



SHAREHOLDER ENGAGEMENT AWARD

SUBMISSION FRAMEWORK

February 2021



EXERCISING VOTING RIGHTS

Notifications

Talk us through the notification process. In particular:

- Is the customer notified of all votes? If not, what is the criteria that denotes a notification?
- How is the customer notified? Can the customer set preferences/tailor the notification process?
- Can you show us an example of a notification?

Process

Talk us through the voting process:

- What does the customer have to do?
- Is it an online or offline process? Or can it be either?
- If online - Is the process straight through via the platform or does the customer need to speak to/email someone
- Is there a cut off/notice period for voting?
- Is there ever a cost associated with voting?

Communication

Is there any educational material that either explains the voting process or talks the customer through the importance of voting? If so, can you show us examples?

Track Record

Can you share any data relating to the number of customers who have voted?

- Volume of customers who have voted in previous 3 distinct years (2020, 2019, 2018)
- As above, but expressed as a % of those eligible to vote



AGMs

Notifications

Talk us through the notification process. In particular:

- Is the customer notified of all AGMs? If not, what is the criteria that denotes a notification?
- How is the customer notified? Can the customer set preferences/tailor the notification process?
- Can you show us an example of a notification?
- Does the notification process differ at all depending on whether the AGM is physical, virtual or hybrid?

Process

Talk us through the AGM process:

- What does the customer have to do?
- Is it an online or offline process? Or can it be either?
- If online – Is the process straight through via the platform or does the customer need to speak to/email someone?
- Is there a cut off/notice period for attending an AGM?
- Is there ever a cost associated with voting?
- Can the platform facilitate playback of a recorded AGM?

Communication

Is there any educational material that either explains the AGM process or talks the customer through the importance and benefits of attending? If so, can you show us examples? Does any of the material highlight changes that have been made to AGMs (such as holding virtually) to ensure shareholders can still exercise their rights in a COVID-safe way?

Track Record

Can you share any data relating to the number of customers who have requested attendance?

- As per voting rights question, last 3 distinct years as volume and % of eligible customers



CORPORATE ACTIONS

Notifications

Talk us through the notification process. In particular:

- Is the customer notified of all corporate actions? If not, what is the criteria that denotes a notification?
- How is the customer notified? Can the customer set preferences/tailor the notification process?
- Can you show us an example of a notification?

Process

When a response is required (e.g. tender offers), talk us through the process the customer has to go through:

- What does the customer have to do?
- Is it an online or offline process? Or can it be either?
- If online - Is the process straight through via the platform or does the customer need to speak to/email someone?



DOCUMENTS & DATA

Displaying Investment Company Data

Show us how investment company holdings are reported on the platform (i.e. the ICs that customers are actively invested in). How does it compare to other asset types such as fund holdings? What data is reported as standard on the customer dashboard and main reports?

Report and accounts

Are the report and accounts, interim report and accounts, and factsheets available through the platform? Can you show us how the customer accesses these? Are customers notified when they are available? Can the customer choose how to receive these notifications?

Communication

Do you have any educational material relating to holding investment companies as an asset? (That isn't already covered in the previous three sections)

Customer Data

Does the platform ask its customers' permission to pass their contact details to investment companies they hold, so that the investment companies can make direct contact if customers so wish?

Stock Exchange Announcements

Are companies' stock exchange announcements available through the platform?

And finally

Have we missed anything? Have you introduced any other initiatives, not mentioned above, to increase shareholders' engagement with investment companies' documents and data?

