ASSET4

assetmasterProfessional
Reference Guide

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1. The Default ASSET4 Framework

The ASSET4 system interface is very intuitive and internet-like in its design. If you can surf a website, you should have no problem moving easily through the system and the entire default data structure displayed in Figure 1. This Reference Guide covers a number of key areas and capabilities to ensure that you get the maximum benefit from the system.

As you work through the assetmasterProfessional system, it is essential to remember that the ratings you will be seeing, as well as the data structure are truly just one way of visualising, organising and evaluating the ASSET4 information. At the foundation of the entire system are 750+ data points that we gather and verify on every company in our universe. It is from these data points that we build the 280+ key performance indicator, 18 category and 4 pillar structure, you see in Figure 1.

However, we understand that you may wish to view and analyse our data differently, so we have created the individualised capabilities depicted in Figure 2. With this functionality you can create your own structure with your own pillars, categories, KPIs and ratings to ensure that you can track and evaluate the issues you believe are most influential to the performance of your portfolio.
1.1 Flexibility of the ASSET4 Framework

Transparency and flexibility are key features to assetmasterProfessional. One primary example of our transparency is that every one of the 750+ data points and 280+ predefined KPIs within the system can be viewed and the original information source (annual reports, filings, websites, etc.) directly accessed.

But we do not just make all the data accessible, we also enable you to organise and evaluate it in your own way. To accomplish this we have a series of capabilities: MyIndicators, MyRatings, MyPortfolio, MyReports and MyExports, which provide an enormous level of flexibility. As Figure 2 indicates these capabilities are all based on the 750+ data points and work together to give you control of the system.

With this functionality you can integrate in an individualised manner the vast database of financial and extra-financial factors that ASSET4 tracks into your day-to-day decision-making and investment analysis.

Since there is no generally accepted timeframe for CSR reporting, we allow the ranking or assessing of companies based on data from the latest available year. This capability enables you to rank or rate a portfolio even if a portion of the companies in the portfolio have not yet published their CSR results for the current year. The rankings and scores for those companies with data from a previous year will be shown in italics in the system and with an asterisk next to the year (e.g. 2008*) on the Company Report.
2. Login to the ASSET4 System

Type the URL provided by ASSET4 into your web browser. Once on the ASSET4 login screen, enter the login name and password you received from ASSET4. The very first time you enter the system, you will see a screen similar to the one pictured in Figure 3, which displays an alphabetical list of all companies in the ASSET4 universe.

If you have created a portfolio in the system previously, when you login, you will be taken to the MyPortfolio Summary screen for your default portfolio. An example of this screen can be found in Figure 20 on page 22.

At any time when using the system, by leaving the Company Search box blank and clicking on “Go”, you will be taken to a complete list of companies in the ASSET4 universe similar to Figure 3.
2.1 Finding a Company

The foundation of the ASSET4 system is the information gathered on each of the companies within the ASSET4 universe. Therefore, zooming into the data on one of those companies is a good place for you to begin. You can select a company in which to zoom in two ways:

A: Use the Search field and enter the ticker symbol or company name you want to review and click “Go.” If the company is in the ASSET4 universe, you will be taken to its Company Report, an example of which is displayed in Figure 5.

B: Page through the company list and click anywhere in the row referring to the company. Once you click on the row, you will be taken to its Company Report, an example of which is displayed in Figure 5.

![Figure 4: The Initial ASSET4 System Screen](image-url)
3. Company Report

As discussed earlier, ASSET4 tracks up to 750+ data points for every company and then by default organises it into a framework containing 4 pillars, 18 categories and 280+ indicators. It is through the Company Report that you can access this entire range of information in an orderly and consistent fashion, because as you move through the hierarchy the layout of the report remains consistent.

The top of the report contains the company name and logo along with summary details including the company's sector, industry and country. Below this are two pull-down menus that allow you to select the fiscal year to analyse and the benchmark to use for comparison. Note that you can benchmark a company against its sector, industry or other individual companies.

**Equal-Weighted Rating:** this section contains alphabetic and numeric values for the company for the selected rating or level. When you first view a company, the default Equal-Weighting rating of the system is displayed. Below these values is a written description of the rating or level that is being displayed followed by a summary analysis of how the company performed against the benchmark for the selected fiscal year.
Historical View: Directly below the summary description of the company's performance for the selected fiscal year, is a table that displays the company's performance over time against the benchmark and its rank within the benchmark.

Pillar Breakdown: Each Equal-Weighted Rating is composed of four pillar ratings. This area displays the scores and weights for each of the four pillars: Economic, Environmental, Social and Corporate Governance. The values for the benchmark are also displayed for easy comparison, as is the company's rank within the benchmark.

In order to view the details of the company’s performance for any of the pillars, click on the pillar name or icon to take you to a pillar report, an example of which is shown in Figure 8.
3.1 Company Report: Graphs and Menus

**Graphs:** On every Company Report at either the pillar, category or indicator level, the system displays two graphs: History and Breakdown. Each graph displays the performance of the company relative to the performance of the selected benchmark.

**Menus:** Along the right side of the screen are a series of menus that provide easy access to various assetmasterProfessional features. A number of features within the ASSET4 Toolbox will be covered later in this document.

The Report Zoomer menu allows you to easily move throughout the hierarchy of data for your selected company. By clicking on the “+” or “-” signs next to the level names you can zoom from the highest level, the Equal-Weighted Rating to the next level, which is the pillar level or skip levels and directly explore an indicator and its raw data. There are two additional menus: MyFavorites and MyRatings. The MyFavorites menu allows you to save specific reports for easy access, similar to saving “favorites” within a web browser. The MyRatings menu shows the scores for the individualised ratings you created.

![Figure 7: Understanding the Company Report Graphs and Menus](image-url)
3.2 Company Report: Pillar Level

When you first arrive on the Company Report for your selected company, the system displays reports and graphs from the Equal-Weighted Rating and Pillar Breakdown levels. To change to another level, simply click the name within the table of the level you wish to view or use the Report Zoomer.

For instance, to move to the environmental pillar level click on the word “Environmental” within the Pillar Breakdown section of the report shown in Figure 7, which takes you to the screen shown in Figure 8. As you can see, the structure of this screen has the same layout as the Equal-Weighted Rating level report. There is a written description of the level itself along with a summary of the company’s performance at this level as compared to the benchmark. Next on the page is tabular data showing the company’s historical performance, as well as the performance for the components of this level, which for the pillar level are categories. To the right are two graphs (History and Breakdown) depicting the company’s performance at this level. Each report has a similar layout to enable users to more easily understand and analyse the data.

Figure 8: Zooming into the Environmental Pillar

<table>
<thead>
<tr>
<th>Year</th>
<th>2010</th>
<th>2009</th>
<th>2008</th>
<th>2007</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company</td>
<td>94% (A+)</td>
<td>97% (A+)</td>
<td>97% (A+)</td>
<td>94% (A+)</td>
</tr>
<tr>
<td>Benchmark</td>
<td>49% (C+)</td>
<td>49% (C+)</td>
<td>50% (C+)</td>
<td>50% (C+)</td>
</tr>
<tr>
<td>Rank</td>
<td>108 / 3634</td>
<td>104 / 3553</td>
<td>135 / 2620</td>
<td>54 / 2429</td>
</tr>
</tbody>
</table>

**Level Description**
A written description highlighting the key factors that determined the company’s rating.

**Historical View**
Table showing the company’s performance over time and in comparison to the benchmark.

**Category Breakdown**
Table showing the company’s performance and rank as compared to the chosen benchmark for each of the components making up this level.

**Pillar Graphs**
The two standard graphs applied to this level of the framework.
3.3 Company Report: Category Level

To move to the category level, “Resource Reduction” for example, click on the words “Resource Reduction” within the table or in the Report Zoomer menu. The resulting screen is shown in Figure 9. Since the Company Report at each level has a similar structure, we have focused on what is different for the category level. Each category has two dimensions: a driver dimension and an outcome dimension. The driver dimension provides a forward-looking measurement of a company’s future success based on four specific lead indicators, which will be discussed on the next page.

The outcome dimension provides a measurement of a company’s current effectiveness and concrete achievements based on a variety of generic and company-specific indicators. Performance, transparency, exposure and momentum are its four aspects. All available public information is used to compute the company’s performance, while the transparency score calculates the ratio of available public information. Exposure is a risk calculation determined by the number of indicators showing significantly worse results than other companies. Finally, momentum calculates the short- and long-term progress of a company in the category.

**Figure 9: Zooming into the Resource Reduction Category**

<table>
<thead>
<tr>
<th>Resource Reduction Category (A+)</th>
<th>Driver and Outcome Dimensions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Outcome Aspects</strong></td>
<td></td>
</tr>
<tr>
<td>Performance</td>
<td></td>
</tr>
<tr>
<td>Transparency</td>
<td></td>
</tr>
<tr>
<td>Exposure</td>
<td></td>
</tr>
<tr>
<td>Momentum</td>
<td></td>
</tr>
</tbody>
</table>

- **Category Weight**: There are three categories within this pillar and by default each is weighted equally creating a weight of 33.33%.
- **Driver and Outcome Dimensions**: The driver dimension provides a forward-looking measurement of a company’s future success. The outcome dimension measures a company’s present effectiveness and actual accomplishments.
- **Outcome Aspects**: The outcome dimension has four aspects: performance, transparency, exposure and momentum, which are shown over time in a tabular format and in a graph for the selected fiscal year.

![Resource Reduction Category Table](image)
3.4 Company Report: Driver Dimension

To move one level further into the Driver Dimension, you can either click on the word “Driver” within the table or in the Report Zoomer menu to get to the screen shown in Figure 10. Since this is the driver dimension of the Resource Reduction category, we are focusing on the four specific lead indicators that make up the driver score and provide a forward-looking measurement of a company’s future success.

These indicators evaluate the existence of and management commitment to “best practice” management tools. To determine the value of our four specific driver indicators, we use a series of yes/no questions that determine if a company has a policy, an implementation system for that policy, as well as monitoring instruments and quantitative objectives to measure improvements.

![Figure 10: Zooming into the Driver Dimension](image)

<table>
<thead>
<tr>
<th>Indicator Short Name</th>
<th>Weight</th>
<th>Value</th>
<th>Company</th>
<th>Benchmark</th>
<th>Rank</th>
<th>Raw data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resource Reduction/Policy (En_En_RR_D01)</td>
<td>25%</td>
<td>Yes/Yes*</td>
<td>A- (83%)</td>
<td>B- (51%)</td>
<td>1/1294</td>
<td></td>
</tr>
<tr>
<td>Resource Reduction/Implementation (En_En_RR_D02)</td>
<td>25%</td>
<td>Yes/Yes*</td>
<td>A+ (93%)</td>
<td>C+ (49%)</td>
<td>1/1294</td>
<td></td>
</tr>
<tr>
<td>Resource Reduction/Monitoring (En_En_RR_D03)</td>
<td>25%</td>
<td>Yes/Yes*</td>
<td>A+ (97%)</td>
<td>C+ (47%)</td>
<td>1/1294</td>
<td></td>
</tr>
<tr>
<td>Resource Reduction/Improvements (En_En_RR_D04)</td>
<td>25%</td>
<td>Yes/No*</td>
<td>A (67%)</td>
<td>C (44%)</td>
<td>111/1294</td>
<td></td>
</tr>
</tbody>
</table>

1. **Value**
   Each driver indicator consists of two yes/no questions and the Value column displays the answers. The asterisk indicates that there is raw data for that indicator.

2. **Company, Benchmark, Rank**
   Throughout the system a company’s performance at every level is shown in comparison to the selected benchmark along with its rank within the benchmark.

3. **Raw Data**
   This column denotes if there is a raw data report available to the user for the specific indicator listed in that row.
3.5 Company Report: Driver Indicator Level

The next level is the driver indicator level. To move into the “Resource Reduction Monitoring” indicator, either click on the name of the indicator within the table or in the Report Zoomer menu to go to the screen shown in Figure 11. This report displays the actual value of the specific indicator, which is composed of one or more data points. When there is more than one data point, a data point rule determines their interrelationship. The Raw Data section of the report contains the author and relevant text, as well as additional information such as when it was published. While this is the deepest-level Company Report in the system, you are also able to use the link within the URL row of the Raw Data section to hyperlink out to the actual webpage where the data was gathered.

### Figure 11: Zooming into the Driver Indicator Level

| Indicator Information
| Displays the weight, code and value of the indicator. |
| Indicator Scores
| Displays the score of the indicator within the selected rating, the score for the original indicator and the average score of a benchmark that you can select with the pull-down menu. |
| Indicator Description
| The specific question(s) making up the indicator and its value(s). |
| Data Point Rules
| Driver indicators can be composed of multiple data points. The data point rules define the interrelationship between those points. |
| Data Points
| The ASSET4 has over 750+ data points, each of which can be viewed individually. This indicator is made up of a number of data points, only one is shown in Figure 11. |
| Raw Data
| The ASSET4 framework is a transparent system that makes the collected data available to our users. |
| URL
| Click on the hyperlink within the URL row to link directly to the data source for this data point. |
| Textual Data
| While you can link to the actual web page where the data was found, the key text is also shown directly in the table. |
3.6 Company Report: Outcome Dimension

After having zoomed all the way through the ASSET4 framework, let’s move back up a couple levels to the Outcome Dimension and review its Company Report. From the Category level (Figure 9), you can move into the Outcome level either by clicking on the word “Outcome” from within the table on the Emission Reduction category screen or click on “Outcome” underneath the words “Emission Reduction” in the Report Zoomer menu. By doing this you are taken to the screen shown in Figure 12.

The outcome dimension Company Report displays a table listing all the outcome indicators within the selected category. The indicator’s weight, value and relevance for the selected company are included in the table. Additionally, the performance of the benchmark, as well as, the company’s performance, rank, level of transparency and exposure for that indicator are also shown.

<table>
<thead>
<tr>
<th>Indicator Names</th>
<th>There is no standard number of indicators per category. The outcome dimension report shows all the outcome indicators for the selected category. In this category there are actually twelve indicators, even though we are showing only four in our example.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weights</td>
<td>For every indicator for which an answer was found there is a default weight given, which is equal to 100% divided by the total number of indicators answered.</td>
</tr>
<tr>
<td>Value</td>
<td>Each outcome indicator consists of a question, some of which can be answered by a yes or no, while others require a numeric value. These answers are displayed in the Value column. An asterisk indicates that there is raw data for that indicator.</td>
</tr>
<tr>
<td>Company, Benchmark, Rank</td>
<td>Throughout the system a company’s performance at every level is shown in comparison to the selected benchmark along with its rank within the companies in the benchmark for which answers were found.</td>
</tr>
<tr>
<td>Transparency</td>
<td>A red X in this column means that no answer was found for this specific indicator. A grey checkmark denotes that an answer was found.</td>
</tr>
<tr>
<td>Exposure</td>
<td>A red ! in the column denotes that for this indicator the company has a higher than average risk exposure, which is determined by checking how many, if any, of the company’s outcome indicators are in the bottom 10% of the sample.</td>
</tr>
<tr>
<td>Relevant</td>
<td>A number of indicators within the system are only relevant for specific industries. This column denotes which indicators are relevant for the selected company.</td>
</tr>
<tr>
<td>Raw Data</td>
<td>This column denotes if there is a raw data report available to the user for the specific indicator listed in that row. Note that there may be raw data available even if there is no value for the indicator, when the available data is not complete enough to answer the indicator question.</td>
</tr>
</tbody>
</table>
3.7 Company Report: Outcome Indicator Level

By selecting a specific indicator from the outcome dimension Company Report or from the Report Zoomer, you will get to the Indicator level. The resulting screen is similar to Figure 13. Recall that outcome indicators provide a measurement of a company's current effectiveness and concrete achievements.

Just as with the driver indicator, each outcome indicator is composed of one or more data points. When there is more than one data point, a data point rule determines the interrelationship between them. The raw data on which the value of the data point is based is also shown on this screen.

Figure 13: Zooming into the Outcome Indicator Level

- **Indicator Information**
  Displays the weight, code and value of the indicator.

- **Indicator Scores**
  Displays the score of the indicator within the selected rating, the score for the original indicator and the average score of a benchmark that you can select with the pull-down menu.

- **Indicator Description**
  The specific question(s) making up the indicator and its value(s).

- **Data Point Rules**
  Driver indicators can be composed of multiple data points. The data point rules define the interrelationship between those points.

- **Data Points**
  The ASSET4 has over 750+ data points, each of which can be viewed individually. This indicator is made up of a number of data points, only one is shown in Figure 11.

- **Raw Data**
  The ASSET4 framework is a transparent system that makes the collected data available to our users.

- **URL**
  Click on the hyperlink within the URL row to link directly to the data source for this data point.

- **Textual Data**
  While you can link to the actual web page where the data was found, the key text is also shown directly in the table.
4. Item Lookup

The Item Lookup screen can be reached by clicking on the “Item Lookup” option in the ASSET4 Toolbox. It enables you to explore and investigate the entire ASSET4 framework. The definition of every level of the system (Data Points, Indicators, Driver/Outcomes, Categories, Pillars and Equal-Weighted Rating) is accessible to allow you to understand each in more detail and to help you build your own ratings or indicators as you learn more about the system. You can also use it to navigate throughout an individual company’s reports. Note that the Item Lookup screen comes up as a pop-up window with its searches applying to the level of report from which it was selected (in our example, the Roche company report).

Figure 14: Navigation and Definition in the Item Lookup

- **Company-Specific Item Lookup**
  Click on “Item Lookup” in the ASSET4 Toolbox from any Company Report to perform a company-specific item search.

- **The “+” and “−” Signs**
  Click on the “+” sign to expand the list. Click on the “−” sign to contract the list.

- **Selecting a Specific Level**
  When you click in the box next to any level in the framework, a Go button appears at the bottom right of the screen. Click on that bottom to move directly to that level Company Report.

- **Finding a Definition**
  As you move your mouse over the various framework levels in the left-hand column, each receives a gray highlight. Click anywhere on that highlight to display in the right-hand column the definition of that level.
4.1 Item Lookup: Search and Data Points

As the name implies, you can use the Item Lookup screen to search for a specific item within the ASSET4 framework. Simply enter a word, phrase or code (if you are looking for a specific indicator or data point) in the “Search For Item:” box and press “Go.” If that item or phrase exists within the levels, data points names or definitions, the results will be displayed in each column. In the first column, all levels containing that item are displayed with a green highlight. In the middle column all of the individual data points matching that item are displayed. Note that data points are only associated with the indicator level. Therefore, if you click on any other level, you will not see data points in the middle column.

If you click on one of the data points shown following your search, its definition will be displayed in the right-hand column. If you click on the gray highlighted name as you rollover one of the levels in the left-hand column, the data points associated with that level are displayed in the middle column and the definition of that level is displayed in the right-hand column. When you click on an item, its rating and/or value is also displayed at the bottom left of the screen.

**Figure 15: Search and Data Points in the Item Lookup**

1. **Searching for Items**
   Enter a word, phrase or code (indicator or data point) in the “Search For Item:” box and press “Go.” The results are displayed in each column.

2. **Highlighting of Levels**
   All framework levels containing the search item are displayed with a green highlight.

3. **Definition**
   Click on a gray highlighted item name to see its definition in the right-hand column and its value at the bottom left of the screen.

4. **Value and Rating**
   When you are doing the item lookup for a specific company, as you scroll through the left-hand and middle columns and click on an item name, its value and/or rating is displayed here. No values are displayed when doing the item lookup within a portfolio. No ratings are shown for driver data points.
5. MyPortfolios

While the Company Report can provide you an in-depth understanding of the performance of each company within the ASSET4 universe, it is also important to be able to track a number of companies at one time. The MyPortfolios capability enables you to create any number of portfolios to monitor and compare against each other.

To begin building a portfolio, click directly on the word “MyPortfolios” in the row of tabs at the top of the assetmasterProfessional screen. This action takes you to the screen shown in Figure 16, on which you can begin to create a new portfolio by clicking on the “Add new,” which will take you to the screen shown in Figure 17. Note that if a colleague has already created a MyPortfolio, you can import that portfolio directly into your account to use either as is or to modify if necessary.

Once you have defined a MyPortfolio, it will be listed below the MyPortfolios tab when you place the cursor on it. By clicking on a name in the list, you are taken directly to the MyPortfolio Summary Report (shown in Figure 20) for that portfolio.

Figure 16: Building a Portfolio

1. MyPortfolios Tab
   Click directly on the word “MyPortfolio” to create or import a new portfolio.

2. Add New Button
   Click on the “Add new” button to go directly to Figure 17 to begin to define your portfolio.

3. List of Portfolios
   New portfolios are listed here. One is always a default portfolio, which is initially empty.

4. Icons
   Roll over the icons to see functions: setting the default, deleting, editing, copying and sharing.

5. Import
   Import existing MyPortfolios to use as is or to modify for your own analysis.
5.1 MyPortfolios: Defining a Name and Description

By clicking on the “Add new” button on the “MyPortfolios” screen you are taken to the screen shown in Figure 17, on which you can begin to create a new portfolio. To begin the portfolio definition process you must first give it a name, and if you wish, a description to help identify it. You can also select a rating to be used by default with this portfolio. You can either select the Equal-Weighted Rating or any MyRatings that you have defined. Once you have entered these items, click on the “Next” button to upload select companies for the portfolio either using criteria to select from the ASSET4 universe and/or uploading an external containing a list of codes for an existing portfolio.

Figure 17: Defining a Portfolio Name and Description

Create new portfolio by John Smith

Portfolio Name: US and European Pharma Portfolio
Portfolio Description: A portfolio containing US and European pharmaceutical companies.
Portfolio Rating: Equal-Weighted Rating
5.2 MyPortfolios: Selecting Companies

There are over 3,000 companies in the ASSET4 universe from which you can build your portfolio. To make your selection you can either import/upload an existing file containing a list of company codes (ISIN, SEDOL, Quote Symbols or ASSET4 Codes) or search through the universe by either name, country, sector/industry, portfolio, measurement and data point or any combination of these criteria in order to incrementally build a portfolio by adding or removing sets of companies.

In Figure 18, we show the steps required to import an existing CSV file containing a list of company codes or a combination of codes to create a portfolio. Once you have browsed to the external file and imported the companies matching the list are displayed in the “Search results” column. If you wish to add those companies to this portfolio, click on “Include” and they will be placed in the “Portfolio companies” window and the criteria will be listed in the “Applied searches” window.

Figure 18: Uploading an External File Containing Company Codes to Create a Portfolio
While importing an existing list of companies is a great way to get started, you may also wish to build a portfolio directly from the ASSET4 universe using a variety of search criteria. For example, Figure 19, shows the initial step in creating a portfolio containing all the pharmaceutical companies in the ASSET4 universe from the United States and Europe -- defining the search criteria.

Begin by clicking on the Country tab to select the US and Europe and then click on the Sector/Industry tab to select the pharmaceuticals. Once you have defined the criteria, click on “Search” to select the companies matching the criteria and move them into the “Search results” column. If you wish to add those companies to this portfolio, click on “Include” and they will be placed in “Portfolio companies” window and the criteria will be listed in the “Applied searches” window as seen in Figure 21.

Figure 19: Selecting Companies for a Portfolio (Selecting All Pharmaceutical Companies in the US and Europe)
Once you have moved companies into “Portfolio companies” by clicking on “Include,” you can either include or exclude additional companies by performing other searches.

One of the interesting features of the MyPortfolio capability is that you can define the criteria in a way that keeps track of the companies you excluded (perhaps you are doing negative screening). To do this type of exclusion, you would first need to define the criteria for the broad range of companies you are interested in, for example, all companies within a country or sector and add them to the “Portfolio companies” like you did above.

Next you would define the criteria to identify the companies that you wish to exclude, such as companies without a Health & Safety Policy for 2007 or who had a low (e.g. < 50% score) in the environmental pillar. Figure 21 below shows an example of defining screening or exclusion criteria.

Figure 20: Adding Companies to a Portfolio (All Pharmaceutical Companies in the US and Europe)
More than likely you will be defining your screening criteria using the “Measurement” tab. On the tab you can select any element from a rating to use as your criteria. In our example, we are using the default Equal-Weighted Rating. When you open the tab, you will see the four pillars of the rating with a “+” next to them. If you want to use the entire pillar to screen simply click on the pillar name. If you wish to zoom deeper, click on the “+” to expand the area.

For our example in Figure 21, we have zoomed to the “Health & Safety / Policy” element within the Social pillar. By clicking on the element name, a “Screening criteria” pop-up window appears like the one shown in Figure 21.

In the screening window, you can select the timeframe you want to review (a single year or all years) and then the criteria, operation and value. In our example, we are selecting companies with a Value of “No” for the policy indicator, meaning they do not have a Health & Safety policy. We are planning on excluding those companies from our portfolio.

Note that by selecting the Measurement tab and then one of the indicators, you can define criteria to identify the leaders and laggards for that indicator, and then either include or exclude them from your portfolio. An example of this type of screening criteria is shown in the overlay box in the bottom right corner of Figure 21. It is screening for the top 10 companies in the area of the reduction of greenhouse gas emissions within our selection.

**Figure 21: Defining Screening Criteria**
Once you have completed defining your screening criteria and excluding the desired companies from your portfolio, you should see a screen similar to Figure 23, which shows both the “Portfolio companies” and the “Excluded companies,” as well as the “Applied searches” that were used to define both.

Once you have finished your selection process, click on “Next” to go to a screen on which to define the weightings for your portfolio. Figure 24 shows an example of this screen.

**Figure 23: Showing Portfolio Companies and Excluded Companies**

1. **Portfolio Companies**
   All companies currently added to your portfolio.

2. **Excluded Companies**
   The companies that you selected to be excluded from your portfolio.

3. **Applied Searches**
   A list of each of the searches and actions (such as manually excluding companies) that were used to define your current portfolio, both included and excluded companies.

4. **Next**
   Click on “Next” to begin to define the weights for the portfolio.
5.3 MyPortfolios: Defining Weights

A portfolio is not simply made up of a list of companies. Usually, each company is weighted differently based on the level of investment in that firm. ASSET4 recognises that fact and allows you to define the weights for each company in the portfolio. The default weighting is equal weighting, but on the screen shown in Figure 23 you can alter the weights as you desire. Note that on this screen you will also see all the companies that you selected to be excluded from your portfolio, which are stored along with your portfolio for future reference.

If you do not wish to enter a weight for every company, you can click on “Equal Weights” or enter the key weights yourself and then click on “Normalize” and the system will normalise all the weights automatically.

Once all the weights are set, complete the definition by clicking on “Finish.”

Figure 23: Defining the Weights for the Companies Within a Portfolio

- **Weights**
  - The default weighting for each company in the portfolio is equal-weighting. To change these enter new weights in the “New weights” column.

- **Equal Weights**
  - Click on this button to define equal weights.

- **Normalize**
  - Enter the key weights and then click on “Normalize” and the system will normalise all the weights within the portfolio.

- **Excluded Companies**
  - All excluded companies are stored along with the portfolio for future reference.

- **Finish**
  - After defining all the weights, click on “Finish” to complete your portfolio definition.
5.4 MyPortfolio Summary

After you finish defining your portfolio, you will automatically be returned to the list of portfolios that was seen earlier in Figure 16. If you click on a portfolio name in the list, you will be taken to the MyPortfolio Summary screen shown in Figure 24 for the selected portfolio. You will see this screen only when selecting a portfolio from the list shown in Figure 16. If you select the portfolio from the drop-down menu below the MyPortfolios tab, you will be taken directly to a report showing the default rating report that you selected when you were initially defining the portfolio. An example of that report is shown in Figure 25.

**Figure 24: MyPortfolio Summary Report**

1. **Title and Description**
   At the top of the screen the portfolio title and description are listed along with other relevant information.

2. **Year**
   Select here the year for which you want to evaluate your portfolio.

3. **Company Benchmark**
   Select the benchmark to use to evaluate the performance of the individual companies within your portfolio. You can select the ASSET4 universe, or the company's sector or industry.

4. **Portfolio Benchmark**
   As a benchmark for the entire portfolio you can select either the ASSET4 universe or another portfolio defined within your assetmasterProfessional system.

5. **Company Information**
   The table display various elements regarding each company in the portfolio. This information includes the weight, ratings, benchmark and rank for each company.

6. **Remove Company From Portfolio**
   Click on this icon to remove a company from your portfolio.

7. **Portfolio Rating and Benchmark**
   The rating (the Equal-Weighted Rating in this example) for the entire portfolio is displayed here along with the rating for the selected benchmark.

8. **Report Zoomer**
   Use the Report Zoomer to view a MyPortfolio Summary report for any level in the framework.
5.5 MyPortfolio Summary: Default Rating

The format of the MyPortfolio Summary default rating report should look familiar. Its design and layout matches the Company Report. Like that report, you can define a year and benchmark against which to evaluate your portfolio. Here there is the additional capability to benchmark against another portfolio within your assetmasterProfessional system.

It also, like the Company Report, displays a historical view of the performance for the selected level (the Equal-Weighted Rating level in this example) and the components that make up that level (the Pillar breakdown in this example). On this report the performance for each company in the portfolio is shown along with an average performance for the entire portfolio.

Year and Benchmark
You can define a year and benchmark against which to evaluate your portfolio. You can also benchmark against another portfolio within your assetmasterProfessional system.

Equal-Weighted Rating
A scrollable tabular display of the historical performance of the portfolio based on the chosen rating against the selected benchmark, as well as an average for the entire portfolio.
### Pillar Breakdown
Scrollable list showing the ratings, weights and ranking within the selected benchmark over time for each of the four pillars: Economic, Environmental, Social and Corporate Governance.

### Hide the Menus
Click on this icon to hide or reveal the right-hand side menus (ASSET4 Toolbox and Report Zoomer). In this example this icon has been clicked and the menus have been hidden.

### Company Distribution
Depicts the percentage of companies for each grade within the portfolio and benchmark.

### History of “MyPortfolio”
Depicts the value of each company’s Equal-Weighted Rating over time.

### Price/Quality
Visual depiction of how your portfolio companies compare to the benchmark in terms of their PE and Equal-Weighted Rating.

---

**Figure 26: MyPortfolio Summary Report Continued**

![Figure 26: MyPortfolio Summary Report Continued](image-url)
6. Sharing

assetmasterProfessional users can share MyPortfolios, MyRatings and MyIndicators with their colleagues who are also using assetmasterProfessional. In addition, the ASSET4 team can share items. Once an item is shared the user to whom it is shared can simply work with it as is, or export it and then import it to enable them to modify as required. Users can also change ownership of an item that they created in order to pass complete control of the item to another user.

Figure 27 shows the double-arrow icon from the item list you click to go to the sharing screen. On this screen you can share the item with individual users or a group of users. If you want to share an item with all your colleagues, share it with the group, since the group will include all users even if individual users change. You also change ownership of a item on this screen by selecting a user from the drop-down menu. The process is exactly the same for MyRatings, MyIndicators and MyPortfolios. Note that any changes the owner makes to a shared item are automatically reflected in the shared users’ version.

![Diagram of sharing process](image)

**Figure 27: Sharing a MyPortfolio**

1. **Sharing Icon**
   - Click on the double-arrow icon to share a MyPortfolio, MyRating or MyIndicator.

2. **Sharing Screen**
   - Clicking on the sharing icon takes you to the sharing screen, where you can share an item or change ownership.

3. **Users**
   - Click on the box next to the user(s) name with whom you want to share the item. If you wish to give access to all users select the group.

4. **Owner**
   - Select user to change ownership of the item to.
7. MyNews

With assetmasterProfessional users can now create MyNews channels in order to track news on any topic or issue within the assetmasterProfessional system. To create a MyNews channel you simply define a name, a description and the topics to be tracked by the channel. Our standard news channels are explained below.

A News item within a channel is a normal raw data item that the ASSET4 analysts have classified as News, therefore like any raw data item it provides the same level of transparency by including a title, text, publication date, the URL of the source, etc.

Note that a News item is always about a company, for example, a News item could be about a company’s environmental product innovation, which would be captured either by a general news channel definition looking at environmental news, or a more specific channel definition including the product innovation category within the environmental pillar.

In addition assetmasterProfessional now also has a scrolling News Bar, which displays the channel or channels that you have indicated during the channel definition process that you want to show on the bar. Figure 28 shows an example of a MyNews channel, which monitors environmental news.

![Figure 28: A MyNews Channel and News Bar](image)

1. **MyNews Channel**
   Displays the news items that meet the criteria that you defined for this channel.

2. **Sorting of Columns**
   You can sort the columns by clicking on the name at the top of any column.

3. **Go**
   Click on “Go” to view the specific news item.

4. **News Bar**
   Selected MyNews channels are displayed in a scrolling format at the top of the screen. You can define the news bar settings on the MySettings page.
7.1 Standard MyNews Channels

To help you get started tracking news, we have created three standard channels. The “ESG News” channel contains all environmental, social and governance news. The “Controversies” channel contains news related to company controversies from all ASSET4 pillars. The “All News” channels contains all news from the four ASSET4 pillars.

Note that you are not able to modify the criteria used to define these channels. However, you can choose to include or remove any channel from the News Bar by clicking on either of these icons: on the main MyNews channel list as shown in Figure 29. You can also subscribe to be notified by email when new items are added to a channel by clicking on either of these icons: also shown in Figure 29.

While we believe that these three standard channels are a good starting point for beginning to analyse news, you can of course define your own customised channels based any combination of company, country, sector / industry, portfolio, pillars and categories or measurements criteria, as the next page will show.

![Figure 29: Standard MyNews channels](image)
7.2 Defining a MyNews Channel

To begin a MyNews channel definition, click on “Add New” on the first MyNews page and then enter a name and description for the channel. On this definition screen as shown in the first screenshot in Figure 30, you can also indicate if you want this channel to be included in the News Bar and if you want to be notified by email when there are additional news items in this channel.

The next step is to define the criteria you want to use to select your news. You can use any combination of company, country, sector / industry, portfolio, pillars and categories or measurements criteria.

For example you could select all environmental and social news about all companies within the Energy sector in Europe; and either in that same channel or another channel, you could include all governance news about companies within one or all of your portfolios. Any combination of options is possible.

Please note that if you select multiple criteria and then click “Add criteria” the selections are connected with an “and” in the logic. When you add one at a time they are treated as being connected with an “or.”

The control of the various MyNews-related settings, such as how long an item is considered news and the speed of the News Bar, is done on the MySettings page. An example of the options are shown in Figure 30 and are explained in more detail on page 58.
8. MyReports

Within the MyReports tab, two types of reports are provided. One group is called “ASSET4 Supplemental Content,” which contains a variety of informational updates, as well as Excel tools that provide additional functionality. The second type of report is one you can create yourself. There are five different reports: a “Company Summary Report,” a “Company Strengths/Weaknesses Report,” a “Portfolio Report,” a “Ranking Report” and a “Company Detailed Data Report”.

To access these reports click on the “MyReports” tab at the top of the screen, which brings to a screen similar to the one shown in Figure 31. From here simply click the individual folders within the ASSET4 Supplemental Content section or click on “Add new” to begin to define a new MyReport as shown in Figure 33.
8.1 Supplemental Content

The ASSET4 Supplemental Content contains additional information and tools that can help support your work with assetmasterProfessional. The content includes: Upload Information, Carbon Data and Estimates, Global Compact Tool, Water Management Assessment (Pharma), Negative Screening Tool.

To download the content, click on the plus sign next to the folder of the item you are interested in, then click on the download icon, which brings up a dialogue box like the one shown in Figure 32. In Figure 32, we also show an small segment of the Negative Screening Tool, which allows you to screen the entire ASSET4 universe of companies in regard to issues such as armaments, nuclear power, tobacco, genetically modified organisms, stem cell research and animal testing.

A description of each of the elements provided in Supplemental Content is included in Appendix A.2.

---

**Figure 32: Downloading the Supplemental Content**

### ASSET4 Supplemental Content

<table>
<thead>
<tr>
<th>Type</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>El Folder</td>
<td>Carbon Data and Estimates RDF</td>
<td>Includes company-reported or ASSET4-estimated CO2 emissions values for all companies in the ASSET4 universe for 2007 and 2008 in PDF format.</td>
</tr>
<tr>
<td>El Folder</td>
<td>Carbon Data and Estimates Enroll</td>
<td></td>
</tr>
<tr>
<td>El Folder</td>
<td>Global Compact Tool</td>
<td></td>
</tr>
<tr>
<td>El Folder</td>
<td>ASSET4 Company Update</td>
<td></td>
</tr>
<tr>
<td>El Folder</td>
<td>Water Management Assessment (Pharma)</td>
<td></td>
</tr>
<tr>
<td>El Folder</td>
<td>Negative Screening Tool Values Only</td>
<td></td>
</tr>
</tbody>
</table>

**Folder**
Click on the plus sign next to “Folder” to show the timeline of when files were uploaded and to download a copy.

**Download Icon**
Click on the icon to download the file.

**File Download**
Dialogue box allows you to download the file where you desire.

**Negative Screening Tool**
Simple-to-use tool to screen companies in areas such as armaments, nuclear power, tobacco, genetically modified organisms, stem cell research and animal testing.
8.2 Defining a MyReport

On the MyReports definition screen, you must enter a name for the report and then choose which type of report you want to produce. To move to the next step, click on “Next,” which takes you to a screen similar to the one shown in Figure 34.

In Figure 33, we have entered a name and selected a report type of “Company Summary Report.”
On the screen shown in Figure 34, you can select the company you want to generate the for, as well as the define and benchmark to be used.

For the two company reports, the screen is exactly the same as shown in Figure 34. For the Portfolio Report, you select the portfolio you are interested in, as well as the year and benchmark. While for the Ranking report, you select the year and benchmark.

Once you have made your selections, click on “Finish” to complete the definition process and be taken back to the list of MyReports as shown in Figure 31, where you can click on the MyReport name or type to view the report.
8.3 MyReports: Company Strengths/Weaknesses Report

The “Company Report” that you can generate through the MyReports capability is basically a PDF version of the Equal-Weighted Rating Company report that you see in the system.

However, the “Company Strengths/Weaknesses Report,” offers you additional insights not directly available through the system reports. It displays a report summarising the best and worst performing pillars and categories for the company you are viewing. An example of the “Best Performing Pillar” section of this report is shown in Figure 35.

Figure 35: MyReports Company Strengths/Weaknesses Report Best Performing Pillar

- **Written Description**
  A description of the performance of the best performing pillar for the company for the selected year as compared to the previous year and the benchmark. Similar descriptions are included in the report for the worst performing pillar and the best and worst performing categories.

- **Graphs**
  Breakdown and history graphs for the best performing pillar. Similar graphs are included in the report for the worst performing pillar and the best and worst performing categories.

- **Ranking: Best and Worst**
  A table showing how the selected company compares in this pillar to the top-five and bottom-five performing companies within the benchmark.
8.4 MyReports: Portfolio Report

If you select “Portfolio Report,” the system generates a portfolio report with three sections: Portfolio Summary, Portfolio Pillar Breakdown and Areas of Improvements.

The “Portfolio Summary” section contains both a tabular and graphical depiction of the portfolio’s performance in comparison to the benchmark. The table from this section of the report is shown in Figure 36. This section also contains two graphs not shown in the figure. One is a Portfolio Trend graph showing the historical performance of the portfolio from an Equal-Weighted Rating perspective. The other is a Price/Quality graph showing how the portfolio compares to the benchmark in regard to its Equal-Weighted Rating and PE ratio.

![Figure 36: MyReports Portfolio Report – Portfolio Summary Section](image)

<table>
<thead>
<tr>
<th>Symbol</th>
<th>Company Name</th>
<th>Industry</th>
<th>Weight Rating</th>
<th>Grade Benchmark Rank</th>
<th>Portfolio Rank</th>
<th>Breakdown</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Novartis AG</td>
<td>Pharmaceuticals</td>
<td>16.76%</td>
<td>A</td>
<td>90%</td>
<td>9/90</td>
</tr>
<tr>
<td></td>
<td>Bristol Myers Squibb Company</td>
<td>Pharmaceuticals</td>
<td>27.93%</td>
<td>A+</td>
<td>92%</td>
<td>7/90</td>
</tr>
<tr>
<td></td>
<td>Johnson &amp; Johnson</td>
<td>Pharmaceuticals</td>
<td>33.51%</td>
<td>A+</td>
<td>93%</td>
<td>5/90</td>
</tr>
<tr>
<td></td>
<td>Roche Holdings Limited</td>
<td>Pharmaceuticals</td>
<td>11.17%</td>
<td>A</td>
<td>88%</td>
<td>11/80</td>
</tr>
<tr>
<td></td>
<td>Abbott Laboratories Inc</td>
<td>Pharmaceuticals</td>
<td>10.63%</td>
<td>B-</td>
<td>51%</td>
<td>30/90</td>
</tr>
<tr>
<td></td>
<td>Portfolio Average</td>
<td>ASSET4 Universe</td>
<td></td>
<td>A</td>
<td>87%</td>
<td></td>
</tr>
</tbody>
</table>

- **Portfolio Summary**
  A snapshot of the weight, rating, grade, benchmark rank, portfolio rank and pillar breakdown for each company within the portfolio.

- **Portfolio Rating**
  The portfolio rating is an average rating for all companies within the portfolio. The benchmark rating is also shown at the bottom of the table.

- **Year and Benchmark**
  The year and benchmark used for the report is displayed here.
The “Portfolio Pillar Breakdown” section of the Printable Portfolio Report contains a graphical and written description of the portfolio’s performance for each of the four pillars, as well as a tabular and written description of the best and worst performing companies within the portfolio. An example of this “Best and Worst in Class” element of the report is shown in Figure 37.

Figure 37: Best and Worst in Class Section of the MyReports Portfolio Report

<table>
<thead>
<tr>
<th>Best in Class</th>
<th>Worst in Class</th>
<th>Written Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Economic Pillar</td>
<td>Environmental Pillar</td>
<td>Social Pillar</td>
</tr>
<tr>
<td>Roche Holdings Limited</td>
<td>Roche Holdings Limited</td>
<td>Johnson &amp; Johnson</td>
</tr>
<tr>
<td>Novartis AG</td>
<td>Bristol Myers Squibb Com.</td>
<td>Bristol Myers Squibb Com.</td>
</tr>
<tr>
<td>Johnson &amp; Johnson</td>
<td>Johnson &amp; Johnson</td>
<td>Novartis AG</td>
</tr>
<tr>
<td>Bristol Myers Squibb Com.</td>
<td>Novartis AG</td>
<td>Abbott Laboratories Inc</td>
</tr>
<tr>
<td>Abbott Laboratories Inc</td>
<td>Abbott Laboratories Inc</td>
<td>Roche Holdings Limited</td>
</tr>
</tbody>
</table>

1. **Best in Class**
   - A table showing the three best performing companies within the portfolio for each pillar.

2. **Worst in Class**
   - A table showing the three worst performing companies within the portfolio for each pillar.

3. **Written Description**
   - A summary description of how the best and worst companies for each pillar compared to the entire portfolio and the key category influencing that result.

### Best and Worst In Class

<table>
<thead>
<tr>
<th>Economic Pillar</th>
<th>Environmental Pillar</th>
<th>Social Pillar</th>
<th>Corporate Governance Pillar</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roche Holdings Limited</td>
<td>Roche Holdings Limited</td>
<td>Roche Holdings Limited</td>
<td>Johnson &amp; Johnson</td>
</tr>
<tr>
<td>Novartis AG</td>
<td>Bristol Myers Squibb Com.</td>
<td>Bristol Myers Squibb Com.</td>
<td>Bristol Myers Squibb Com.</td>
</tr>
<tr>
<td>Johnson &amp; Johnson</td>
<td>Johnson &amp; Johnson</td>
<td>Novartis AG</td>
<td>Novartis AG</td>
</tr>
<tr>
<td>Bristol Myers Squibb Com.</td>
<td>Novartis AG</td>
<td>Abbott Laboratories Inc</td>
<td>Abbott Laboratories Inc</td>
</tr>
<tr>
<td>Abbott Laboratories Inc</td>
<td>Abbott Laboratories Inc</td>
<td>Roche Holdings Limited</td>
<td>Roche Holdings Limited</td>
</tr>
</tbody>
</table>

1. **Economic Pillar**
   - The company with the best Economic pillar rating in the portfolio for the fiscal year 2005 is Roche Holdings Limited. When compared to the portfolio average, Roche Holdings Limited is 23% higher. The above average rating is essentially due to the Revenue / Client Loyalty category, which is 27% higher than the portfolio average. The company with the worst Economic pillar rating in the portfolio for the fiscal year 2005 is Abbott Laboratories Inc. When compared to the portfolio average, Abbott Laboratories Inc is 32% lower. The below average rating is essentially due to the Margins / Performance category, which is 22% lower than the portfolio average.

2. **Environmental Pillar**
   - The company with the best Environmental pillar rating in the portfolio for the fiscal year 2005 is Roche Holdings Limited. When compared to the portfolio average, Roche Holdings Limited is 10% higher. The above average rating is essentially due to the Product Innovation category, which is 12% higher than the portfolio average. The company with the worst Environmental pillar rating in the portfolio for the fiscal year 2005 is Abbott Laboratories Inc. When compared to the portfolio average, Abbott Laboratories Inc is 25% lower. The below average rating is essentially due to the Resource Reduction category, which is 44% lower than the portfolio average.

3. **Social Pillar**
   - The company with the best Social pillar rating in the portfolio for the fiscal year 2005 is Roche Holdings Limited. When compared to the portfolio average, Roche Holdings Limited is 10% higher. The above average rating is essentially due to the Society / Human Rights category, which is 26% higher than the portfolio average. The company with the worst Social pillar rating in the portfolio for the fiscal year 2005 is Abbott Laboratories Inc. When compared to the portfolio average, Abbott Laboratories Inc is 20% lower. The below average rating is essentially due to the Workforce / Employment Quality category, which is 51% lower than the portfolio average.

4. **Corporate Governance Pillar**
   - The company with the best Corporate Governance pillar rating in the portfolio for the fiscal year 2005 is Johnson & Johnson. When compared to the portfolio average, Johnson & Johnson is 19% higher. The above average rating is essentially due to the Integration/ Vision and Strategy category, which is 6% higher than the portfolio average. The company with the worst Corporate Governance pillar rating in the portfolio for the fiscal year 2005 is Roche Holdings Limited. When compared to the portfolio average, Roche Holdings Limited is 29% lower. The below average rating is essentially due to the Board of Directors/ Board Functions category, which is 43% lower than the portfolio average.

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The “Areas of Improvements” section of the Printable Portfolio Report contains a table highlighting the areas of improvement for each company by looking at the lowest five scores for each company in the portfolio for the selected year. An example of this “Areas of Improvements” section of the report is shown in Figure 38.

### Figure 38: Areas of Improvements Section of the MyReports Portfolio Report

#### Section 3: Areas of Improvements

The table below highlights the areas of improvements for each company by looking at the lowest five scores for each company in the portfolio for the fiscal year 2005.

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Areas of Improvements</th>
<th>Specific Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Novartis AG</td>
<td>Margins / Performance / Outcome</td>
<td>Transparency</td>
</tr>
<tr>
<td></td>
<td>Shareholders / Shareholder Rights / Outcome</td>
<td>Exposures</td>
</tr>
<tr>
<td></td>
<td>Board of Directors / Compensation Policy / Outcome</td>
<td>Transparancy</td>
</tr>
<tr>
<td></td>
<td>Revenue / Client Loyalty / Outcome</td>
<td>Exposure</td>
</tr>
<tr>
<td></td>
<td>Workforce / Employment Quality / Outcome</td>
<td>Transparency</td>
</tr>
<tr>
<td></td>
<td><strong>Transparency</strong></td>
<td><strong>Exposures</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Exposure</strong></td>
<td><strong>Transparancy</strong></td>
</tr>
<tr>
<td>Bristol Myers Squibb</td>
<td>Margins / Performance / Driver</td>
<td>Performance / Policy</td>
</tr>
<tr>
<td>Company</td>
<td>Revenue / Client Loyalty / Outcome</td>
<td>Transparancy</td>
</tr>
<tr>
<td></td>
<td>Shareholders / Shareholder Rights / Outcome</td>
<td>Exposure</td>
</tr>
<tr>
<td></td>
<td>Society / Community / Outcome</td>
<td>Exposures</td>
</tr>
<tr>
<td></td>
<td>Workforce / Employment Quality / Outcome</td>
<td>Transparency</td>
</tr>
<tr>
<td></td>
<td><strong>Performance / Policy</strong></td>
<td><strong>Transparancy</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Exposure</strong></td>
<td><strong>Exposure</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Transparancy</strong></td>
<td><strong>Transparency</strong></td>
</tr>
<tr>
<td>Johnson &amp; Johnson</td>
<td>Profitability / Shareholder Loyalty / Outcome</td>
<td>Momentum</td>
</tr>
<tr>
<td></td>
<td>Shareholders / Shareholder Rights / Outcome</td>
<td>Transparancy</td>
</tr>
<tr>
<td></td>
<td>Margins / Performance / Outcome</td>
<td>Momentum</td>
</tr>
<tr>
<td></td>
<td>Revenue / Client Loyalty / Outcome</td>
<td>Transparancy</td>
</tr>
<tr>
<td></td>
<td>Society / Human Rights / Outcome</td>
<td>Momentum</td>
</tr>
<tr>
<td></td>
<td><strong>Momentum</strong></td>
<td><strong>Transparancy</strong></td>
</tr>
<tr>
<td>Roche Holdings Limited</td>
<td>Board of Directors / Board Functions / Outcome</td>
<td>Exposure</td>
</tr>
<tr>
<td>Limited</td>
<td>Shareholders / Shareholder Rights / Outcome</td>
<td>Compensation Policy / Monitor...</td>
</tr>
<tr>
<td></td>
<td>Board of Directors / Compensation Policy / Driver</td>
<td>Exposure</td>
</tr>
<tr>
<td></td>
<td>Profitability / Shareholder Loyalty / Outcome</td>
<td>Board Structure / Monitor...</td>
</tr>
<tr>
<td></td>
<td>Board of Directors / Board Structure / Driver</td>
<td><strong>Exposure</strong></td>
</tr>
<tr>
<td>Abbott Laboratories Inc</td>
<td>Margins / Performance / Driver</td>
<td>Performance / Policy</td>
</tr>
<tr>
<td>Inc</td>
<td>Workforce / Employment Quality / Driver</td>
<td>Employment Quality / Policy...</td>
</tr>
<tr>
<td></td>
<td>Society / Human Rights / Outcome</td>
<td>Momentum</td>
</tr>
<tr>
<td></td>
<td>Shareholders / Shareholder Rights / Driver</td>
<td>Shareholder Rights / Imple...</td>
</tr>
<tr>
<td></td>
<td>Revenue / Client Loyalty / Outcome</td>
<td>Transparency</td>
</tr>
</tbody>
</table>
9. Ranking Report

While the “Ranking Report” within MyReports, provides you a the ranking of companies within a selected benchmark for a selected year, there is an additional way to generate ranking reports—using the Ranking Report menu option on the right side of the screen.

The Ranking Report is a simple way to review how the companies in a selected benchmark perform in a specific report level. Whenever you are in a report, such as the Equal-Weighted Rating or one of the pillars or categories, you have two options to view a Ranking Report. You can click directly in the tabular displays of performance that show the “rank” of a company within a level to view the report for that level. Or you can click on “Ranking Report” in the ASSET4 Toolbox and be immediately taken to the Ranking Report that shows how all the companies in the benchmark rank for that level.

Once you are in the Ranking Report, you can of course change the benchmark category, specific benchmark and year. You can also use the Report Zoomer to select any level within the ASSET4 framework to see a ranking of all companies in your selected benchmark for that level.

Figure 39: Ranking Report
10. MyRatings

MyRatings allows you to select from the full range of standard and user-defined indicators within the system to create your own ratings to analyse a single company, a portfolio, an industry or the entire ASSET4 universe. Click on the MyRatings tab at the top of the window to be taken to a screen similar to Figure 40. With the MyRatings feature, you can define an individual rating evaluating any subset or combination of the default framework, which contains 280+ indicators and 750+ data points. For example, you could focus on only two issues, such as human rights and emission reduction and create a MyRating designed to make an assessment for each issue individually, as well as a combination of both issues. Once you had defined a MyRating you can use it to perform evaluations on any companies within the ASSET4 universe.

![Figure 40: MyRatings List](image)

1. **MyRatings Tab**
   Placing your cursor on the MyRatings tab, displays a drop-down list of ratings including the standard Equal-Weighted Rating. Choose one of these to use for your analysis or click on the MyRatings tab itself to be taken to a list of ratings shown in Figure 40, to define a new MyRating or edit an existing one.

2. **Add New Button**
   Click on the “Add new” button to go directly to Figure 41 to begin to define your rating.

3. **Owner**
   Indicates who owns the MyRating. Only the owner can modify or share a rating.

4. **List of Ratings**
   As you build ratings, they are listed here showing their owner, code, name, description and status.

5. **Status**
   Displays the status, either “Pending”, “Calculating” or “Ok_Stored”.

6. **Icons**
   Use the icons to delete, edit or export a rating.

7. **Import Ratings**
   Users can share MyRatings. Once a rating has been exported by one user, other users of the system can import it and then use it for their own analysis. Enter its specific name and location or browse to it.
10.1 MyRatings: Name and Description

Name
Enter the name of your rating.

Description
Enter a description to help identify the rating.

Benchmark
Select the benchmark for this rating, either the universe, economic sector or portfolio.

Normalization Method
Use the pull-down menu to select one of four normalization methods: percentile rank, Z-score, Shift and scale or None. Please see the ASSET4 Rating Engine How-To and Methodology Guide for a description of each method.

Weights and Email
Use the check boxes to indicate if the sum of the weights should equal 100% and if an email should be sent after the rating is calculated.

Next
Once you have entered a name and description and made you other selections, click on “Next” to begin to define the elements of your rating.
10.2 MyRatings: Items Setup

Once the name and description of the MyRating are entered, the next step is to define the structure of the rating you wish to create. It is important to define this structure before you begin to select the specific indicators that you want to include within the rating.

By clicking on the name of your rating in the left-hand column, you will see a screen similar to Figure 42. After you have entered a code (required), a name (required) and a description (optional), then click on the “Add level” button to begin to build a basic structure for your rating as shown in Figure 43.

Figure 41: MyRatings Definition

Create New MyRating (Step 2 of 2)

Select Item
Click on the name of your rating which is highlighted in red in order to define a code for the rating and to begin to add indicators or levels.

Code and Name
Enter a unique alphanumeric code and name to identify your rating.

? (Help)
Click on any question mark to bring up Help for this page.

Add Level
Click here to add a levels to your rating. You can think of these levels as similar to the pillars and categories in the standard pre-defined framework.

Add Indicators
Click here to be taken to the screen pictured in Figure 44 on which you can select indicators to include in your rating.
Once you have defined a top-level code for your rating as we did in Figure 41, you can begin adding subordinate levels with the “Add level” button. If you wish to add two levels to your rating it is important to be positioned on the top-level (in our example the “Ref Manual Rating Example” level) when clicking on the “Add level” button.

In our example we have created two levels: “Emission Reduction” and “Human Rights.” Each have a simple code of ER01 and HR01 respectively. Note that you can define as deep a level structure as you desire by continuing to add levels within levels. As you make entries in the Settings window, click on “Validate” to enter and verify the changes in the system. After having defined the levels you require, you can begin to select indicators for each level by clicking on the level in the left-hand column and then clicking on the “Add new” button, which will take you to a screen similar to Figure 44.

Figure 43: MyRatings Items Setup - Defining the Rating Structure

1. Select Item
   This column displays each level within the rating as you build it. When adding new levels or indicators, you must click on the specific level you want to work with.

2. Code and Name
   As you build your rating structure for each level you must provide an alphanumeric code and name.

3. Add Level
   Click here to add levels to your rating similar to the pillars and categories in the standard pre-defined framework.

4. Add Indicators
   Click here to be taken to the screen pictured in Figure 44 on which you can select indicators to include in your rating.

5. Validate
   As you make entries in the Settings window, click on “Validate” to enter and verify the changes in the system.

6. Finish
   Once you have completed defining your rating (adding all necessary levels and indicators) click on “Finish” to save the rating in the system.

7. Delete
   Click to delete selected levels from your rating.
On the definition screen pictured in Figure 44, you have the ability to zoom in and out of the ASSET4 framework and your other previously defined MyRatings and MyIndicators, to identify and select indicators to include in one of the levels of your rating. By clicking on the “+” and “-” signs, you can open or close the framework structure. Once you are on the driver or outcome level, click on either word to display in the middle column the indicators for that level. When you find the indicator you are looking for, select it by placing a checkmark in the box next to it. The checkmark means that it will be a part of your rating. Once you have chosen all the indicators for this level of your rating, click on “Next” to move to the next step in the MyRating setup.

To find out exactly what an indicator is and how it is compiled, click on its name and you will see the text in the Definition column change giving you a detailed description of that indicator. Once selected, the indicator name remains bold until another level is selected.

Click here to include all the indicators shown in the middle column in your rating.

When you click on the name of an indicator, its definition appears here.

Click on “Next” to move to the next step of the MyRating definition setup.
Now that you have selected the indicators for your rating, you need to identify them by entering a unique code and defining their weights. When you are on this screen (shown in Figure 45) for the first time following the selection of indicators shown in Figure 44, you will see highlighted in red the words “New rating,” as well as either or both “Outcome” and “Driver.” Note that every time you begin to add indicators to a level of your rating, the system automatically adds a “New rating” level and depending on the type of indicators you select, it will also add a Driver and Outcome level as well. These are default names that you can change by clicking on each word to bring up the settings window to enter a code, title, description and weight for each of these levels. All the indicators that you selected will maintain their standard information, though you can change the weighting of any indicator.

![Figure 45: MyRatings Items Setup - Entering Codes and Weights](image)

**1. Select Item**
A list of items selected on the previous screen to include in the rating. The red highlighted names, such as “New rating,” “Driver” or “Outcome,” indicate that you must enter identifying settings for that level. Click on the name to enter the settings for that level. Use the “+” and “−” signs to expand or contract the list.

**2. Settings**
Enter a code, name, description, children node calculation selection and weight for the highlighted element in the first column.

**3. Code and Name**
For each level of the rating structure you must provide an alphanumeric code and name.

**4. For Calculating the Rating Node Use:**
Use the pull-down menu to select either the values or scores of the children nodes for calculating this rating node.

**5. Weight**
For every level within a rating, you can define its weight. Note that if you are defining the settings for an outcome level set of indicators, you can define an overall weight, as well as a specific weighting for transparency, performance, momentum and exposure. The system automatically normalizes the weights for each level.

**6. Validate**
Click on “Validate” once you have defined all the codes and weights to have the system validate your rating to ensure that all codes and weights are entered properly.

**7. Finish**
Click on “Finish” to save the rating and begin using it to perform analysis.
10.3 MyRatings: Using a MyRating

Once you have completed defining a rating, you can use it to analyse the performance of an individual company or an entire portfolio. You can also rank the companies within the ASSET4 universe, a sector, an industry or a portfolio in based on your rating.

Once the rating is finished calculating it will be shown in the MyRating menu at the bottom of the right-hand column on all the report screens.

To use your rating simply click on its name in the MyRatings list in the right-hand column or in MyRatings tab when you are on a MyPortfolio, Company Report or Ranking Report. The screen will then be automatically updated to display the results based on your rating for the portfolio or company.

Figure 46: Using a MyRating

- MyRatings List
  A list of the saved MyRatings. Select the rating you would like to apply. Select the “Equal-Weighted Rating” to view the standard rating.

- Tabular Data
  Once the MyRating is selected all tabular reporting data is now based on the selected MyRating criteria.

- Graphs
  Once the MyRating is selected all graphs are now based on the selected MyRating criteria.
11. MyExports

As you use the system, you may also wish to integrate portions of the ASSET4 information directly into your analysis. You can accomplish this integration through the MyExports capability. By clicking on the MyExports tab at the top of the screen, you are taken to the screen shown in Figure 47. On this screen you can define the name and format of the file in which you want the selected information stored for easiest integration into your existing processes.

Figure 47: Naming the MyExport Report

1. **Report Name**
   Enter a name for the file to which you want to export the data.

2. **Report Description**
   Enter a description to identify your export.

3. **Email Notification When Export is Ready**
   Click here if you want to be sent an email when the export is complete and the file is created.

4. **Compress to ZIP**
   Click here to create a ZIP version of the file.

5. **Export Format**
   The exported data can be output in two formats: an Excel format (xls) or an XML format. Choose which format you want here.

6. **Next**
   Once you have entered a name and description and made any other selections, click on "Next" to begin to select the information for your export.

7. **Finish**
   Only use “Finish” on this screen, if you are only changing a description or export format.
11.1 MyExports: Company Selection

Once you have defined the name and format for the export file, the next step is to select the companies for which you want to export the data. The screen shown in Figure 48 provides a number of filters to help you quickly select the relevant companies for your export.

Choose Year(s) for Export
You can export data for one or more years. Hold down the Ctrl key to select multiple years.

Filters
Use the pull-down menus for country, sector, industry and portfolio to define a subset of companies. Note that there is an “and” relationship between the filters.

Check the Companies
Use the check boxes next to each company in either column to select those companies to move between columns.

Arrows Buttons
Use the arrow buttons to move companies between columns in order to make your selection of companies. Use the “>” and “<” buttons to move only the checked companies. Use the “>>” and “<<” buttons to move all companies in either column.

Next
After selecting the companies, click on Next to define what data to export.

Finish
Click on the Finish button on this screen if you wish to export all the ASSET4 data for each company you selected.
11.2 MyExports: Data Selection

While you may wish to export all the data ASSET4 has on your selected companies, you can also select any level or even any data point to export. Use the screen shown in Figure 49 to refine your selection. The first column allows you to expand and contract the entire framework including pillars, categories, driver/outcome dimensions and indicators. If you want any of these specific levels, simply check the box next to its name. Click on the name to see a definition of that level in the right-hand column. Once you are at the indicator level in the left-hand column, the data points appear in the middle column, which you may also select with a check to include in your export.

Figure 49: Selecting the Data to Include in MyExports

- **Search for item**
Enter a term to search the system to help define your export selection and click on “Go.”

- **Select Rating**
You can export data from the default Equal-Weighted Rating framework or from a MyRating framework that you have defined.

- **Select Level**
Use the “+” and “−” to expand and contract the ASSET4 framework to find the level or levels you want to include in your export data. Check the box next to the data level you want to include in your data export. Click on a gray highlighted level name to see its definition in the right-hand column.

- **Data Points**
Select the data points you want to export by checking the box next to their name. Click on the gray highlight to see the data point definition in the right-hand column.

- **Definition**
As you move through the framework in the first and second columns and click on level names, the definitions of those levels appear here.

- **Type of Export**
Choose to export only indicators or only data points or the default which is both. Raw data and normalized values are also export options.

- **Select All Data Points**
Check this box if you want to select all the data points appearing in the middle column.

- **Finish**
Click on the Finish button to export the data.
11.3 MyExports: Output

Figure 50 shows a small portion of the export output that assetmasterProfessional can produce. There are two output formats: Excel or XML, which you can integrate directly into your existing processes.

![Figure 50: Excel Output From a MyExports](image-url)
12. MyIndicators

The ASSET4 default framework contains 280+ indicators and 750+ data points. In order to monitor the performance of a company on a specific issue, an indicator must be defined for that issue. While the 280+ indicators cover a wide range of topics, with the MyIndicators feature, you can define your own indicators from any one specific data point or combination of data points within the system.

Due to the complexity of user requirements, defining a MyIndicator can also be rather complex. Please note that ASSET4 Client Services is available to assist you in defining MyIndicators.

On the initial MyIndicators screen you can either add a new MyIndicator or delete, edit or copy one that already exists.

[Figure 51: MyIndicators List]

- **Add New**
  - Click on the “Add new” button to go directly to Figure 50 to begin to define your indicator.

- **List of Indicators**
  - As you build or receive shared indicators, they are listed here showing owner, code, name, definition and status.

- **Icons**
  - Use the icons to delete, edit or copy an existing MyIndicator. The double arrow icon shows if a MyIndicator is shared.
12.1 MyIndicators: Definition

To create a MyIndicator, you first need to define some basic information such as a name, code and definition. There are a number of variables that need to be set during the MyIndicator creation process including benchmark, value and scoring. On the screen shown below, you can click on any question mark to read a short description of these capabilities.

Please see the ASSET4 Rating Engine How-To and Methodology Guide for detailed description of this feature.

Figure 52: MyIndicators Definition Step 1 (modified screenshot)

- **Name, Code, Definition**
  Identify your indicator by entering a name, code and definition. The name and code are required. By default an automatic code is generated from the entered name, though this can be changed.

- **Driver/Outcome**
  Choose whether it should be a driver or an outcome indicator. If it is a driver indicator (like in Figure 52), it is scored on performance alone. If it is an outcome indicator, it has performance, transparency, exposure and momentum scores. The “Transparency Options” pull-down is only available for outcome indicators.

- **Relevant For**
  Select the sector(s) for which the indicator is relevant. Or select “All Industry” for all companies. Use the “+” or “-” to reveal the sub-sectors.

- **Benchmark**
  Defines what group of companies you want to use for comparison: ASSET4 universe, economic sector, business sector, industry group, industry, region, country and primary stock exchange.

- **Value**
  The value of the indicator based on the formula, which is defined in the next step. You can define a default value, set a min and max or define a dynamic min/max.

- **Scoring**
  From the value of the indicator we calculate a score, which can be normalized (percentile rank, Z-score or shift and scale) to create a number between 0% and 100%. The benchmark defines the scope of the scoring.

- **Next (not shown in figure)**
  After entering a name and code and making your other selections, click on “Next” to define the calculation for your indicator.
Fundamental to defining a MyIndicator is knowing the data point code(s) you want to monitor. To find these codes, the simplest thing to do is to right click on the Item Lookup menu item (see pages 16-17) to open this screen in a new window to search for the data point codes you require.

Once you have the Item Lookup screen open, either search through the default Equal-Weighted Rating framework to find the data point(s) or simply enter the name of the issue in the “Search For Item” box and click on “Go.” In our example, we searched for “tobacco” and found three data points referring to it. By clicking on the “Tobacco” data point, you will then see the definition in the right hand column, which includes the actual data point code, which in our example is “So_Cu_PR_DP043.” Simply copy that code and return to the original indicator definition screen to paste it into the calculation.

Figure 53: MyIndicators Definition Step 2
Once back on the indicator definition screen, enter the code that you copied from the Item Lookup screen preceded by an “@” (e.g. @So_Cu_PR_DP043). For all indicator rules, each data point code must be immediately preceded by an @. By simply entering “@So_Cu_PR_DP043” in the indicator calculation expression field, you are telling the system to monitor the values of this specific data point. **Please note that to start the calculation of a MyIndicator, the user must either select a company and the MyIndicator, view the MyIndicator value, or attach the MyIndicator to a MyRating.**

You can use the same procedure for more complex indicators as well, by selecting an indicator in the Equal-Weighted Rating, such as “Product Responsibility / Responsible Asset Management” and cutting and pasting the rule, and changing the relevant data points. See the inset image in Figure 54 for an example of an indicator rule containing multiple data points. Using this process you can create unique and very sophisticated indicators to monitor issues not directly covered within the Equal-Weighted Rating framework. For a description of the syntax and functions used within MyIndicators formulas, please turn to the appendix starting on page 60.
12.2 Using a MyIndicator

Once you have defined a MyIndicator you can use the Company Report to view the performance of any company within the ASSET4 universe in regard to that specific indicator. An example of such a MyIndicator Company Report is shown in Figure 55. Note that this report includes the value, data point rule and raw data in regard to this indicator for that specific company.

Figure 55: Ranking Companies by a MyIndicator
13. MySettings

The MySettings screen shown in Figure 56 enables you to change various parameters within the system, such as the personal information that the system stores on you. You can also use it to change the password that ASSET4 initially gave you, which we suggest doing for security purposes.

You also have the ability to either accept the default settings for the number of decimal places for scores, weights and values.

For the MyNews functionality there are a number of parameters that you can set here as well.

### Figure 56: MySettings

**MySettings**

This screen allows you to define settings that apply to the overall system: user name and contact information, password, desired decimal places for numeric values and MyNews settings.

- **Password Criteria**
  - Valid passwords must be at least 6 characters long, contain both upper and lower case letters, as well as one special character: (,:),@,#,$,%,*,-).

- **Personal Information**
  - Enter or change the name, email address and phone number stored in the system. You can also change your password on this screen.

- **Decimal Places**
  - Either leave the default settings or change the number of decimal places to be used for scores, weights and values.

- **Password Criteria**
  - Indicate how fast you would like the next bar to scroll.

- **Keep News in News Bar**
  - Indicate how many days news should be kept in the News Bar.

- **Preferred Delivery Time for News**
  - Define the time and time zone you would like an email update be sent to you for your news subscriptions.

- **Change**
  - Click on “Change” when you have made the corrections you desire.
A.1 MyIndicators Formula Guide

A description of the BASIC style language used for the formulas that convert data point values into MyIndicators values.

Syntax

Data Points Codes
Data points are referenced via their codes preceded by the symbol “@”.

Examples:
@CG_BD_BF_DP018  “Percentage of independent board members on the audit committee as stipulated by the company”

@CG_SH_SR_DP011[1]  “Does the company describe processes in place to ensure the one-share, one-vote principle is applied?”

If, then, else
If condition then statement else statement
Note: Else is always required.

Operators
=, +, -, *, /, <, >, <=, >=, and, or, not

Strings
Strings should be enclosed by double quotes: “”
Note: The strings “Yes” and “No” do not require quotes.

Values returned
The values returned by a formula can be:
• Numeric
• Yes/No
• NA

Historic values
To reference the value of a previous fiscal year:
@dp_code[element_index]. fy(#CFY-1)

To reference the value of a certain fiscal year:
@dp_code[element_index]. fy (2005)

If the year is not specified, the formula takes the value for the current year.

Double Questions
(expression for first question)
/
(expression for second question)
Functions

Countif
Counts the number of elements in a data point list that match a defined condition.

Syntax
countif(condition)

Examples:
countif(@CG_BD_BS_DP043 = yes)
Counts the number of board members who are independent as stipulated by the company.

countif(@CG_BD_BS_DP043 = yes and @CG_SH_SR_DP112 = 3)
How to use multiple conditions.

Sum
Adds the elements in a numeric data point.

Syntax
Sum(DPcode)

Examples:
sum(@CG_BD_CP_DP043)
The total compensation package of the board members.

countif(@CG_BD_BS_DP043 = yes and @CG_SH_SR_DP112 = 3)
How to use multiple conditions.

Sumif
Adds the elements in a data point list that match a defined condition.

Syntax
Sum(DPcode, condition)

Examples:
sumif(@CG_SH_SR_DP111, @CG_SH_SR_DP111 > 3)
The total compensation package of the board members.

sumif(@CG_SH_SR_DP111, @CG_SH_SR_DP114 = yes and isAvailable(@CG_SH_SR_DP115))
Using multiple conditions.
IsAvailable
Determined if a data point value is available.

Syntax
isAvailable(DPcode)

Examples:
If isAvailable(@CG_SH_SR_DP111) then result = yes
If not isAvailable(@CG_SH_SR_DP112[1]) then result = 47

hasRawData
Checks whether a data point has raw data:

Syntax
hasRawData(DPcode)

Example:
hasRawData(@CG_SH_SR_DP111)

Max
Finds the highest value in a numeric data point list.

Syntax
max(DPcode)

Example:
max(@CG_SH_SR_DP111)

Min
Finds the lowest value in a data point list.

Syntax
min(DPcode)

Example:
min(@CG_SH_SR_DP111)
A.2 ASSET4 Supplemental Content Description

Over time the various elements included in the ASSET4 Supplemental Content available within MyReports may vary. Five key types of content that are included are:

**Upload Information** - an Excel file listing the content of the latest data upload into assetmasterProfessional.

**Carbon Data and Estimates** - Includes company-reported or ASSET4-estimated CO2 emissions values for all companies in the ASSET4 universe for 2007 and 2008 in PDF format.

**Global Compact Tool** - an Excel-based tool that enables the monitoring of company compliance to the UN Global Compact Principles including links to recent controversial news stories linked to the Principles.

**Water Management Assessment (Pharma)** - an Excel file that includes information on policies, initiatives, management systems and water consumption levels, as well as an overall ranking for companies within the pharmaceutical sector.

**Negative Screening Tool Values Only** - Simple-to-use an Excel-based tool to evaluate the level of involvement of global companies in areas such as armaments, nuclear power, tobacco, genetically modified organisms, stem cell research and animal testing.