiative during the reporting year (see definitions)

- Basic
- Moderate
- Advanced

Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]

In 2016, BTG Pactual released an ESG Report which our ESG Progress in all business units. The document is public and can be accessed at <https://www.btgpactual.com/home/media/esg-report-final-version-20160816194336.pdf>

Also, in our website we disclose more about the types of forestry certification we have in our assets: <https://www.btgpactual.com/home/quem-somos/sustentabilidade/compromissos-voluntarios>

- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify

Implementation not in other modules

SG 12

Mandatory

Public

Descriptive

PRI 1

New selection options have been added to this indicator. Please review your prefilled responses carefully.

SG 12.1

Indicate if your organisation executes scenario analysis and/or modelling in which the risk profile of future ESG trends at portfolio level is calculated.

- We execute scenario analysis which includes factors representing the investment impacts of future environmental trends
- We execute scenario analysis which includes factors representing the investment impacts of future social trends
- We execute scenario analysis which includes factors representing the investment impacts of future governance trends
- We execute other scenario analysis, specify
- We do not execute such scenario analysis and/or modelling

SG 12.2

Indicate if your organisation considers ESG issues in strategic asset allocation and/or allocation of assets between sectors or geographic markets.

- We do the following
 - Allocation between asset classes
 - Determining fixed income duration
 - Allocation of assets between geographic markets
 - Sector weightings
 - Other, specify
- We do not consider ESG issues in strategic asset allocation

We execute scenario analysis according to the needs involved in our strategy or in specific investments, mostly focused in environmental and governance impacts on an investment opportunity. Important to know that the analysis do not have a regular periodicity, but it occurs by requests.

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Direct - Listed Equity Active Ownership

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Engagement

Overview

LEA 01

Mandatory

Public

Core Assessed

PRI 2

New selection options have been added to this indicator. Please review your prefilled responses carefully.

LEA 01.1

Indicate whether your organisation has a formal engagement policy.

- Yes
 No

Process

Process for engagements run internally

LEA 03

Mandatory

Public

Core Assessed

PRI 2

New selection options have been added to this indicator. Please review your prefilled responses carefully.

LEA 03.1

Indicate whether your organisation has a formal process for identifying and prioritising engagement activities carried out by internal staff.

- Yes
 No

General processes for all three groups of engagers

LEA 10

Mandatory

Public

Gateway

PRI 2

LEA 10.1

Indicate if you track the number of engagements your organisation participates in.

| Type of engagement | Tracking engagements |
|---|--|
| Individual / Internal staff engagements | <input type="radio"/> Yes, we track the number of our engagements in full <input type="radio"/> Yes, we partially track the number of our engagements <input checked="" type="radio"/> We do not track |