



# RI TRANSPARENCY REPORT

2020

Consilium Capital

## About this report

This report is an export of the individual Signatory organisation responses to the PRI Service Provider Reporting Framework during the 2020 reporting period. It shows your responses to mandatory indicators, as well as responses to voluntary indicators that your organisation has agreed to make public. You will be able to access the public RI Transparency report of your organisation and that of other signatories on the [PRI website](#).

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 an **Index** which highlights where the information can be found and summarises the indicators that signatories complete and disclose.

## Understanding the Index

The Index summarises the response status for the individual indicators and modules. It can be used by stakeholders as an 'at a glance' summary of reported information and to identify particular themes or areas of interest.

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.

# Index

Organisational Overview			
Indicator	Short description	Status	Disclosure
OO 01	Basic information	✓	Public
OO 02	Reporting year	✓	Public
OO 03	Signatory category and services	✓	Public
OO 04	Other offerings/business activities	✓	Public
OO 05	Breakdown of ESG coverage	✓	Asset mix disclosed in OO 06
OO End		✓	-

Strategy and Governance			
Indicator	Short description	Status	Disclosure
SG 01	Responsible investment policy	✓	Public
SG 02	Norms used to develop policies	🔒	n/a
SG 03	Policy offerings to clients	✓	Public
SG 04	ESG/RI in business offerings	🔒	n/a
SG 05	Outsourcing of services	✓	Public
SG 06	Providing training/education	✓	Public
SG 07	Applying, advancing and promoting the PRI principles	✓	Public
SG 08	Actions taken to promote responsible investment	✓	Public
SG 09	Long term trends	✓	Public
SG 10	Interaction with asset owners	🔒	n/a
SG 11	Aligning approach with investor goals	✓	Public
SG 12	ESG recommendations not aligned with investor goals	✓	Public
SG 13	Seeking feedback from clients	✓	Public
SG 14	Managing conflicts of interest	✓	Public
SG End		✓	-

Confidence building measures			
Indicator	Short description	Status	Disclosure
CM1 01	Other product offerings, processes and/or activities	-	n/a
CM1 02	Assurance of responses	✓	Public
CM1 End	Module confirmation page	✓	-

# Consilium Capital

## Reported Information

### Public version

### Organisational Overview

## PRI disclaimer

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## Basic Information

OO 01

Mandatory

Public

Descriptive

OO 01.1 Select the location of your organisation's headquarters.

United Kingdom

OO 01.2 Indicate the number of countries in which you have offices (including your headquarters).

- 1
- 2 - 5
- 6 - 10
- 11 - 50
- >50

OO 01.3 Indicate the regions where you have offices.

- Africa/Middle East
- Asia (excluding Japan & Korea)
- Australasia
- Canada
- Continental Europe
- Japan & Korea
- Nordic
- South America
- UK & Ireland
- US

OO 01.4 Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).

FTE

5

## Reporting Year

OO 02

Mandatory

Public

Descriptive

OO 02.1 Indicate the year end date for your reporting year.

31/12/2019

## Signatory category and services

OO 03

Mandatory

Public

Gateway

OO 03.1

Indicate which of the following categories reflect your core offering or main business activity:

- Reporting
- Active Ownership Services
- Investment consultancy
- Research and Data Provision
- Other, specify (1)  
Corporate finance advisory and capital-raising for funds and companies
- Other, specify(2)

OO 03.2

Indicate any other business activities that your organisation offers. Indicate whether you wish to report on these business areas.

- Reporting
- Active Ownership Services
- Investment consultancy
- Research and Data provision
- Other, specify (3)
- Other, specify (4)
- None of the above

OO 04

Mandatory

Public

Descriptive

OO 04.1

Please describe your core offering or main business activity.

We are a specialist corporate finance firm dedicated to advising and raising capital internationally for companies and investment funds focussed on sustainable or impact investment. Our mission is to assist clients focussed on business and investments which:

- Address global environmental or social challenges
- Are intended to achieve both attractive financial returns and measurable positive impact

Our Sector expertise aligns with several of the UN Sustainable Development Goals:

Clean Energy, Sustainable Agriculture/Food & Forestry, Sustainable Oceans & Fisheries, Financial Inclusion, and Multi-Sector Impact including the Circular Economy and Sustainable Real Estate

Our Services include:

strategic advisory, structuring of funds or corporate transactions, M&A and capital-raising as a placing agent

We have ongoing relationships with a wide range of investors in UK, continental Europe, USA and Australasia, including institutional investors, specialist impact funds, private banks/wealth managers, family offices, foundations/endowments and DFIs.

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### Strategy and Governance

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## Policy on ESG beliefs

SG 01	Mandatory	Public	Gateway
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**SG 01.1** Describe how your organisation's philosophy incorporates environmental, social and governance factors, and the link to your business offerings.

We are a specialist corporate finance firm dedicated to advising and raising capital internationally for companies and investment funds focussed on sustainable or impact investment, so ESG and impact are at the heart of our mission and services as a business. It is integral to the investment thesis for all of our clients, whether investment funds or companies, that they target positive impact on the environment and/or on society. Therefore for each transaction we assist our clients in clarifying and articulating to investors how they define, measure and report on the ESG factors and positive impact they aim to achieve in their business operations and investments. The SDGs are usually the principal reference for our clients in defining their targetted positive impact. Our sector expertise aligns specifically with UN SDGs 7, 8, 12, 13, 14 and 15. See our website: [www.consiliumcapital.co.uk](http://www.consiliumcapital.co.uk)

**SG 01.2** Indicate whether you have policies that formalise the incorporation of your ESG beliefs in your business offerings.

- Yes
- No

SG 03	Mandatory	Public	Descriptive
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**SG 03.1** Indicate whether you offer standard, off the shelf, policies to clients as part of your product offerings, and/or whether you create tailored versions for individual clients.



	Off the shelf	Tailored
Asset class-specific RI guidelines	<input type="checkbox"/>	<input type="checkbox"/>
Sector-specific RI guidelines	<input type="checkbox"/>	<input type="checkbox"/>
Screening/exclusions policy	<input type="checkbox"/>	<input type="checkbox"/>
Engagement policy	<input type="checkbox"/>	<input type="checkbox"/>
(Proxy) voting policy	<input type="checkbox"/>	<input type="checkbox"/>
RI guidelines set out within the Investment Policy Statement (IPS)	<input type="checkbox"/>	<input type="checkbox"/>
RI guidelines set out in a freestanding RI policy	<input type="checkbox"/>	<input type="checkbox"/>
Multi-year RI implementation project plan	<input type="checkbox"/>	<input type="checkbox"/>
Conflict of interest management policy	<input type="checkbox"/>	<input type="checkbox"/>
Stockbroker allocation policy	<input type="checkbox"/>	<input type="checkbox"/>
Securities lending policy	<input type="checkbox"/>	<input type="checkbox"/>
Other, please specify (1)	<input type="checkbox"/>	<input type="checkbox"/>
Other, please specify (2)	<input type="checkbox"/>	<input type="checkbox"/>
Other, please specify (3)	<input type="checkbox"/>	<input type="checkbox"/>
None of the above	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SG 05	Mandatory to Report Voluntary to Disclose	Public	Descriptive
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**SG 05.1** Indicate whether you outsource some of your services. Report percentage of services outsourced as percentage for that specific business area.

**Business area**

- Other, specify (1)
- None of the above

SG 06	Mandatory	Public	Descriptive
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**SG 06.1**

Indicate whether you provide training/educational services on ESG/RI. Tick all that apply.

- Board/trustee training
- Investment manager training
- Regulatory bodies/authorities or public policy makers
- Corporate executive training
- ESG analyst training
- Other, specify (1)
- Other, specify (2)
- Other, specify (3)
- Other, specify (4)
- None of the above

**SG 07****Mandatory****Public****Descriptive****SG 07.1**

Describe how your organisation applies, advances and promotes the PRI Principles.

As set out above, as a company we automatically incorporate ESG and impact issues into our own analysis and decision-making processes in determining which clients and transactions to take on. We therefore require from all of our clients appropriate disclosure on ESG and impact issues to enable us and the investors we introduce to our clients to assess these as an integral element of the investment thesis.

We highlight that we are a signatory of the PRI in our marketing materials and in our discussions with investors. We strongly encourage investment fund clients to adopt PRI guidelines in their own investment operations if they do not already do so.

**SG 07.2**

Highlight whether there are any ways that your organisation would like to engage further with the PRI. [OPTIONAL]

- 1) Assist in encouraging investors to progress in integrating positive impact in their private markets investments e.g. through specific SDG targets and allocations
- 2) Assist in encouraging larger allocation to funds and companies operating in emerging markets with specific SDG targets

**SG 08****Mandatory****Public**

**SG 08.1**

Indicate which of the following actions your organisation has taken to promote responsible investments during the reporting year, independently of collaborative initiatives.

- Provided or supported education or training programmes for clients, investment managers, legal advisers or other investment organisations
- Provided financial support for academic or industry research on responsible investment
- Encouraged better transparency and disclosure of responsible investment practices across the investment industry
- Spoken publicly at events and conferences to promote responsible investment
- Written and published in-house research papers on responsible investment
- Encouraged the adoption of the PRI
- Written and published articles on responsible investment in the media
- Policy engagements and other interactions
- Other, specify
- None of the above

**SG 09****Mandatory****Public****Descriptive****SG 09.1**

Indicate which of the following long-term trends are addressed in your product outputs.

- Changing demographics
- Climate change

**SG 09.2**

Explain how this long-term trend affects your product outputs.

Our main focus themes in advising and raising capital for companies and investment funds include clean energy (grid-connected, off-grid access to energy, and energy efficiency), sustainable agriculture/food, sustainable forestry and sustainable oceans. By raising capital for funds and companies in these sectors, they and we aim to finance solutions to address the existential issue of climate change.

- Resource scarcity

**SG 09.2**

Explain how this long-term trend affects your product outputs.

By advising and raising capital for clients who are companies and funds focussed on sustainable agriculture/food, sustainable forestry and sustainable oceans we assist them in addressing issues of resource scarcity.

We have also assisted in raising capital for one of the first circular economy private equity funds in Europe - see below

- Technology developments

**SG 09.2**

Explain how this long-term trend affects your product outputs.

We advise and raise capital for companies and funds focussed on utilising technology to achieve systemic change in industries e.g. to enable or track and incentivise responsible production i.e. with lower carbon emissions

 Other, specify (1)

Circular Economy

**SG 09.2**

Explain how this long-term trend affects your product outputs.

We believe it is important that producers and consumers should move away from the linear economy of Make, Use and Dispose, so this is one of our key themes in Multi-Sector Impact: we have assisted one of the first circular economy funds in Europe to raise capital

 Other, specify (2)

 None of the above
**SG 11****Mandatory****Public****Descriptive****SG 11.1**

Describe how you typically align your organisation's philosophy and approach to ESG/RI with your investor clients' goals.

 Describe

Our approach is to identify a range of suitable investment opportunities - in funds or in companies - which target both market return and positive impact and offer the most appropriate to each category of investor to reflect their specific goals for investment in sustainable development in various geographies and sectors

 This is not relevant for my organisation
**SG 12****Mandatory****Public****Descriptive****SG 12.1**

Describe what steps you take, if any, when your ESG recommendations are not in line with your investor clients' goals.

 Describe

 This is not relevant for my organisation
**SG 13****Mandatory****Public****Descriptive****SG 13.1**

Indicate whether you seek feedback from clients on your RI/ESG services and product offerings

 Yes

**SG 13.2**

Describe how you use this feedback in your RI/ESG services and product offerings.

We aim to maintain long term relationships with our clients so we seek their feedback on an ongoing basis in order to offer products and services which meet their requirements

No

**SG 14**

**Mandatory**

**Public**

**Descriptive**

**SG 14.1**

Indicate whether your organisation has a policy for managing potential conflicts of interest.

Yes

**SG 14.2**

Describe how you manage potential conflicts of interest.

As a company we have policies in place which we follow to avoid conflicts of interest when deciding whether and when to act for clients or potential clients.

All team members have agreed in writing to follow our policies and procedures. If one of the team may be considered to have any risk of potential conflict of interest in relation to one of our clients or potential clients, we agree the appropriate action to be taken to avoid any conflict - for example we exclude that team member from transactions with that client.

**SG 14.3**

Describe how you ensure that company employees do not derive any personal gain from the use of information collected during your work process.

All team members have agreed in writing to follow our insider dealing rules which reflect current regulations

No

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## Reported Information

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### Confidence building measures

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## Confidence building measures

CM1 02	Voluntary	Public	Descriptive
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**CM1 02.1** Indicate whether the reported information you have provided for your PRI Transparency Report this year has undergone:

- Third party assurance over selected responses from this year's PRI Transparency Report
- Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year
- Third party assurance or audit of the correct implementation of RI/ESG processes (that have been reported to the PRI this year)
- Internal audit of the correct implementation of RI/ESG processes and/or accuracy of RI/ESG data (that have been reported to the PRI this year)
- Internal verification and/or audit of responses before submission to the PRI (e.g. by the CEO or the board)

Which part of report has been internally verified?

- Whole PRI Transparency Report has been internally verified
- Selected data has been internally verified

**CM1 02.2** Whole PRI Transparency Report or selected data has been internally verified

Who has conducted the verification

- Board
- Director(s)
- Chief Executive Officer (CEO)
- Chief Financial Officer (CFO)
- Other chief level staff, specify
- Other heads of department, specify
- Dedicated ESG/RI staff
- Internal audit function
- Compliance function
- Legal department
- Other role, specify
- Other role, specify
- Other role, specify
- Other, specify
- None of the above

**CM1 02.3**

We plan to assure this year's PRI Transparency report by a third party.

- Whole PRI Transparency Report will be assured
- Selected data will be assured. Specify the type of data to be assured
- We do not plan to assure this year's PRI Transparency report

**CM1 02.4**

We undertook third party assurance on last year's PRI Transparency Report.

- Whole PRI Transparency Report was assured last year
- Selected data was assured in last year's PRI Transparency Report. Specify the selected data
- We did not assure last year's PRI Transparency report
- None of the above, we did not report last year

**CM1 02.5**

We undertake confidence building measures that are unspecific to the data contained in our PRI Transparency Report:

- We adhere to an RI certification or labelling scheme, specify
- We carry out independent/third party assurance over a whole public report (such as a sustainability report) extracts of which are included in this year's PRI Transparency Report
- ESG audit of holdings
- Other, specify
- None of the above