

ESG Indicators Equities

Environmental

- Company approach to climate change: carbon emissions, carbon footprint, vulnerability to climate change
- Use of natural resources
- Pollution and waste
- Opportunities in clean technologies, renewable energy

Social

- Human capital development, incl. labor management, health and safety
- Product liability (incl. safety and quality), privacy, data security
- Responsible investment
- Diversity, equity and inclusion (DEI)

Governance

- Transparency of ownership structure
- High quality, diverse board of directors that includes numerous independent members
- Board and management team with track record supportive of creditor interest
- Well-articulated capital allocation policy aligned with long-term creditor interest
- Balanced executive pay structure incentivizing long-term behavior supportive of creditor interest
- Appropriate level of corporate disclosure
- Executive management succession planning and deep management bench
- High quality accounting standards

Proxy Voting Policy

Our policy aims to ensure proxy matters are conducted in the best interest of our clients per long-standing [fiduciary standards and responsibilities for ERISA accounts](#). To guard against promoting our own interest over that of clients, Conning primarily employs a third-party proxy voting service. Conning votes proxies in the client's best interest and mostly in line with the majority of investment managers. Clients are entitled to obtain information regarding how Conning voted a specific proxy or number of proxies on their behalf.