



# RI TRANSPARENCY REPORT

2020

Threadmark

## 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	✓	Private
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	✓	Private
CM1 02	Assurance of responses	✓	Private
CM1 End	Module confirmation page	✓	-

Threadmark

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

17

## 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)

Independent placement agent, raising capital for real estate, infrastructure funds, credit and private equity

- 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.

Threadmark raises capital for fund managers with innovative strategies across real estate, private equity, credit and infrastructure. We represent managers that seek to unlock value through a differentiated approach to investment. This may include opportunities in emerging sectors, as well as disruptive strategies in established markets.

Threadmark strives to add value in every aspect of its services. We typically provide access to transformative capital; whether it is helping an established manager access a new investor base, helping a developing manager make the next big step in growing their platform, or helping a manager raise capital for a new strategy.

Threadmark has offices in the UK and US and therefore have access to a broad range of investor relationships across these locations. In raising capital, we are able to specifically identify investors that will have interest that specific strategies.

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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.

Threadmark is focused on providing the highest quality service to our clients. We believe that ESG analysis and integrations are key components of achieving our goals and we ensure that the mandates we take on hold the same values. In performing due-diligence on any potential new manager opportunity, we will consider ESG matters related to the clients which involves completing and ESG DDQ on the manager.

Within Threadmark we understand the importance of diversity and are committed to creating an inclusive and diverse team. We are proud that one of our two founding partners is female. Our team is diverse with people from a wide range of nationalities and backgrounds, including significant experiences as fund managers, investors, accountants, corporate financiers and communications specialists, as well as capital raisers. Our team is our greatest asset and we believe the diversity within it enhances our decision-making capabilities, and the perspectives which we share with clients.

**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 checked="" 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 type="checkbox"/>	<input type="checkbox"/>

please specify (1) - Tailored

Threadmark aims to provide guidance clients with advise and recommendations on their ESG policies and, where required, how to integrate it into their investment process.

**SG 03.2**

Provide a brief description of the key elements, any variations, or exceptions applying to these policies.

Threadmark provide guidance and encourage our clients to have ESG program procedures implemented both at asset and portfolio level. We strongly encourage our clients to recognise the importance of taking ESG considerations into account throughout their investment program, specifically during the due diligence, monitoring and exit stages of investments and additionally post investment.

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.
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- Board/trustee training
- Investment manager training
- Regulatory bodies/authorities or public policy makers
- Corporate executive training
- ESG analyst training
- Other, specify (1)

Threadmark provide firm wide training and educational talks to staff on UNPRI principles. We also strongly encourage our clients to follow the UNPRI principles.

- Other, specify (2)
- Other, specify (3)
- Other, specify (4)
- None of the above

SG 06.2	Describe the main components of your training/educational services on ESG/RI and any variations depending on the group you provide training/education to.
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Threadmark provide firm wide training and educational talks to staff on UNPRI principles. We strongly encourage our clients to follow the UNPRI principles.

Threadmark provides a general introduction to responsible investing and how it can be implemented throughout the fundraising/ investment process.

SG 06.3	Describe whether these training/educational services include any commercial elements.
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None.

SG 07	Mandatory	Public	Descriptive
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SG 07.1	Describe how your organisation applies, advances and promotes the PRI Principles.
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ESG is a core part of Threadmarks everyday activity. A number of initiatives are in place to ensure best practices are adhered to. For example, recycling, limiting printed documents and encouraging social interactions and exchange of ideas.

Threadmark incorporates UNPRI/ ESG factors in our work with clients and aims to be key influencers throughout the fundraising process.

As well as conducting thorough ESG due diligence processes on all prospective clients Threadmark also assist and advises clients in their preparation of ESG focused materials/ supplements.

We strive to ensure that our clients strategies and investment policy statements adhere to UNPRI principles and strongly encourage them to become signatories if they are not already.

SG 08	Mandatory	Public	
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**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

**SG 09.2**

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

Threadmark seeks to work with clients who identify opportunities created by the changing demographics. For example a real estate manager working on senior housing or an infrastructure manager investing into new hospitals demanded by the growing population.

- Climate change

**SG 09.2**

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

Threadmark seeks to work with clients who identify climate change as a financial risk and therefore aim to develop or include elements of ESG within their strategy.

- Resource scarcity

**SG 09.2**

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

Threadmark has a core focus on real assets. Consequently we are considerate in the managers we work with and identify key trends such as battery storage and renewables, where we believe there is future growth

- Technology developments
- Other, specify (1)
- Other, specify (2)
- None of the above

SG 11	Mandatory	Public	Descriptive
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**SG 11.1** Describe how you typically align your organisation's philosophy and approach to ESG/RI with your investor clients' goals.

- Describe
- This is not relevant for my organisation

**SG 11.2** Additional information. [OPTIONAL]

Threadmark manages no discretionary capital and so does not have investors.

SG 12	Mandatory	Public	Descriptive
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**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 12.2** Additional information. [OPTIONAL]

Threadmark manages no discretionary capital and so does not have investors.

SG 13	Mandatory	Public	Descriptive
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**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 strive to be thought leaders in ESG thus as a firm we are continuously evolving our thinking on key issues and sustainable development. We therefore welcome any feedback and, where appropriate will update our ESG DDQ and approach with all clients existing and new.

- No

SG 14	Mandatory	Public	Descriptive
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**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 an independent firm, Threadmark ensures we work with only the highest quality opportunities, and operate free from conflicts of interest.

**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.

It is a subject of regular oversight and compliance reporting

No

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Confidence building measures

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