



THE INTERNATIONAL FAMILY OFFICE

Stonehage Fleming Investment Management (Liechtenstein) Limited
Shareholder Engagement Policy

Dated: April 2022

Table of Contents

- 1. Introduction and scope 2
- 2. Monitoring of conduct 3
- 3. Dialogue with investee companies and other stakeholders 3
- 4. Exercise of voting rights and other rights 3
- 5. Shareholder cooperation 3
- 6. Conflicts of interest 3
- Sources 4
- Version Control 4

1. Introduction and scope

Stonehage Fleming Investment Management (Liechtenstein) (“SFIM LI” “WE”) falls under the term "asset manager" according to Art. 367a No. 3 of the Liechtenstein Persons and Companies Act (PGR) and must therefore describe its engagement policy in terms of Art. 367h PGR.

An annual publication on the implementation of the engagement policy within the meaning of Art. 367h para. 2 PGR does not take place, because a corresponding exercise of rights does not take place.

A publication of the voting behaviour in the sense of Art. 367h para. 2 1 no. 3 PGR does not take place, because a participation in votes does not take place.

2. Monitoring of conduct

The monitoring of important matters of the companies within the meaning of Art. 367h para. 1 item 2 PGR is carried out by taking note of the legally required reporting of the companies in financial reports as well as ad hoc announcements.

3. Dialogue with investee companies and other stakeholders

There is no exchange of opinions with the corporate bodies and stakeholders of the companies within the meaning of Art. 367h para. 1 item 3 PGR.

4. Exercise of voting rights and other rights

SFIM LI does not exercise any shareholder rights within the meaning of Art. 367h para. 1 items 1 and 4 PGR which are based on engagement in the companies in which SFIM LI has invested within the framework of asset management mandates. In particular, no rights related to the general meetings of stock corporations are exercised. The right to a share in profits and to subscription rights are exercised in consultation with the clients.

5. Shareholder cooperation

There is no cooperation with other shareholders or other relevant stakeholders of the Company within the meaning of Art. 367h para. 1 items 5 and 6 PGR.

6. Conflicts of interest

In the event of conflicts of interest within the meaning of Art. 367h para. 1 item 7 PGR, disclosure is made to the parties concerned in accordance with the statutory provisions and clarification of the further course of action with them is provided.

Sources

Source	Link
SRD II / PGR Art. 367 ff.	

Version Control

- Authors: Cédric Noser
- Approved April 2022

Date of review	Sections changed	Brief summary of changes	Person that made changes