

# ASSET4

*assetmasterProfessional*  
Reference Guide



December 2011



THOMSON REUTERS



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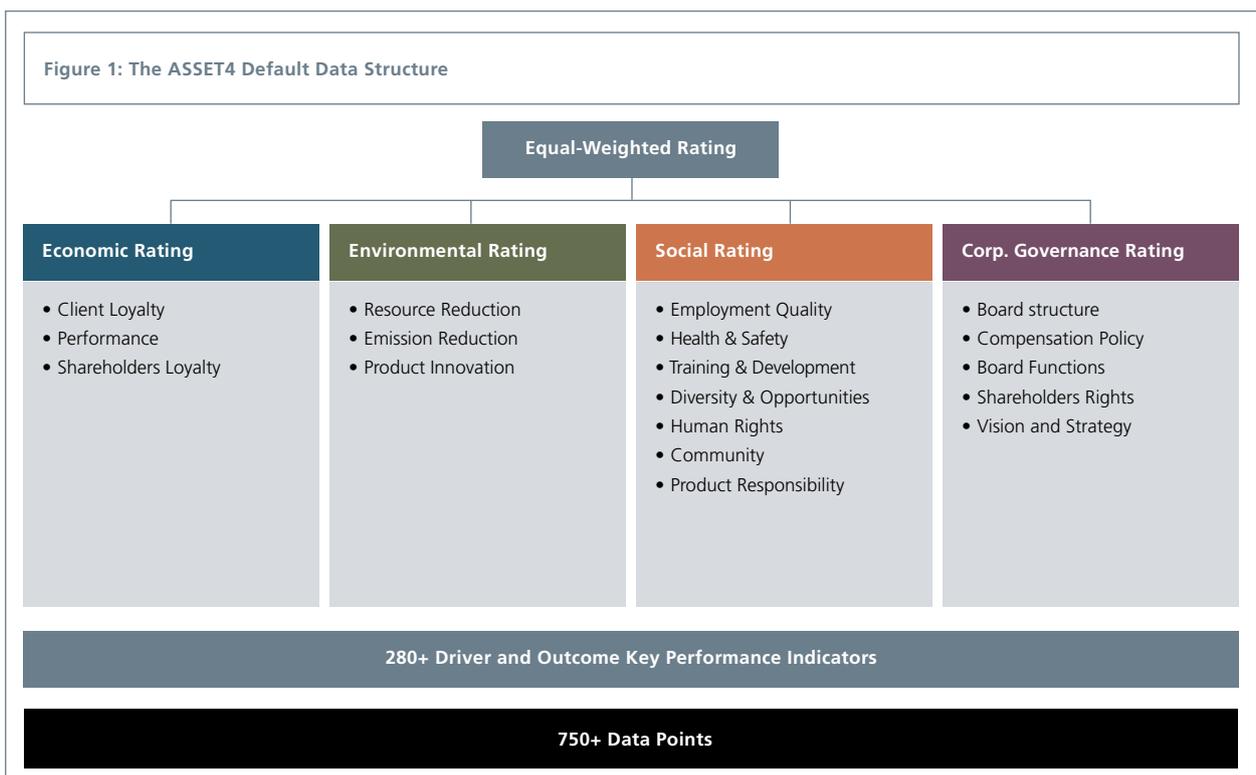
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# 1. The Default ASSET4 Framework

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

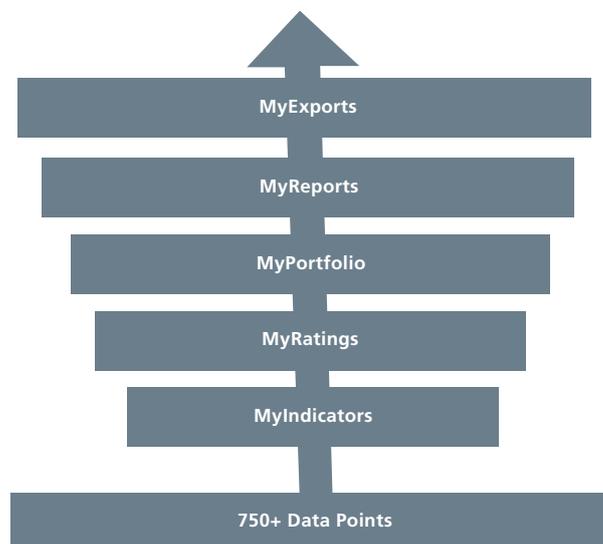
Transparency and flexibility are key features to *assetmasterProfessional*. One primary example of our transparency is that every one of the 750+ data points and 280+ predefined KPIs within the system can be viewed and the original information source (annual reports, filings, websites, etc.) directly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

Figure 2: The Flexibility of the ASSET4 Data Framework



## 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.

Figure 3: The Initial ASSET4 System Screen

The screenshot shows the 'assetmasterProfessional' interface. At the top, there is a navigation bar with links for 'MyPortfolios', 'MyRatings', 'MyIndicators', 'MyReports', 'MyExports', 'MyAlerts', 'MyNews', and 'My Settings'. A 'Company Search' box is present with a 'Go' button. Below the search bar, a 'Search Results' section indicates that no search string was entered, returning all 2474 companies. The main content area displays a table of companies with the following columns: Company, Quote, Country, Sector, Industry, and Rating. The table is sorted alphabetically by company name. On the right side, there is an 'ASSET4 Toolbox' with options for 'Portfolio Summary', 'Ranking Report', and 'Item Lookup'. The bottom of the screen shows a page navigation bar indicating 'Page 1 of 50'.

Company	Quote	Country	Sector	Industry	Rating
3i Group PLC	ILJN	United Kingdom	Financials	Capital Markets	A-
<b>3M Company</b>	MMM	United States	Industrials	Industrial Conglomerates	A+
A-TEC Industries Agency	AATEC-VI	Austria	Industrials	Construction & Engineering	D
A2A Spa	A2A-MI	Italy	Utilities	Multi-Utilities & Unregulated Pov	C-
<b>ABB Limited</b>	ABBN-VX	Switzerland	Industrials	Electrical Equipment	A+
Abbot Group PLC	NIF	United Kingdom	Energy	Energy Equipment & Services	D-
Abbott Laboratories Inc	ABT	United States	Health Care	Pharmaceuticals	A+
ABC Learning Centres Limited	ABS-AU	Australia	Consumer Discretionary	Diversified Consumer Services	D
Abengoa SA	ABG-MC	Spain	Industrials	Construction & Engineering	A-
Abercrombie & Fitch Company	ANF	United States	Consumer Discretionary	Specialty Retail	D
Aberdeen Asset Management PLC	ADN-LN	United Kingdom	Financials	Capital Markets	B-
abertis	ABE-MC	Spain	Industrials	Transportation Infrastructure	A+
ABN Amro Holding NV	AABA-AE	Netherlands	Financials	Commercial Banks	A+
Accenture Limited	ACN	Bermuda	Information Technology	IT Services	A
ACCESS Access Company Limited	4B13-TO	Japan	Information Technology	Internet Software & Services	D-
Acion SA	ANA-MC	Spain	Industrials	Construction & Engineering	A+

## 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.

### 1 Search

Use the Search field to find companies of interest by entering the ticker symbol or company name.

### 2 Page and Scroll

Use the Page and Scroll options to find the company and click on the row referring to that company.

Figure 4: The Initial ASSET4 System Screen

The screenshot shows the ASSET4 Professional interface. At the top, there is a navigation menu with options like MyPortfolios, MyRatings, MyIndicators, MyReports, MyExports, MyAlerts, MyNews, and MySettings. A search bar is located on the right side of the header. Below the header, there is a search results section with a table of companies. The table has columns for Company, Quote, Country, Sector, Industry, and Rating. A search results box is highlighted with a green '1' and a table row is highlighted with a green '2'.

Company	Quote	Country	Sector	Industry	Rating
3i Group PLC	BLN	United Kingdom	Financials	Capital Markets	A-
<b>3M Company</b>	MMM	United States	Industrials	Industrial Conglomerates	A+
A-TEC Industries Agency	A7EC-VI	Austria	Industrials	Construction & Engineering	D
A2A Spa	A2A-MI	Italy	Utilities	Multi-Utilities & Unregulated Pow	C-
<b>ABB Limited</b>	ABBV-VX	Switzerland	Industrials	Electrical Equipment	A+
Abbot Group PLC	NF	United Kingdom	Energy	Energy Equipment & Services	D-
Abbott Laboratories Inc	ABT	United States	Health Care	Pharmaceuticals	A+
ABC Learning Centres Limited	ABS-AU	Australia	Consumer Discretionary	Diversified Consumer Services	D
Abengoa SA	ABG-MC	Spain	Industrials	Construction & Engineering	A-
Abercrombie & Fitch Company	ANF	United States	Consumer Discretionary	Specialty Retail	D
Aberdeen Asset Management PLC	ADH-LN	United Kingdom	Financials	Capital Markets	B-
Abertis SA	ABE-MC	Spain	Industrials	Transportation Infrastructure	A+
ABN Amro Holding NV	AABA-AE	Netherlands	Financials	Commercial Banks	A+
Accenture Limited	ACN	Bermuda	Information Technology	IT Services	A
Access Company Limited	4813-TO	Japan	Information Technology	Internet Software & Services	D-
Acciona SA	AIA-MC	Spain	Industrials	Construction & Engineering	A+

### 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.

**1 Company Logo**

As you zoom into the various reports, you can return to the Company Report at the Equal-Weighted Rating level by clicking on the company logo.

**2 Benchmark**

Select the year and scope you wish to use as a benchmark and all the reports and graphs change automatically. Note that here you can benchmark against the sector, industry or individual companies.

**3 Equal-Weighted Rating**

A written description of the company's rating at this level compared to the selected benchmark highlighting the key factors that determined the rating value.

**4 Icons (used throughout the system)**

Click on these icons to print this page, create an alert, insert the company into the default portfolio, see the company homepage or view financial information for the company.

Figure 5: A Company Report Screen



**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.

**1 Historical View**

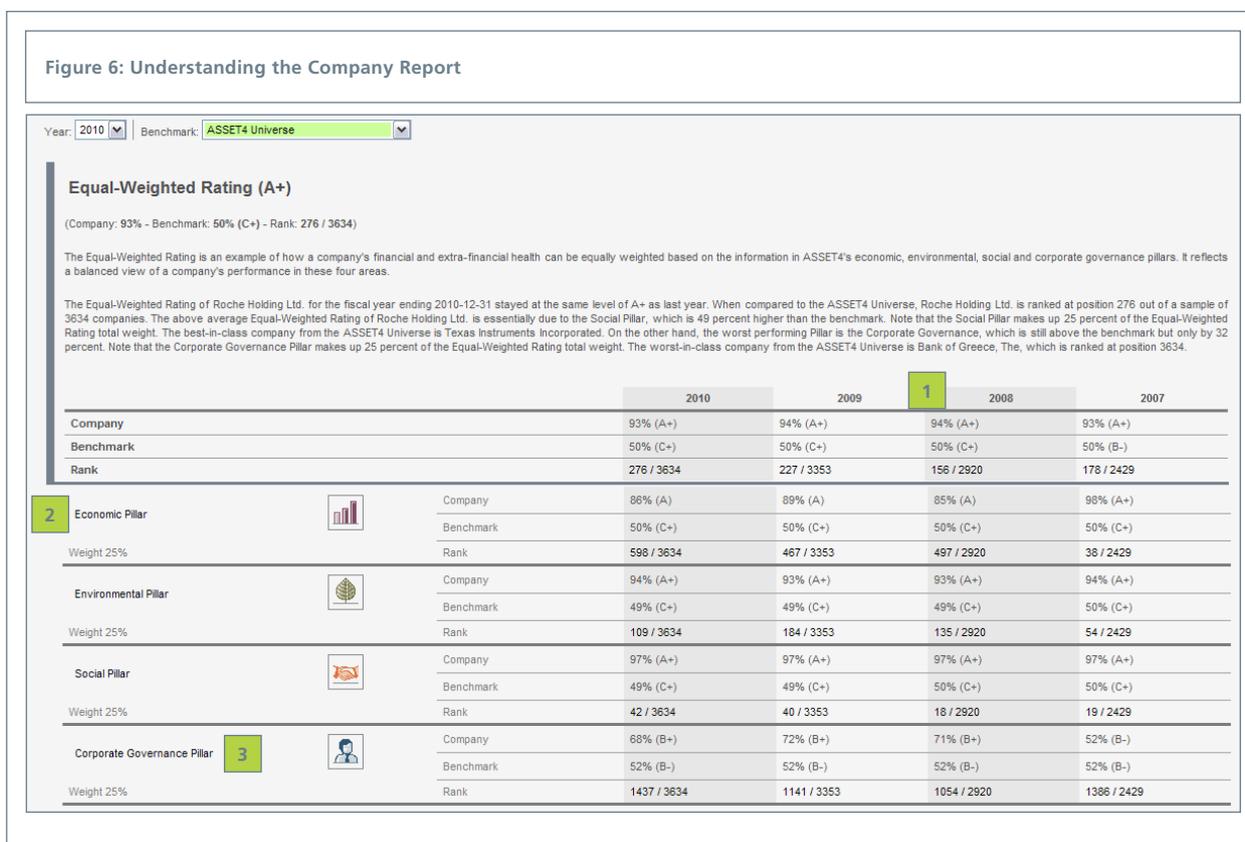
A table showing the company's performance over time and in comparison to the selected benchmark.

**2 Pillar Breakdown**

A table showing the company's performance and rank for each of the four pillars: Economic, Environmental, Social and Corporate Governance as compared to the chosen benchmark.

**3 Zoom Into Next Level**

Click on the pillar name or icon to zoom into a report on that pillar for the company.



### 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.

**1 History Graph**

The performance of the company and the benchmark over time.

**2 Breakdown Graph**

The performance of the company and benchmark for each component of the rating.

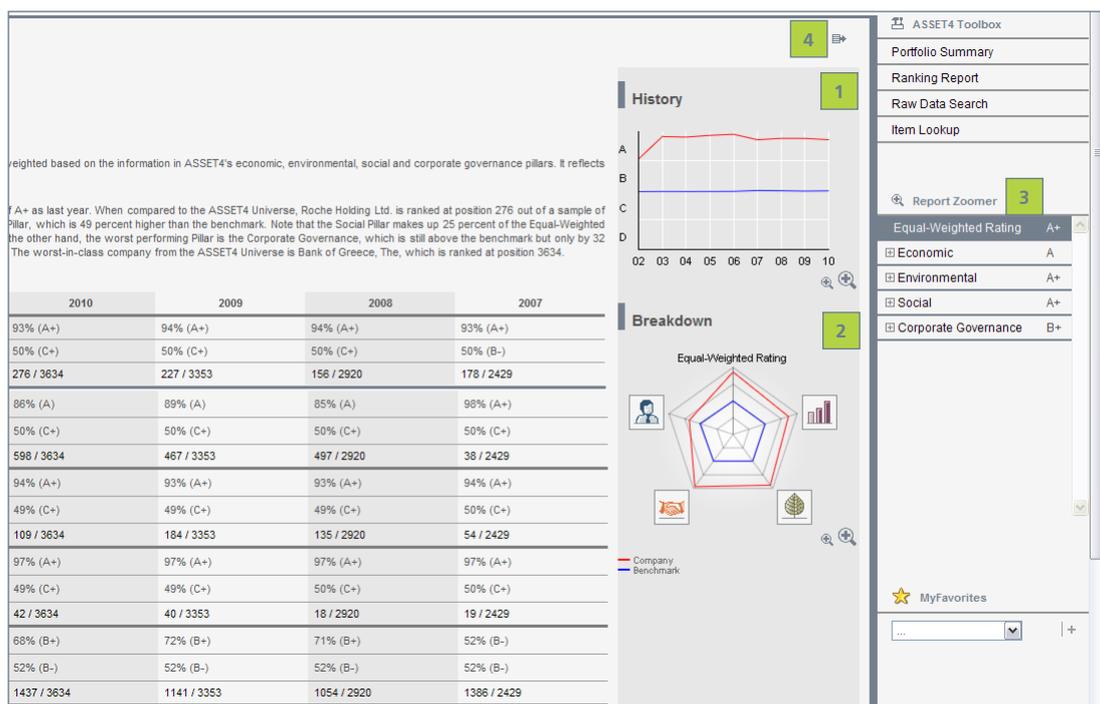
**3 Report Zoomer**

Use the Report Zoomer menu to view any level of the ASSET4 framework. Click the “+” or “-” to expand or contract the levels, and then click on the name of the level you want to view.

**4 Hide menus**

Click on this icon to hide the right-hand side menus (ASSET4 Toolbox and Report Zoomer) to allow for more space.

Figure 7: Understanding the Company Report Graphs and Menus



## 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.

### 1 Level Description

A written description highlighting the key factors that determined the company's rating.

### 2 Historical View

Table showing the company's performance over time and in comparison to the benchmark.

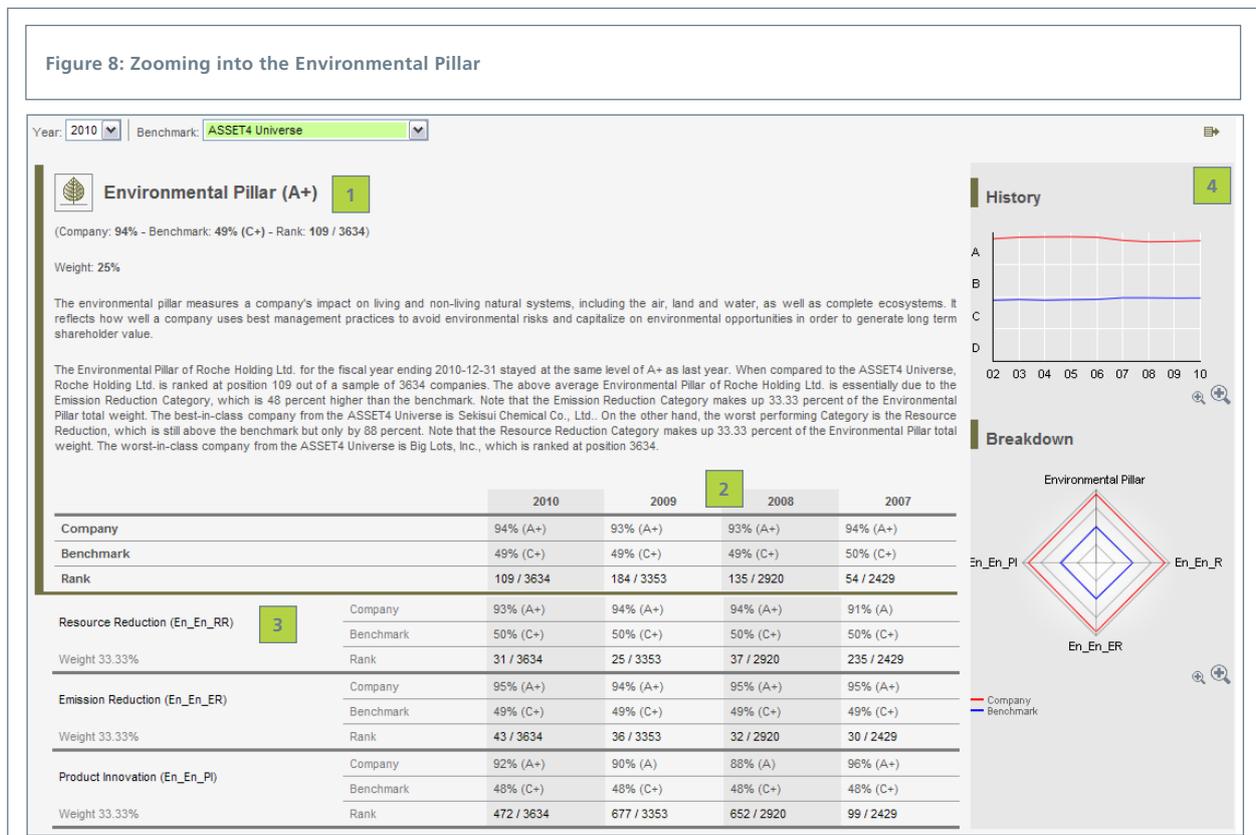
### 3 Category Breakdown

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

### 4 Pillar Graphs

The two standard graphs applied to this level of the framework.

Figure 8: Zooming into the Environmental Pillar



### 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.

#### 1 Category Weight

There are three categories within this pillar and by default each is weighted equally creating a weight of 33.33%.

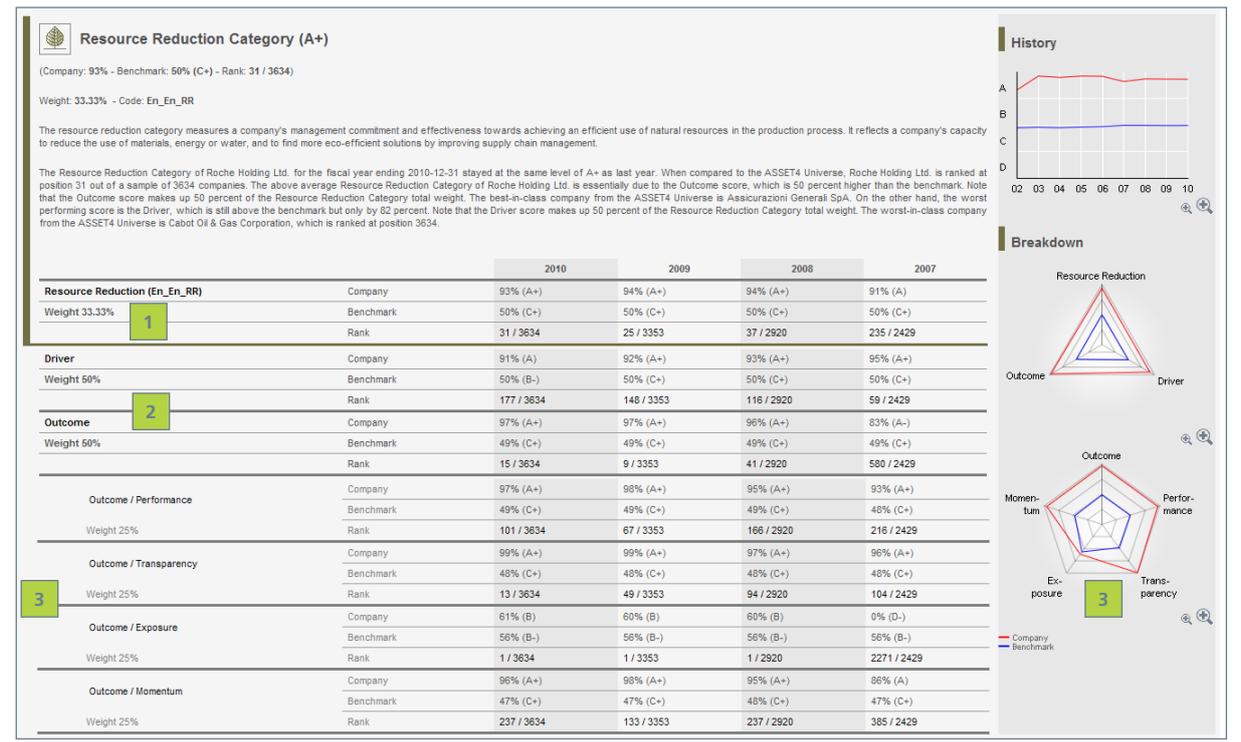
#### 2 Driver and Outcome Dimensions

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.

#### 3 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.

Figure 9: Zooming into the Resource Reduction Category



### 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.

**1 Four Driver indicators**

In the driver dimension there are four default indicators that monitor the existence of a *policy*, *implementation* of the policy, instruments to *monitor* the policy, objectives and monitoring of these objectives to measure *improvements*.

**2 Weight**

The figure shows the default equal-weighting, though you can adjust them by creating your own weights with the MyRatings functionality.

Figure 10: Zooming into the Driver Dimension

Indicator Short Name	Weight	Value	Company	Benchmark	Rank	Raw data
Resource Reduction/ Policy (En_En_RR_D01)	25%	Yes/Yes*	A- (83%)	B- (51%)	1/1294	
Resource Reduction/ Implementation (En_En_RR_D02)	25%	Yes/Yes*	A+ (93%)	C+ (49%)	1/1294	
Resource Reduction/ Monitoring (En_En_RR_D03)	25%	Yes/Yes*	A+ (97%)	C+ (47%)	1/1294	
Resource Reduction/ Improvements (En_En_RR_D04)	25%	Yes/No*	A (87%)	C+ (44%)	111/1294	

**3 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.

**4 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.

**5 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

**Resource Reduction/ Monitoring (A)**

Weight: 25% Code: En\_En\_RR\_D03

Value: Yes 1

	Benchmark	Normalization method	Company score/value	Company rank	Benchmark average
Indicator within rating	ASSET4 Universe	Z-score	84% (A)	1 / 3834	50% (B-)
Indicator <span style="border: 1px solid black; padding: 2px;">2</span>	Economical sectors	Percentile rank	77% (A-)	1 / 202	50% (C+)
Additional benchmark	ASSET4 Universe <input type="text" value="ASSET4 Universe"/>			1 / 3834	50% (B-)

Direction: High value is positive

Does the company monitor its resource efficiency performance? 3

The Resource Reduction/ Monitoring indicator of Roche Holding Ltd. for the fiscal year ending 2010-12-31 stayed at the same level of A as last year. When compared to the ASSET4 Universe, Roche Holding Ltd. is ranked at position 1 out of a sample of 3834 companies. The best-in-class companies from the ASSET4 Universe are 1858 companies. The worst-in-class companies from the ASSET4 Universe are 1776 companies.

**Data Points Rules** 4

if @En\_En\_RR\_DP013[1]=yes or @En\_En\_RR\_DP013[2]=yes or @En\_En\_RR\_DP013[3]=yes or @En\_En\_RR\_DP013[4]=yes or @En\_En\_RR\_DP013[5]=yes or @En\_En\_ER\_DP009=yes or @En\_En\_ER\_DP073=yes or @En\_En\_ER\_DP074=yes or @En\_En\_ER\_DP075>0 or @En\_En\_RR\_DP066=yes then yes else no

**Data Points** 5

Code: En\_En\_RR\_DP013 (2010) Title: Resource Efficiency KPI Monitoring

Does the company claim to use key performance indicators (KPI) or the balanced scorecard to monitor the elements driving resource efficiency?

Code: En\_En\_RR\_DP013[1] Title: Water Efficiency

Does the company claim to use key performance indicators (KPI) or the balanced scorecard to monitor water efficiency?

Value: Yes

Raw data:

Raw data: 6

Title:	Key performance indicators of the Roche Group
Page number:	2
URL:	<a href="http://www.roche.com/de/us-kpi.pdf">http://www.roche.com/de/us-kpi.pdf</a>
Publisher / Author:	Roche Holding Ltd. / N/A
Scope:	Global
Publication date:	2011-02-25
Textual Data:	<span style="border: 1px solid black; padding: 2px;">8</span> Key performance indicators of the Roche Group Economic and business performance 2010 2009 2008 Water consumption (million cubic meters per year) 3.6 2.8 2.4
Comment:	None

### 1 Indicator Information

Displays the weight, code and value of the indicator.

### 2 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.

### 3 Indicator Description

The specific question(s) making up the indicator and its value(s).

### 4 Data Point Rules

Driver indicators can be composed of multiple data points. The data point rules define the interrelationship between those points.

### 5 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.

### 6 Raw Data

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

### 7 URL

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

### 8 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.

**1 Indicator Names**

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.

**2 Weights**

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.

Figure 12: Zooming into the Outcome dimension

Indicator Short Name	Weights	Value	Company	Benchmark	Rank	Transparency	Exposure	Relevant	Raw data
Emission Reduction/ Biodiversity Impact (En_En_ER_001)	4.55%	No/Yes*	A+ (97%)	C+ (44%)	32/998	✗	.	✓	
Emission Reduction/ Biodiversity Controversies (En_En_ER_002)	4.55%	No	B- (52%)	B- (52%)	1/1294	.	.	✓	
Emission Reduction/ Greenhouse Gas Emissions (En_En_ER_003)	4.55%	0*	B (64%)	B- (55%)	109/271	✓	.	✓	
Emission Reduction/ Cement CO2 Emissions (En_En_ER_004)	.	N/R		B- (54%)		.	.	.	
Emission Reduction/ CO2 Reduction (En_En_ER_005)	4.55%	Yes*	A+ (98%)	C+ (44%)	1/991	✓	.	✓	

**3 Value**

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.

**4 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 companies in the benchmark for which answers were found.

**5 Transparency**

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.

**6 Exposure**

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.

**7 Relevant**

A number of indicators within the system are only relevant for specific industries. This column denotes which indicators are relevant for the selected company.

**8 Raw Data**

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.

## 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

**Resource Reduction/ Materials (B)**

Weight: 7.69% Code: En\_En\_RR\_001

Value: 0 1

	Benchmark	Normalization method	Company score/value	Company rank	Benchmark average
Indicator within rating	ASSET4 Universe	Z-score	80% (B)	127 / 434	54% (B-)
Indicator <span style="border: 1px solid green; padding: 2px;">2</span>	Economical sectors	Percentile rank	75% (A-)	5 / 202	50% (B-)
Additional benchmark	<input type="text" value="ASSET4 Universe"/>			127 / 434	54% (B-)

Direction: **Low value is positive**

Default value when not available: Min value: 0.0 Max value: 3

Default score: 0.5

Total amount of materials used in tonnes divided by net sales or revenue in US dollars.

The Resource Reduction/ Materials indicator of Roche Holding Ltd. for the fiscal year ending 2010-12-31 was B (previous year's rating of N/A). When compared to the ASSET4 Universe, Roche Holding Ltd. is ranked at position 127 out of a sample of 434 companies. The best-in-class company from the ASSET4 Universe is Mediolanum SpA. The worst-in-class companies from the ASSET4 Universe are 2 companies.

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**Data Points Rules** 4

if isAvailable(@En\_En\_RR\_DP021) and isAvailable(@Fl\_Ex\_Ra\_DP004) and not @Fl\_Ex\_Ra\_DP004=0 then (@En\_En\_RR\_DP021/@Fl\_Ex\_Ra\_DP004) else NA

---

**Data Points** 5

Code: En\_En\_RR\_DP021 (2010) Title: Materials Total

Total amount of materials used in tonnes.

Value: 87529

Raw data: 6

Title:	Annual Report 2010
Page number:	132
URL: <span style="border: 1px solid green; padding: 2px;">7</span>	<a href="http://www.roche.com/gb10e.pdf">http://www.roche.com/gb10e.pdf</a>
Publisher / Author:	Roche Holding Ltd. / N/A
Scope:	Global
Publication date:	2011-01-21
Textual Data: <span style="border: 1px solid green; padding: 2px;">8</span>	Total environmental impact — eco-balance Use of resources energy 14,495 TJ raw materials 87,529 t
Comment:	None

### 1 Indicator Information

Displays the weight, code and value of the indicator.

### 2 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.

### 3 Indicator Description

The specific question(s) making up the indicator and its value(s).

### 4 Data Point Rules

Driver indicators can be composed of multiple data points. The data point rules define the interrelationship between those points.

### 5 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.

### 6 Raw Data

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

### 7 URL

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

### 8 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).

### 1 Company-Specific Item Lookup

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

### 2 The "+" and "-" Signs

Click on the "+" sign to expand the list. Click on the "-" sign to contract the list.

Figure 14: Navigation and Definition in the Item Lookup

The screenshot displays the ASSET4 Item Lookup interface for Roche. At the top, the Roche logo is shown with company details: Quote Symbol: ROG, Primary Exchange: VTX, FY Ending: 2010-12-31, Economic Sector: Healthcare, Industry Group: Pharmaceuticals, Country: Switzerland. The main interface shows the 'Environmental Pillar (A+)' selected, with a 'Go' button highlighted. A pop-up window titled 'Item Lookup' is open, showing a search bar, a list of levels on the left, and a definition for 'Health & Safety/Improvements' on the right. The 'Go' button is highlighted in the search bar area. The right-hand side of the main interface shows the ASSET4 Toolbox with 'Item Lookup' selected.

### 3 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 button to move directly to that level Company Report.

### 4 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.

### 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.

Figure 15: Search and Data Points in the Item Lookup

The screenshot displays the 'Item Lookup' interface. At the top, there is a search bar labeled 'Search For Item:' with the text 'human rights' entered and a 'Go' button. To the right of the search bar is a 'Select rating:' dropdown menu set to 'Equal-Weighted Rating'. Below the search bar is a checkbox for 'Only active data points:'. The main area is divided into three columns. The left column, titled 'Equal-Weighted Rating', shows a tree view of categories with 'Human Rights' highlighted in green. The middle column, titled 'Data Points:', lists several items, with 'Supply Chain Human Rights' highlighted in gray. The right column, titled 'Definition:', shows the definition for 'Supply Chain Human Rights'. At the bottom left, the 'Rating: N/A' and 'Value: Yes' are displayed. A 'Go' button is located at the bottom left of the interface.

## 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.

### 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.

Figure 16: Building a Portfolio

The screenshot shows the 'assetmasterProfessional' interface. At the top, there is a navigation bar with tabs: 'My Portfolios', 'My Ratings', 'My Reports', 'My Exports', 'My Alerts', 'My Indicators', and 'My Settings'. A 'Company Search' field is located to the right of these tabs. Below the navigation bar is a section titled 'MyPortfolios' with a sub-header 'No name (default)'. This section contains a table with the following columns: 'Owner', 'Name', 'Description', and 'Default Rating'. The 'Default Rating' column shows 'Equal-Weighted Rating' and a set of icons. A '3' is placed over the 'Add new' button in the table. A '4' is placed over the icons in the table. At the bottom of the screen, there is an 'Add new' button and an 'Import' button. A '2' is placed over the 'Add new' button in the bottom left corner, and a '5' is placed over the 'Import' button.

## 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.

### 1 Portfolio Name and Description

Enter a name and description of your portfolio on this screen.

### 2 Portfolio Rating

Select the rating (either the Equal-Weighted Rating or any MyRatings you define) to be used with this portfolio by default.

### 3 Next Button

Click on the “Next” button to move directly to Figure 18, where you can select/upload the companies for your portfolio.

Figure 17: Defining a Portfolio Name and Description

The screenshot shows the 'assetmasterProfessional' interface. At the top, it says 'Welcome, John Smith' and 'Log out'. Below that is a navigation bar with links: 'MyPortfolios', 'MyRatings', 'MyReports', 'MyExports', 'MyAlerts', 'MyIndicators', 'MySettings', 'Company Search', and a 'Go' button. The main heading is 'Create new portfolio by John Smith'. The form contains three main sections:

- 1 Portfolio Name and Description:** A text box for 'Portfolio Name' containing 'US and European Pharma Portfolio' and a larger text area for 'Portfolio Description' containing 'A portfolio containing US and European pharmaceutical companies.'.
- 2 Portfolio Rating:** A dropdown menu for 'Portfolio Rating' currently showing 'Equal-Weighted Rating'.
- 3 Next Button:** A 'Next' button located at the bottom right of the form area, next to 'Cancel' and 'Finish' buttons.

## 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.

**1 External File**

Click on the "External file" tab in order to upload an existing portfolio file.

**2 Browse**

Click on "Browse" to locate the file to upload.

**3 Import**

Click on "Import" to upload the file.

**4 Search Results**

Displays companies matching the codes within your file.

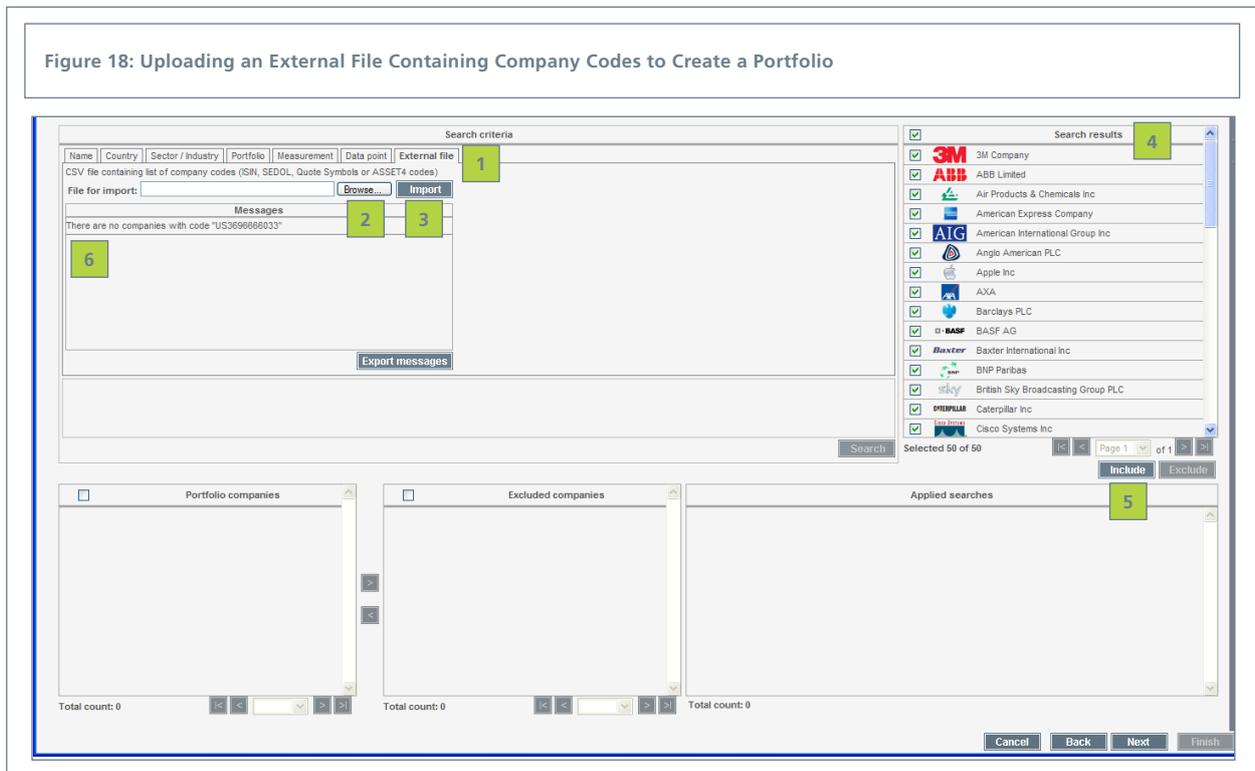
**5 Include**

Click on "Include" to add the selected companies into the portfolio you are defining.

**6 Messages**

If there are any discrepancies with the codes in the file, you will receive a message explaining the problem.

Figure 18: Uploading an External File Containing Company Codes to Create a Portfolio



While importing an existing list 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.

**1 Defining Criteria**

Use the tabs to define selection criteria including any combination of name, country, sector/industry, portfolio, measurement and data point.

**2 Search**

Once the criteria is defined, click on "Search," to perform the search.

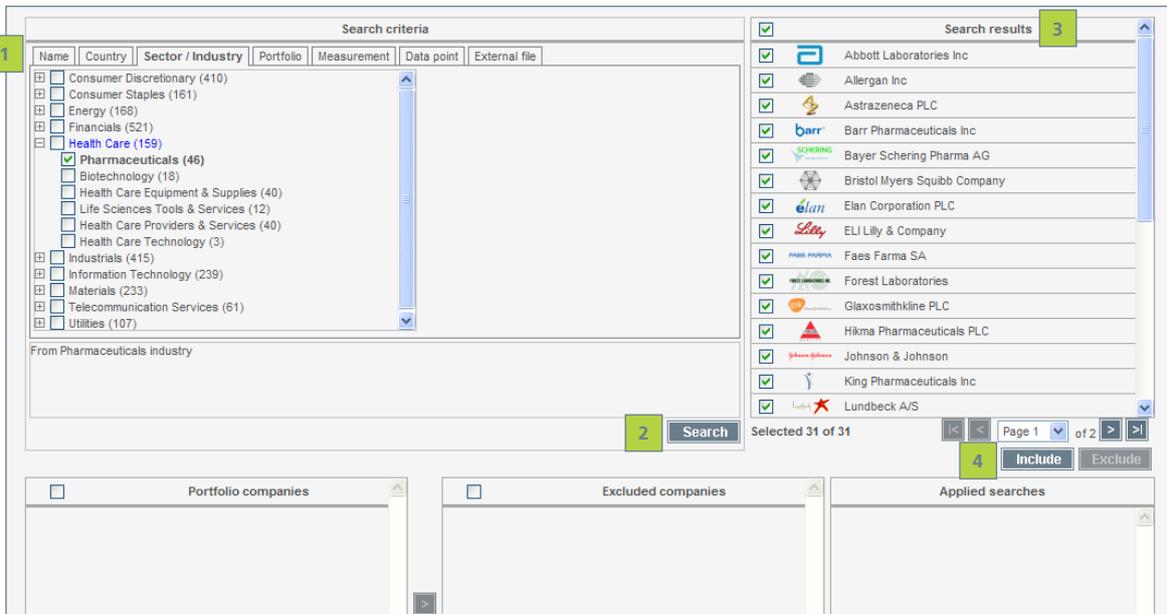
**3 Search Results**

Displays companies matching the criteria.

**4 Include**

Click on "Include" to add the selected companies into the portfolio you are defining.

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.

**1 Include**

Once the “Include” button is clicked the selected companies are moved into the “Portfolio companies” window.

**2 Portfolio Companies**

All companies currently included within the portfolio.

**3 Applied Searches**

Lists all the searches that have been used to either add companies to or exclude companies from your portfolio.

Figure 20: Adding Companies to a Portfolio (All Pharmaceutical Companies in the US and Europe)

The screenshot displays the MyPortfolio interface with several key sections:

- Search criteria:** A table with columns for Name, Country, Sector / Industry, Portfolio, Measurement, Data point, and External file. The 'Health Care' sector is expanded, and 'Pharmaceuticals (46)' is selected. A 'Search' button is located at the bottom right of this section.
- Search results:** A large empty area on the right side of the top section.
- Portfolio companies:** A list of 11 pharmaceutical companies, including Abbott Laboratories Inc, Allergan Inc, AstraZeneca PLC, Barr Pharmaceuticals Inc, Bayer Schering Pharma AG, Bristol Myers Squibb Company, Elan Corporation PLC, Eli Lilly & Company, Faes Farma SA, and Forest Laboratories. A 'Total count: 31' is shown at the bottom left.
- Excluded companies:** An empty list area in the bottom middle section.
- Applied searches:** A list containing one search: 'From Europe or from United States and from Pharmaceuticals industry'. A 'Total count: 1' is shown at the bottom right.
- Navigation and Controls:** Includes 'Include' and 'Exclude' buttons, a 'Selected 0 of 0' indicator, and various navigation arrows and page indicators (Page 1 of 2).

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.

**1 Measurement Tab**

This tab allows you to use any element of any default rating or MyRating as criteria for your selection.

**2 Rating Structure Tree**

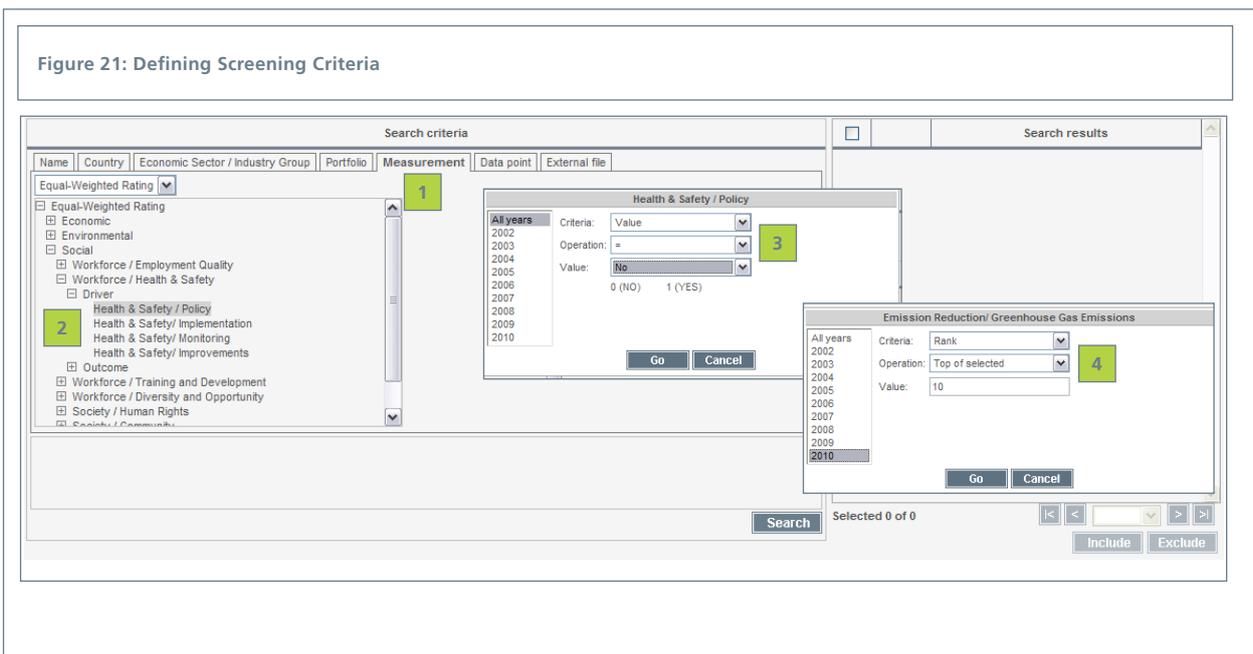
The structure of the selected rating will be shown in a tree-like structure with “+” signs next to the levels that can be expanded.

**3 Screening Criteria**

Use this pop-up screen to define the criteria (year(s), criteria, operation and value) you want to use for your selection. Click on “Go” once you have completed the definition and then on “Search” to begin the selection.

**4 Screening Criteria -- Top 10**

By selecting “Rank” as the criteria and then either top or bottom of the ASSET4 universe or top or bottom of the selected companies, you can create a portfolio including or excluding these leaders or laggards..



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.

**1 Portfolio Companies**

All companies currently added to your portfolio.

**2 Excluded Companies**

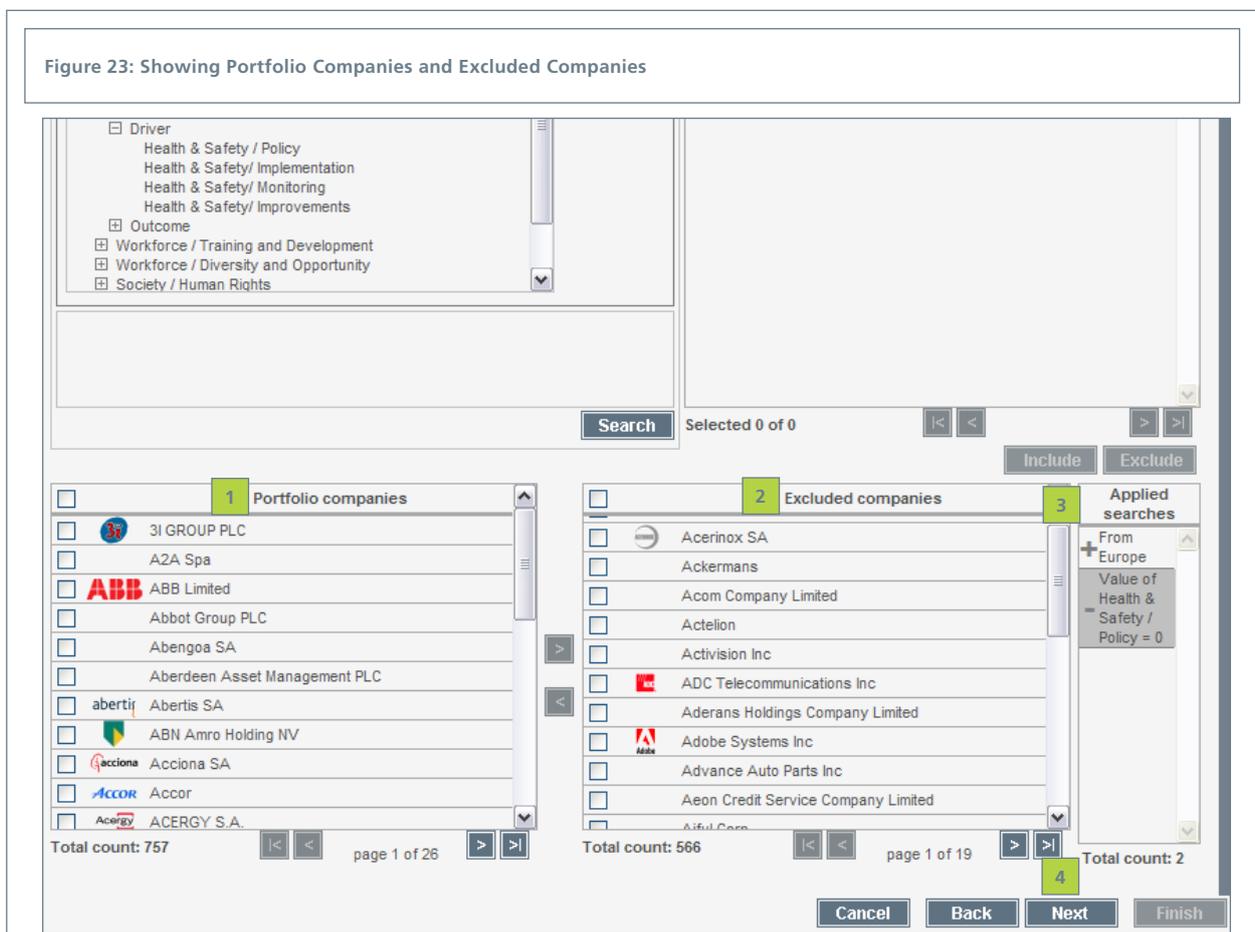
The companies that you selected to be excluded from your portfolio.

**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 normalize all the weights automatically.

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

### 1 Weights

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

### 2 Equal Weights

Click on this button to define equal weights..

### 3 Normalize

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

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

Portfolio companies		Previous weights	New weights
	3i Group plc	0.00	0.09 %
	A-Tec Industries AG	0.00	0.09 %
	A.G. Barr plc	0.00	0.09 %
	A.P. Moeller-Maersk A/S	0.00	0.09 %
	A/S Det Ostasiatke Kompagni	0.00	0.09 %
	A2A SpA	0.00	0.09 %
	Aareal Bank AG	0.00	0.09 %
	AB Electrolux	0.00	0.09 %
	AB Industrivarden	0.00	0.09 %

4

Excluded companies	
	Advance Auto Parts, Inc.
	AEON CREDIT SERVICE CO., LTD.
	AEON Mall Co., Ltd.
	Aeropostale, Inc.
	Affiliated Managers Group, Inc.
	AGF Management Limited
	Agile Property Holdings Limited
	AGRICULTURAL BANK OF CHINA LIMITED
	AIA Group Ltd

5

Buttons: Equal Weights, Normalize, Cancel, Back, Finish

### 4 Excluded Companies

All excluded companies are stored along with the portfolio for future reference.

### 5 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.

### 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.

Figure 24: MyPortfolio Summary Report

The screenshot shows the 'assetmasterProfessional' interface. At the top, there's a navigation bar with tabs like 'MyPortfolios', 'MyRatings', etc. The main content area is titled 'Quick Ref Pharma Portfolio Report Summary'. It includes a title, description, and key statistics like 'Number of Stocks: 5' and 'Fiscal Year: 2010'. Below this, there are dropdown menus for 'Year' (set to 2010), 'Company Benchmark' (ASSET4 Universe), and 'Portfolio Benchmark' (ASSET4 Universe). A table of 'Portfolio companies' lists five pharmaceutical companies with their respective weights, ratings, benchmarks, and ranks. A sidebar on the right contains an 'ASSET4 Toolbox' with options like 'Portfolio Summary', 'Ranking Report', and 'Report Zoomer'. The 'Report Zoomer' option is highlighted with a callout 8.

Company	Quote	Country	Industry Group	Weight	Rating	Benchmark	Rank
Abbott Laboratories	ABT	United States of America	Pharmaceuticals	36.36%	A+ (92.2%)	C+ (49.8%)	354 / 3634
Bristol Myers Squibb Co.	BMY	United States of America	Pharmaceuticals	18.18%	A (88.8%)	C+ (49.8%)	580 / 3634
Johnson & Johnson	JNJ	United States of America	Pharmaceuticals	18.18%	A+ (94.6%)	C+ (49.8%)	164 / 3634
Novartis AG	NOVN	Switzerland	Pharmaceuticals	9.09%	A+ (93.6%)	C+ (49.8%)	247 / 3634
Roche Holding Ltd.	ROG	Switzerland	Pharmaceuticals	18.18%	A+ (93.2%)	C+ (49.8%)	276 / 3634
Portfolio average					A+ (92.3%)		
Portfolio benchmark (ASSET4 Universe)						C+ (49.8%)	

### 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.

**1 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.

**2 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.

Figure 25: Default Rating MyPortfolio Summary Report

The screenshot displays the 'assetmasterProfessional' interface. At the top, there is a navigation bar with 'MyPortfolios', 'MyRatings', 'MyIndicators', 'MyReports', 'MyExports', 'MyAlerts', 'MyNews', and 'MySettings'. A search bar is also present. The main content area is titled 'Quick Ref Pharma Portfolio Report' and includes details like 'Title: Quick Ref Pharma Portfolio (Created on 31 May 2007 by John Smith)', 'Number of Stocks: 5', 'Fiscal Year: 2010', and 'Portfolio Benchmark: ASSET4 Universe'. Below this, there are dropdown menus for 'Year: 2010', 'Company Benchmark: ASSET4 Universe', and 'Portfolio Benchmark: ASSET4 Universe'. A green box labeled '1' highlights the benchmark selection area.

The 'Equal-Weighted Rating' section (highlighted with a green box labeled '2') explains that this rating is based on economic, environmental, social, and corporate governance pillars. It includes a table with the following data:

Company	Industry Group	Weight	2010	2009	2008	2007
Abbott Laboratories	Pharmaceuticals	36.36%	A+ 94% 224 / 3541	A+ 96% 55 / 3353	A+ 95% 97 / 2920	A+ 95% 91 / 2429
Bristol Myers Squibb Company	Pharmaceuticals	18.18%	A 91% 426 / 3541	A+ 93% 304 / 3353	A 91% 382 / 2920	A+ 92% 209 / 2429
Johnson & Johnson	Pharmaceuticals	18.18%	A+ 94% 213 / 3541	A+ 94% 208 / 3353	A+ 97% 5 / 2920	A+ 95% 70 / 2429
Novartis AG	Pharmaceuticals	9.09%	A+ 93% 327 / 3541	A+ 98% 99 / 3353	A 91% 322 / 2920	A 90% 322 / 2429
Roche Holding AG	Pharmaceuticals	18.18%	A+ 93% 278 / 3541	A+ 94% 221 / 3353	A+ 95% 123 / 2920	A+ 93% 182 / 2429
Portfolio average			A+ 93.2%	A+ 95%	A+ 94.4%	A+ 93.7%
Portfolio benchmark (ASSET4 Universe)			C+ 49.7%	C+ 49.6%	C+ 49.3%	B- 50.1%

To the right of the table is a 'Company Distribution' bar chart showing the percentage of companies in each rating category (D, C, B, A). Below the table is a 'Pillar Breakdown' section with a table for 'Economic (Weight: 25%)' and a 'History of the Quick Ref Pharma Portfolio' line chart showing performance from 2007 to 2010 for various companies.

**1 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.

**2 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.

**3 Company Distribution**

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

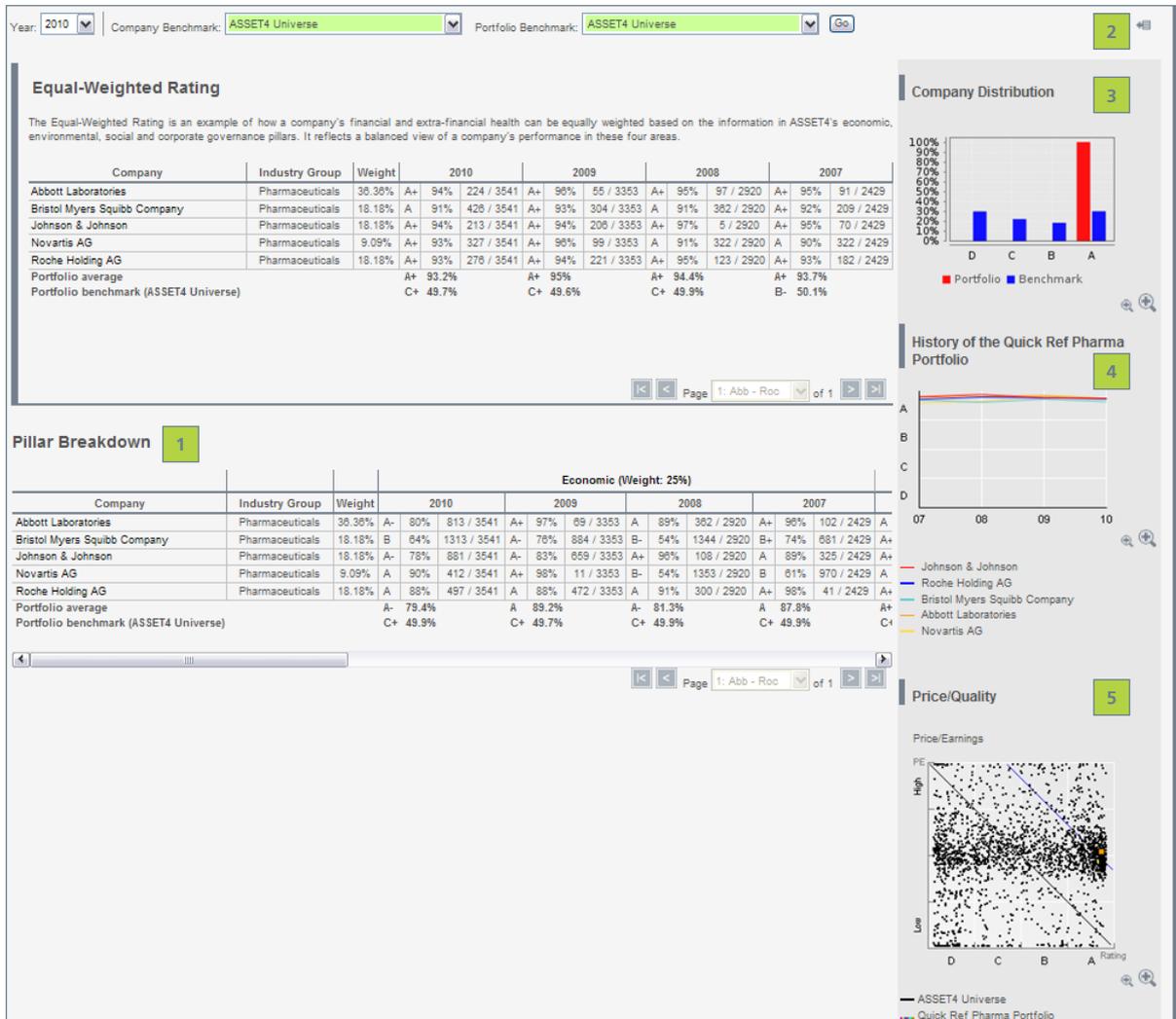
**4 History of "MyPortfolio"**

Depicts the value of each company's Equal-Weighted Rating over time.

**5 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



## 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.**

### 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.

Figure 27: Sharing a MyPortfolio

Owner	Name ▲	Description	Default Rating	
JohnS	Australia	ASX 200	Equal-Weighted Rating	1

**Sharing** 2

This feature allows you to share a MyPortfolio, MyRating or MyIndicator with other users or groups, who can work with them, but cannot edit or delete them. You can also transfer the ownership of an item to another user enabling them to edit or delete it.

**Sharing properties of Portfolio Australia**

Owner: John Smith 4

Groups:

Shared	Name	Description
<input type="checkbox"/>	ASSET4	

Select all

Users: 3

Shared	Name
<input type="checkbox"/>	André Chanavat
<input checked="" type="checkbox"/>	Christopher Greenwald
<input type="checkbox"/>	Client Service
<input type="checkbox"/>	Elena Philipova
<input type="checkbox"/>	Henrik Steffensen
<input type="checkbox"/>	Jeff Wild
<input checked="" type="checkbox"/>	John Bonner
<input type="checkbox"/>	Keith Green
<input type="checkbox"/>	Min Huber
<input type="checkbox"/>	Peter Pircher
<input checked="" type="checkbox"/>	Roberto Romani

Select all

## 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.

### 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.

Figure 28: A MyNews Channel and News Bar

The screenshot shows the *assetmasterProfessional* interface. At the top, there is a navigation bar with tabs for MyPortfolios, MyRatings, MyReports, MyExports, MyAlerts, MyIndicators, MyNews, and MySettings. A search bar is also present. Below the navigation bar, a news bar displays a headline: "Nintendo Company Limited: 30-06-2008 McKool Smith Announces Court Decision Upholding \$21 Million Verdict".

The main content area is titled "MyNews Channel: Environmental news". Below this title is a search bar with "Search" and "Remove" buttons. A table of news items is displayed below the search bar. The table has columns for Date, Company, Title, Textual Data, and Scope. Each row includes a "Go" button next to the Scope column.

Date	Company	Title	Textual Data	Scope
27-06-2008	Applied Materials Inc	Applied Materials To To Build Masdar A 210MW Solar Module Production Capacity In Abu Dhabi - Space Daily	Masdar initiative Contracts with Applied Materials by Design World Staff Friday, May 30, 2008 SANTA CLARA, Calif.--As part of its Masdar Initiative, the Abu Dhabi Future Energy Co. is ...	Energy Efficiency Initiatives
27-06-2008	Royal Dutch Shell	Liverpool Daily Post	Shell admits blame for near disaster at Stanlow OIL giant Shell has admitted blame for a potentially lethal gas leak at a Merseyside refinery. Explosive isobutane gas mixed with 20 tonnes of lighter f...	Spills and Pollution Controversies
27-06-2008	Ford Motor Company	FORD FOCUS ECONETIC VOTED CAR OF THE YEAR BY WHATGREENCAR- LexisNexis Monitor	BRENTWOOD, Essex, 25 June, 2008 - Environmental motoring website Whatgreencar? has awarded its first Green Car of the Year award to the Ford Focus ECONetic. Whatgreencar.com's lifetime impact rating ...	Environmental Awards
27-06-2008	PNC Financial Services Group Inc	D.C.'s First Design for Platinum-Certified Office Building Unveiled	800 17th Street/PNC Place, a new 365,000 square foot office building, will be built at the corner of 17th & H Streets, NW, just two blocks from the White House. PNC's regional headquarters and offices...	Green Buildings

On the right side of the interface, there is a sidebar with a "ASSET4 Toolbox" and a list of items: Portfolio Summary, Ranking Report, and Item Lookup.

## 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.

### 1 Standard News Channels

Included in the system are three standard news channels: ESG News, Controversies and All News.

### 2 Include/Remove from News Bar

Click on the  icon to include a channel in the News Bar. Click on the  icon to remove a channel from the News Bar.

### 3 Include/Remove from Email Subscription

Click on the  icon to subscribe to email notifications when new items are added to the channel. Click on the  icon to unsubscribe to email notifications.

Figure 29: Standard MyNews channels

### MyNews

This screen allows you to create, edit and delete MyNews channels. Note that to define the time span in which something is considered news, go to MySettings

Name	Description				
 ESG News (standard)	All Environmental, Social and Governance news.				
Controversies (standard)	News related to company controversies from all ASSET4 pillars.				
All News (standard)	All news from the four ASSET4 pillars.				

## 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.

### 1 Name and Description

Enter a name and description for your MyNews channel and indicate if the channel should be included in the news bar and if you want to be notified by email when there are additional news items in this channel.

### 2 Filtering Criteria Tabs

Use any combination of criteria named by the tabs to define what news you are interested in.

### 3 Add Criteria

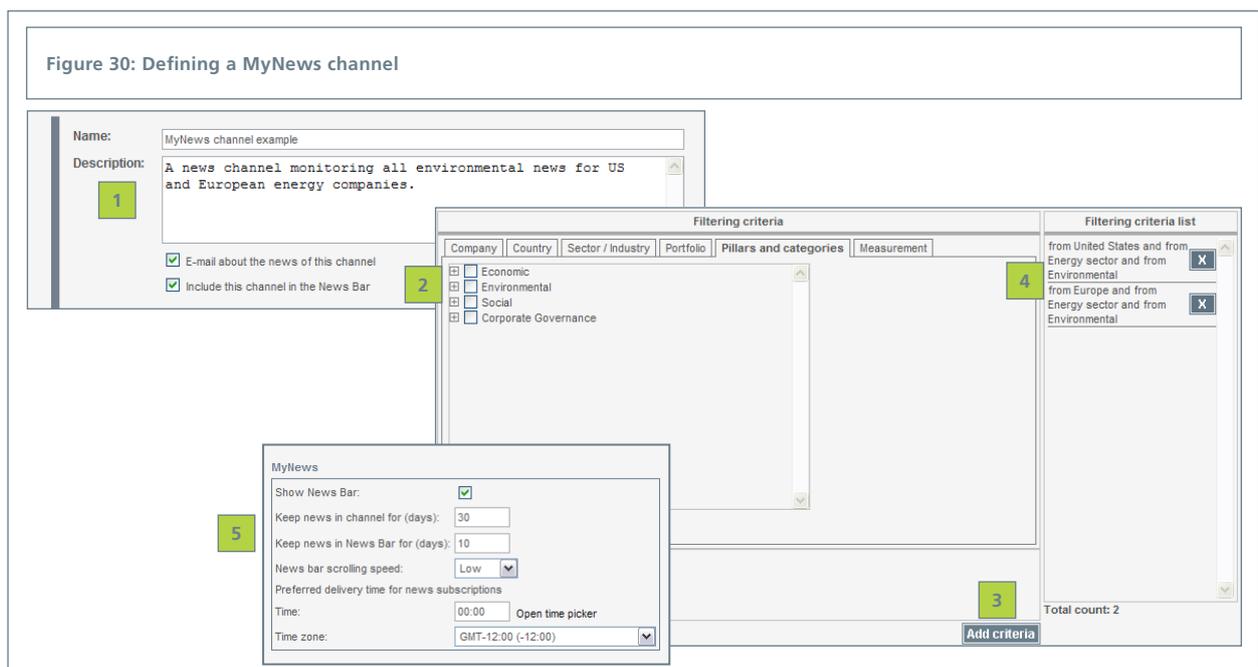
Click on “Add Criteria” once you have made your selections using the tabs.

### 4 Filtering Criteria List

Displays the list of criteria you have defined.

### 5 MySettings Options

Define various MyNews options on the MySettings page.



## 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.

### 1 ASSET4 Supplemental Content

This section includes all the informational updates and tools include in the product

### 2 Icons

The icon in the Supplemental Content section enables you to subscribe or unsubscribe to receive an email alert when there are changes to this content. The icons in the MyReports section enable you to delete, edit, regenerate (once data has changed) or copy a MyReport.

### 4 MyReports

This section displays all MyReports that have already been defined within your system.

### 4 Add New

Click on “Add new” to begin to define a new MyReport.

**Figure 31: MyReports - List of Supplemental Content and Existing MyReports**

ASSET4 Supplemental Content 1			
Type	Name	Description	2
Folder	Carbon Data and Estimates PDF	Includes company-reported or ASSET4-estimated CO2 emissions values for all companies in the ASSET4 universe for 2007 and 2008 in PDF format.	[Icon]
Folder	Carbon Data and Estimates Excel	Includes company-reported or ASSET4-estimated CO2 emissions values for all companies in the ASSET4 universe for 2007 and 2008 in Excel format.	[Icon]
Folder	Global Compact Tool	Enables the monitoring of company compliance to the UN Global Compact Principles including links to recent controversial news stories linked to the Principles.	[Icon]
Contains the latest update to the ASSET4 universe with tabs			

3 MyReports			
Type	Name	Description	2
Company Summary Report	Reference Guide Example MyReport	Company: ABB Limited Year: 2009 Rating: Equal-Weighted Rating	[Icon] [Icon] [Icon] [Icon]
Company Strengths/Weaknesses Report	Strengths and Weakness Example 1	Company: Google Inc Year: 2009 Rating: Equal-Weighted Rating	[Icon] [Icon] [Icon] [Icon]
Portfolio Report	Oil and Gas Portfolio Example 1	Year: 2009 Rating: Equal-Weighted Rating Portfolio: European Oil & Gas	[Icon] [Icon] [Icon] [Icon]
Ranking Report	Example of Ranking Report	Year: 2008 Rating: Climate Change	[Icon] [Icon] [Icon] [Icon]
Company Detailed Data Report	Sample Detailed Data Report	Company: JDS Uniphase Corp. Year: 2006 Rating: Equal-Weighted Rating Details level: Only indicators	[Icon] [Icon] [Icon] [Icon]

4 Add new

# 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 a 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.

**1 Folder**

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

**2 Download Icon**

Click on the icon to download the file.

**3 File Download**

Dialogue box allows you to download the file where you desire.

**4 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.

Figure 32: Downloading the Supplemental Content

The screenshot shows the ASSET4 Supplemental Content interface. A 'File Download' dialog box is open, asking 'Do you want to open or save this file?'. The dialog shows the file name 'Negative\_Screening\_values.zip', type 'WinZip File, 514KB', and source 'online.asset4.com'. There are 'Open', 'Save', and 'Cancel' buttons. A green box with the number '3' is next to the 'Open' button. Below the dialog, a table of Supplemental Content items is visible. A green box with the number '1' is next to the 'Negative Screening Tool Values Only' folder, and a green box with the number '2' is next to the download icon for the 'Negative Screening Tool Values Only' item. Below this is a snippet of the Negative Screening Tool table, which has columns for ASSET4 Code, Company Name, ISIN Code, GICS Industry, Overall Score, URL, Publication Date, and various screening categories (Armament, Armament Revenue, Nuclear, Nuclear Production, Gambling, Gambling Revenue, Tobacco).

ASSET4 Code	Company Name	ISIN Code	GICS Industry	Overall Score	URL	Publication Date	Armament	Armament Revenue	Nuclear	Nuclear Production	Gambling	Gambling Revenue	Tobacco
A4_00797	3i Group PLC	GB00B1YV4409	Capital Markets	0	-	-	0	NF	0	NF	0	NF	0
A4_00035	3M Company	US88579V1010	Industrial Conglomerates	-3	http://solutions.3m.com/GMContent	2008-05-31	-1	NF	0	NF	0	NF	0
A4_01584	A.T.E.C. Industries AG	AT00000A7EC9	Construction & Engineering	-2	NA	2008-03-31	-2	NF	0	NF	0	NF	0
A4_01938	A2A Spa	IT0001233417	Multi-Littles	0	-	-	0	NF	0	NF	0	NF	0
A4_03026	Aareal Bank AG	DE0005408116	Thriffs & Mortgage Finance	0	-	-	0	NF	0	NF	0	NF	0
A4_00036	ABB Limited	CH0012221716	Electrical Equipment	-1	http://www.abb.com/productinfo	2008-10-01   2007-03-31	0	NF	-1	NF	0	NF	0
A4_01541	ABBOT GROUP PLC	GB0009102731	Energy Equipment & Services	0	-	-	0	NF	0	NF	0	NF	0
A4_00240	Abbott Laboratories	US0028241000	Pharmaceuticals	-3	http://www.abbott.com/globalur	2008-05-20	0	NF	0	NF	0	NF	0
A4_02201	ABC Learning Centres Limited	AU000000A853	Diversified Consumer Services	0	-	-	0	NF	0	NF	0	NF	0
A4_01659	Abercrombie & Fitch Company	US0028962076	Specialty Retail	0	-	-	0	NF	0	NF	0	NF	0
A4_01708	Aberdeen Asset Management PLC	GB0000031285	Capital Markets	0	-	-	0	NF	0	NF	0	NF	0
A4_00352	Abertris Infrastructures SA	ES0111845014	Transportation Infrastructure	0	-	-	0	NF	0	NF	0	NF	0
A4_00255	ABN Amro Holding NV	NL0000301109	Commercial Banks	0	-	-	0	NF	0	NF	0	NF	0
A4_00347	Abnq Group Limited	FAE000067237	Commercial Banks	0	-	-	0	NF	0	NF	0	NF	0

## 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.”

### 1 Report Name

Each MyReport must have a unique name. Enter it here.

### 2 Report Type

Select which of the four types of reports you want to generate.

### 3 Next

Click on “Next” to select the specific elements for your report.

Figure 32: Defining a MyReport Step 1

**MyReports**

Specify the name and type of the report.

**1**

Report name:

**2**

Select	Type	Description
<input checked="" type="radio"/>	Company Summary Report	Specify the company, year and benchmark for the Company Summary Report.
<input type="radio"/>	Company Strengths/Weaknesses Report	Specify the company, year and benchmark for the Company Strengths/Weaknesses Report.
<input type="radio"/>	Portfolio Report	Specify the portfolio, year and benchmark for the Portfolio Report.
<input type="radio"/>	Ranking Report	Specify the year and benchmark for Ranking Report.

**3**

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.

#### 1 Company List

Use the scroll bar to find the company on which you want to generate a report.

#### 2 Year

Select the year to be covered by the report.

#### 3 Benchmark

Select a benchmark with which to compare the company.

#### 4 Finish

Click on "Finish" to complete the definition process and be taken back to the list of MyReports as shown in Figure 30, where you can click on the MyReport name or type to view the report.

Figure 34: Defining a MyReport Step 2

Report Type: Company Summary

1

Selected

<input type="radio"/>	3I Group PLC
<input type="radio"/>	3M Company
<input type="radio"/>	A-TEC Industries Agency
<input type="radio"/>	A2A Spa
<input type="radio"/>	ABB Limited
<input type="radio"/>	Abbot Group PLC
<input type="radio"/>	Abbott Laboratories Inc
<input type="radio"/>	ABC Learning Centres Limited

Year: 2006 2

Benchmark: ASSET4 Universe 3

4

Cancel Finish

## 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.

### 1 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.

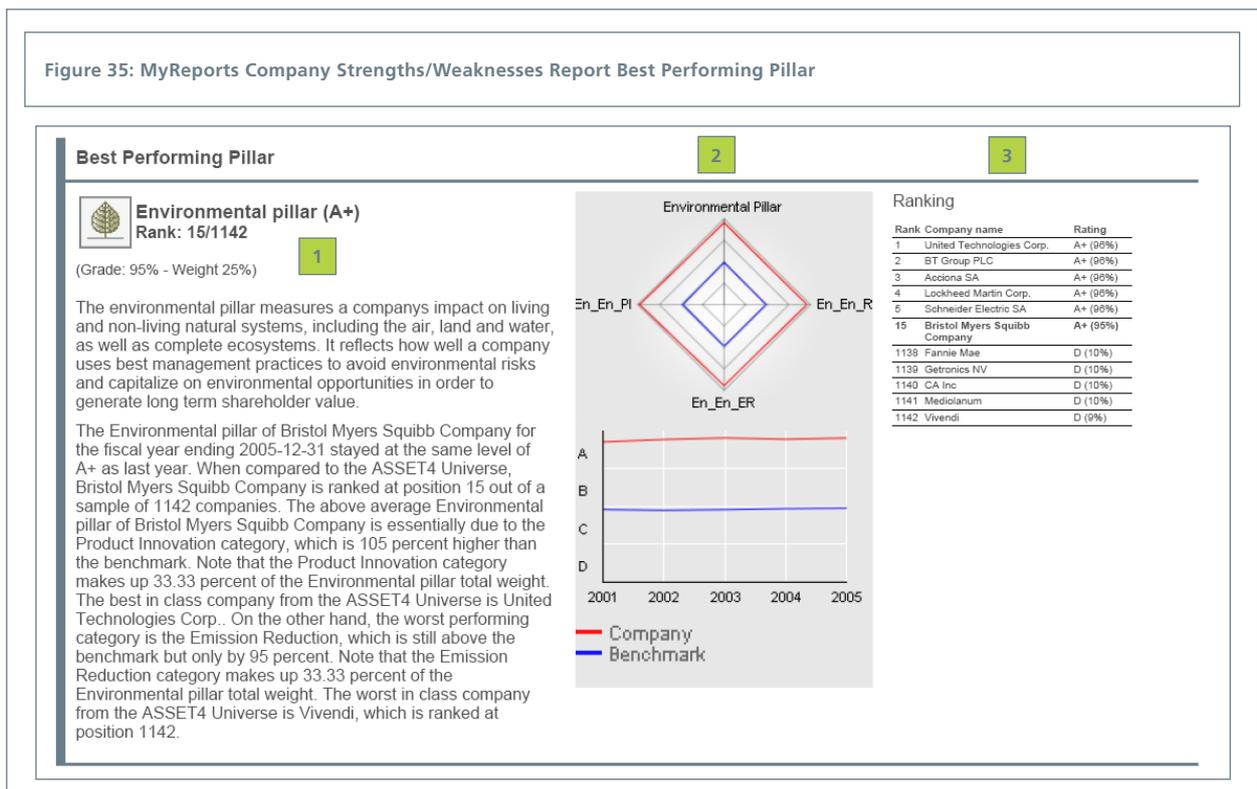
### 2 Graphs

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.

### 3 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.

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



## 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.

### 1 Portfolio Summary

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

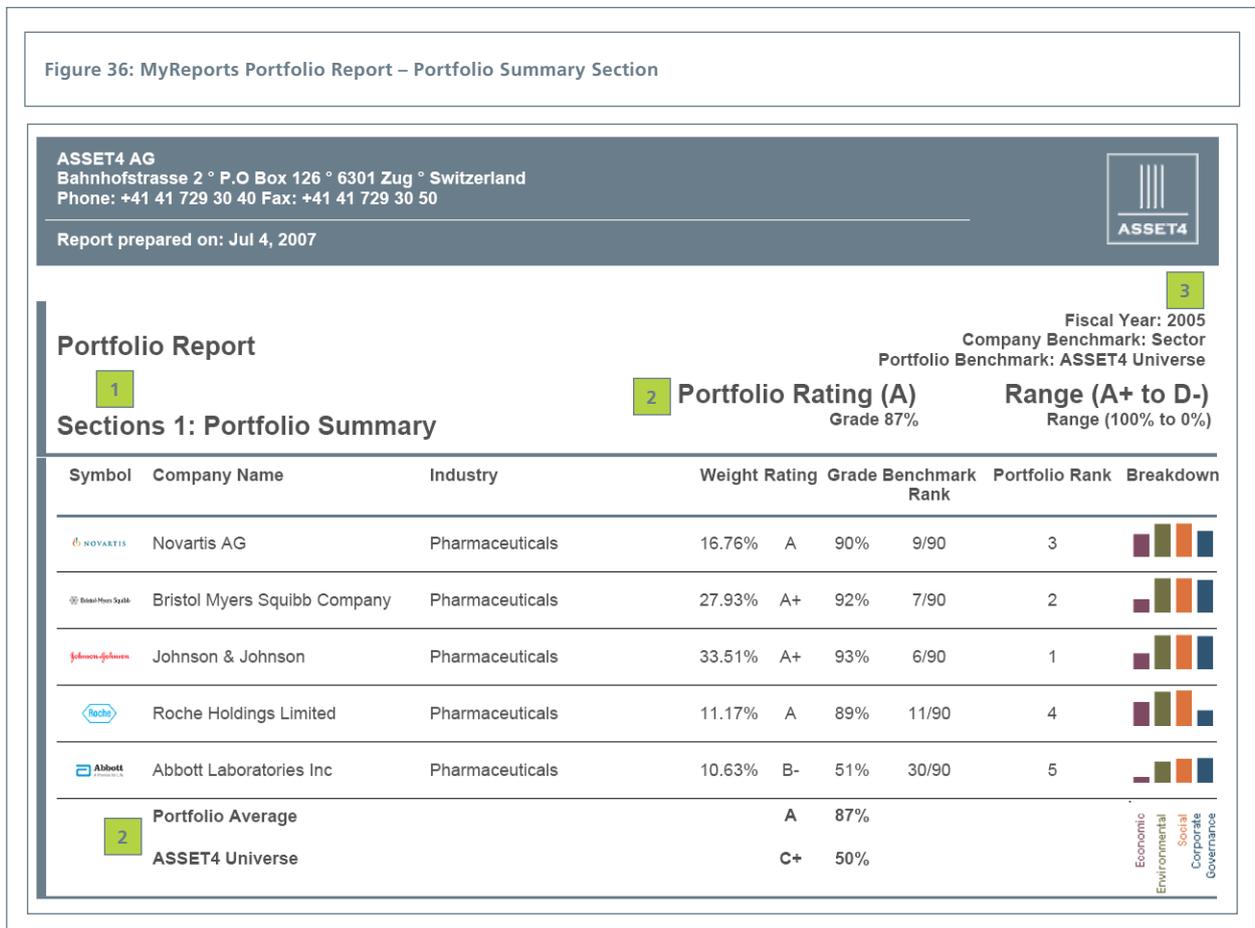
### 2 Portfolio Rating

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.

### 3 Year and Benchmark

The year and benchmark used for the report is displayed here.

Figure 36: MyReports Portfolio Report – Portfolio Summary Section



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.

**1 Best in Class**

A table showing the three best performing companies within the portfolio for each pillar.

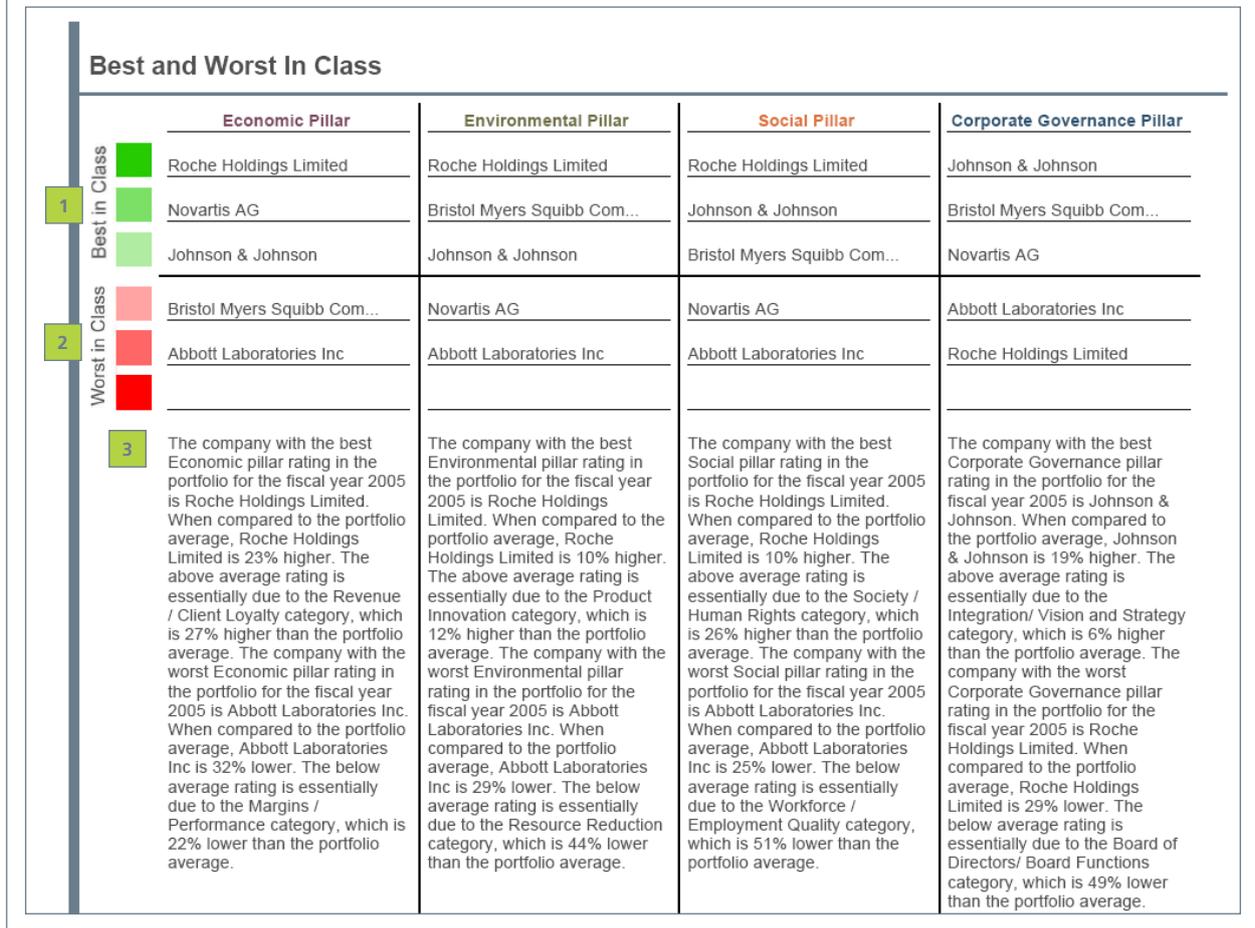
**2 Worst in Class**

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.

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



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.

**1 Areas of Improvements**

Shows the five categories with the lowest scores for each company and whether the score was for an outcome or driver indicator.

**2 Specific Issues**

Lists the specific outcome or driver issues in which the company scored poorly.

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.

		<b>1</b>	<b>2</b>
	<b>Company Name</b>	<b>Areas of Improvements</b>	<b>Specific Issues</b>
	Novartis AG	Margins / Performance/ *Outcome Shareholders / Shareholder Rights/ *Outcome Board of Directors/ Compensation Policy/ *Outcome Revenue / Client Loyalty/ *Outcome Workforce / Employment Quality/ *Outcome	Transparency Exposure Exposure Transparency Momentum
	Bristol Myers Squibb Company	Margins / Performance/ *Driver Revenue / Client Loyalty/ *Outcome Shareholders / Shareholder Rights/ *Outcome Society / Community/ *Outcome Workforce / Employment Quality/ *Outcome	Performance/ Policy Transparency Exposure Exposure Transparency
	Johnson & Johnson	Profitability / Shareholder Loyalty/ *Outcome Shareholders / Shareholder Rights/ *Outcome Margins / Performance/ *Outcome Revenue / Client Loyalty/ *Outcome Society / Human Rights/ *Outcome	Momentum Transparency Momentum Transparency Momentum
	Roche Holdings Limited	Board of Directors/ Board Functions/ *Outcome Shareholders / Shareholder Rights/ *Outcome Board of Directors/ Compensation Policy/ *Driver Profitability / Shareholder Loyalty/ *Outcome Board of Directors/ Board Structure/ *Driver	Exposure Performance Compensation Policy/ Mon... Exposure Board Structure/ Monitor...
	Abbott Laboratories Inc	Margins / Performance/ *Driver Workforce / Employment Quality/ *Driver Society / Human Rights/ *Outcome Shareholders / Shareholder Rights/ *Driver Revenue / Client Loyalty/ *Outcome	Performance/ Policy Employment Quality/ Poli... Momentum Shareholder Rights/ Impl... Transparency

## 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.

**1 Year**

Each Ranking Report shows the ranking for a specific year. Use this pull-down menu to select the year you are interested in.

**2 Benchmark Category**

Companies are ranked within a benchmark, use this pull-down menu to select one of the categories shown below.

**3 Benchmark**

Use this pull-down menu to select the specific benchmark from the selected category.

**4 Report Zoomer**

Select any level within the ASSET4 framework to view a ranking report for the benchmark within that level.

Figure 39: Ranking Report

**Ranking Report (2010)**  
Companies in Economic Sector(Healthcare) ranked by Environmental Pillar

Year: 2010 | Benchmark category: Economic Sector | Benchmark: Healthcare

Rank	Company Name	Rating
1	OLYMPUS CORPORATION	95% (A+)
2	Astrazeneca PLC	94% (A+)
3	Johnson & Johnson	94% (A+)
4	Medtronic, Inc.	94% (A+)
5	Merck Kgaa	94% (A+)
6	Roche Holding AG	94% (A+)
7	Fresenius SE	93% (A+)
8	Kyowa Hakko Kirin Company Limited	93% (A+)
9	Merck & Company Inc	93% (A+)
10	TERUMO CORPORATION	93% (A+)
11	Bristol Myers Squibb Company	93% (A+)
12	Hospira Inc	93% (A+)
13	Agfa-Gevaert NV	92% (A+)
14	Baxter International Inc	92% (A+)
15	Bayer AG	92% (A+)
16	Novo Nordisk A/S	92% (A+)
17	ELI Lilly & Company	91% (A)
18	Sysmex Corp.	91% (A)

ASSET4 Toolbox

- Portfolio Summary
- Ranking Report
- Item Lookup
- Report Zoomer
  - Equal-Weighted Rating
  - Economic
  - Environmental **4**
  - Resource Reduction
  - Emission Reduction
  - Product Innovation
  - Social
  - Corporate Governance

## 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.

### 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.

**Figure 40: MyRatings List**

The screenshot shows the 'MyRatings' section of the 'assetmasterProfessional' application. The main content area contains a table of ratings with the following data:

Owner	Code	Name	Description	Status	Icons
ASSET4	EESG	EESG	The EESG Rating is an example of how a company's f...	OK_STORED	-
ASSET4	ESGC_SB	ESGC Sectors Based	Equal Weighted Rating for environment, social, cor...	OK_STORED	-
ASSET4	ESGC_A4U	ESGC	Equal Weighted Rating for environment, social, cor...	OK_STORED	-
ASSET4	ESG	ESG	Equal Weighted Rating for environment, social, cor...	OK_STORED	-
A4RecalRatings	ETHICAL	Negative Screening MyRating	Negative Screening MyRating based on the following...	OK_STORED	-
A4RecalRatings	Risk_Report	Risk Report	Created for Customer H	OK_STORED	-
christopher	SEG01	Segmentation 1	Segmentation My Indicato 1	PENDING	-
A4RecalRatings	UN	UN Global Compact Rating Principles		OK_STORED	-

Below the table is an 'Add new' button and a section for 'Specify rating file for import:' with 'Browse...' and 'Import' buttons.

### 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

### 1 Name

Enter the name of your rating.

### 2 Description

Enter a description to help identify the rating.

### 3 Benchmark

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

### 4 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

### 5 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

### 6 Next

Once you have entered a name and description and made your other selections, click on "Next" to begin to define the elements of your rating.

Figure 41: MyRatings Name and Description Screen

The screenshot displays the 'MyRatings' interface within the 'assetmasterProfessional' application. The top navigation bar includes 'Welcome, John Smith', 'Contact Us', 'Help', and 'Log out'. The main menu contains 'MyPortfolios', 'MyRatings', 'MyIndicators', 'MyReports', 'MyExports', 'MyAlerts', 'MyNews', and 'MySettings'. A search bar is present with the text 'Company Search' and a 'Go' button. The 'MyRatings' section is active, showing a 'Create New MyRating (Step 1 of 2)' form. The form includes the following fields and options:

- Name:** A text input field containing 'Ref Manual Rating Example'.
- Description:** A text area containing 'A rating looking at human rights and emission reduction.'
- Benchmark:** A dropdown menu with 'Economical sectors' selected.
- Normalization method(\*):** A dropdown menu with 'Percentile rank' selected.
- Weights sum 100% ?**: A checked checkbox.
- E-mail notification when rating is calculated ?**: An unchecked checkbox.

At the bottom right of the form, there are three buttons: 'Cancel', 'Next', and 'Finish'. The 'Next' button is highlighted with a green box labeled '6'. On the right side of the screen, there is a sidebar with a search icon and a list of options: 'ASSET4 Toolbox', 'Portfolio Summary', 'Ranking Report', and 'Item Lookup'.

## 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.

### 1 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.

### 2 Code and Name

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

**Figure 41: MyRatings Definition**

**Ref Manual Rating Example**

On this screen as you build the structure of your rating enter the necessary codes, titles, descriptions and weights for each level.

**Create New MyRating (Step 2 of 2)**

Select Item: **Ref Manual Rating Example** 1

Settings:

Level 1: User rating

Code: RFR01 2 ? 3

Name: Ref Manual Rating Example ? 3

Description: A rating looking at human rights and emission reduction. ?

For calculating the rating node use: Values of the children nodes 4 ?

Building actions: **Add level** 5 **Add indicators** 6

Cancel Back Validate Finish

### 3 ? (Help)

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

### 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 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.

### 6 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.

#### 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.

Figure 43: MyRatings Items Setup - Defining the Rating Structure

#### 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 Delete

Click to delete selected levels from your rating.

#### 6 Validate

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

#### 7 Finish

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

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.

#### 1 ASSET4 Items Lookup

Enter a term you want to search the system for to help build your rating and click on “Go.”

#### 2 Zoom In and Out

Use the “+” and “-” to expand and contract the ASSET4 framework and previously defined MyRatings and MyIndicators to find the indicators you want to include in your rating.

#### 3 Indicators

Click on a driver or outcome in the first column, to see the indicators for that category in this column. Click on the indicator name to see a definition. Click on the box to select that indicator for your rating.

Figure 44: MyRatings Items Setup - Selecting Indicators

The screenshot shows the 'Create New My Rating' interface. At the top left, there is an 'ASSET4 Items Lookup' section with a search box and a 'Go' button (1). Below this is a tree view of categories (2). The 'Society / Human Rights' category is expanded (3), showing a list of indicators with checkboxes (4). The 'Definition' column (5) displays the definition for the selected indicator. At the bottom right, there are 'Cancel', 'Back', and 'Next' buttons (6).

#### 4 Check All

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

#### 5 Definition

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

#### 6 Next

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.

#### 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.

Figure 45: MyRatings Items Setup - Entering Codes and Weights

#### 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.

### 1 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.

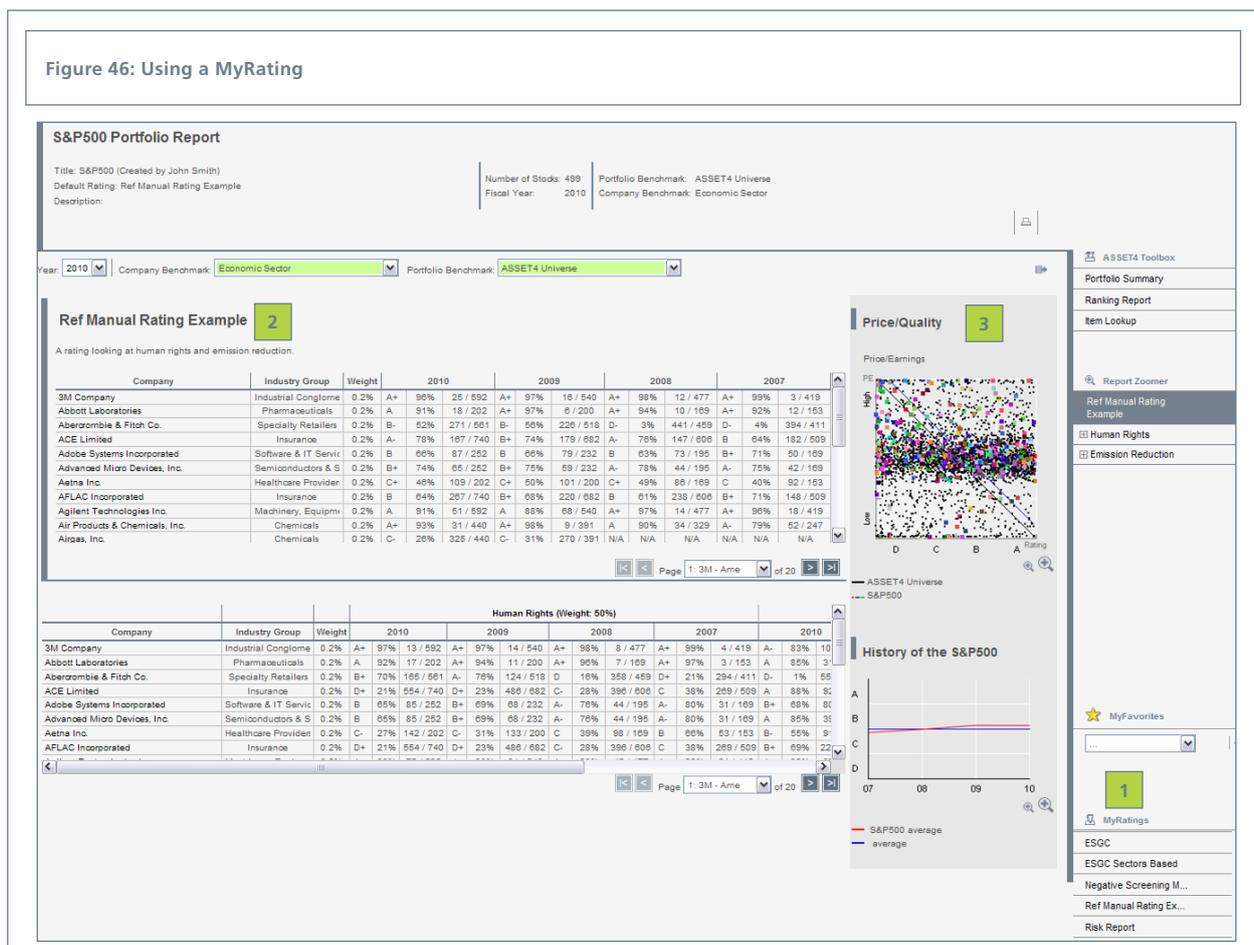
### 2 Tabular Data

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

### 3 Graphs

Once the MyRating is selected all graphs are now based on the selected MyRating criteria.

Figure 46: Using a MyRating



# 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.

## 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.

**Figure 47: Naming the MyExport Report**

**MyExports**

Specify the name, description and format of the export report. Check the box if you want to be notified by e-mail when the report is ready.

Export Name:  1

Export Description:  2

E-mail notification when export is ready 3

Compress to ZIP 4

Export format:  5

6
 7

## 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 your 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.

### 1 Choose Year(s) for Export

You can export data for one or more years. Hold down the Ctrl key to select multiple years.

**Figure 48: Selecting the Companies to Include in MyExports**

The screenshot shows the 'Company Selection' interface. At the top, there are filters: 'Choose year(s) for export' (set to 'All Years'), 'Choose country' (set to 'Healthcare'), 'Choose economic sector' (set to 'Pharmaceuticals'), and 'Choose portfolio'. Below these filters, there are two columns of company lists. The left column is titled 'Total number of available companies: 77' and the right column is titled 'Total number of selected companies for export: 7'. Between the columns are arrow buttons: '>>', '>', '<', and '<<'. At the bottom right, there are buttons for 'Cancel', 'Back', 'Next', and 'Finish'. Green callout boxes 1 through 6 point to specific elements: 1 points to the year filter, 2 points to the country filter, 3 points to a checked checkbox for Allergan Inc, 4 points to the '>' arrow button, 5 points to the 'Next' button, and 6 points to the 'Finish' button.

Company	Country	Economic Sector	Industry Group
<input type="checkbox"/> Acrox Limited	AU	Healthcare	Pharmaceuticals
<input type="checkbox"/> Alapis SA	GR	Healthcare	Pharmaceuticals
<input type="checkbox"/> Alere Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Alexion Pharmaceuticals Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Althesa Holdings Corporation	JP	Healthcare	Pharmaceuticals
<input checked="" type="checkbox"/> Allergan Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Amersourcebergen Corp.	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Amylin Pharmaceuticals Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Aspen Pharmacare Holdings Limited	ZA	Healthcare	Pharmaceuticals
<input type="checkbox"/> Astellas Pharma Inc.	JP	Healthcare	Pharmaceuticals
<input type="checkbox"/> Astrazeneca PLC	GB	Healthcare	Pharmaceuticals
<input type="checkbox"/> Barr Pharmaceuticals Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Bayer Schering Pharma AG	DE	Healthcare	Pharmaceuticals
<input type="checkbox"/> Biomarin Pharmaceutical Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Bristol Myers Squibb Company	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Celesio AG	DE	Healthcare	Pharmaceuticals
<input type="checkbox"/> Chugai Pharmaceutical Company			

Company	Country	Economic Sector	Industry Group
<input type="checkbox"/> Abbott Laboratories	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Bayer AG	DE	Healthcare	Pharmaceuticals
<input type="checkbox"/> Glaxosmithkline PLC	GB	Healthcare	Pharmaceuticals
<input type="checkbox"/> Johnson & Johnson	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Merck & Company Inc	US	Healthcare	Pharmaceuticals
<input type="checkbox"/> Novartis AG	CH	Healthcare	Pharmaceuticals
<input type="checkbox"/> Roche Holding AG	CH	Healthcare	Pharmaceuticals

### 2 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.

### 3 Check the Companies

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

### 4 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.

### 5 Next

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

### 6 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.

### 1 Search for item

Enter a term to search the system to help define your export selection and click on "Go."

### 2 Select Rating

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

**Figure 49: Selecting the Data to Include in MyExports**

The screenshot shows the 'MyExports' data selection interface. It features a search bar (1) with 'health and safety' entered and a 'Go' button (2). Below the search bar is a 'Select rating' dropdown menu (2) set to 'Equal-Weighted Rating'. The main area is divided into three columns: 'Pillars and Indicators' (3), 'Data Points' (4), and 'Definition' (5). The 'Pillars and Indicators' column shows a tree view with 'Health & Safety/ Lost Days' selected. The 'Data Points' column lists several data points with checkboxes, including 'Lost Time Injury Rate', 'Lost Time Injury Rate Contractors', 'Lost Time Injury Rate Employees', 'Lost Working Days', 'Contractor Lost working Days', 'Number of Employees', and 'Employee Lost Working Days'. The 'Definition' column shows the definition for 'Health & Safety/ Lost Days'. At the bottom, there are checkboxes for 'Type of Export' (6) and 'Select all data points' (7), and buttons for 'Cancel', 'Back', and 'Finish' (8).

### 3 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.

### 4 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.

### 5 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.

### 6 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.

### 7 Select All Data Points

Check this box if you want to select all the data points appearing in the middle column.

### 8 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

	Indicator code	Indicator name	Indicator definition	Indicator Unit	Indicator value	Datapoint code	Datapoint name
18	So_Wo_HS_002	Health & Safety/ Lost Days	Total lost days at work divided by total working days.  (Refers to an employee absent from work because of incapacity of any kind, not just as the result of occupational injury or disease) (Permitted leaves of absence, such as, holidays, study, maternity/paternity and compassionate leave are excluded) (1 employee * 50 weeks * 40 hours = 2000 hours; 1 day = 8 hours)	From 0	N/F	So_Wo_HS_DP033	Lost Time Injury Rate
19	So_Wo_HS_002	Health & Safety/ Lost Days	Total lost days at work divided by total working days.  (Refers to an employee absent from work because of incapacity of any kind, not just as the result of occupational injury or disease) (Permitted leaves of absence, such as, holidays, study, maternity/paternity and compassionate leave are excluded) (1 employee * 50 weeks * 40 hours = 2000 hours; 1 day = 8 hours)	From 0	N/F	So_Wo_HS_DP033	Lost Time Injury Rate
20	So_Wo_HS_002	Health & Safety/ Lost Days	Total lost days at work divided by total working days.  (Refers to an employee absent from work because of incapacity of any kind, not just as the result of occupational injury or disease) (Permitted leaves of absence, such as, holidays, study, maternity/paternity and compassionate leave are excluded) (1 employee * 50 weeks * 40 hours = 2000 hours; 1 day = 8 hours)	From 0	N/F	So_Wo_HS_DP034	Lost Time Injury Rate Contractors
21	So_Wo_HS_002	Health & Safety/ Lost Days	Total lost days at work divided by total working days.  (Refers to an employee absent from work because of incapacity of any kind, not just as the result of occupational injury or disease) (Permitted leaves of absence, such as, holidays, study, maternity/paternity and compassionate leave are excluded) (1 employee * 50 weeks * 40 hours = 2000 hours; 1 day = 8 hours)	From 0	N/F	So_Wo_HS_DP034	Lost Time Injury Rate Contractors
22	So_Wo_HS_002	Health & Safety/ Lost Days	Total lost days at work divided by total working days.  (Refers to an employee absent from work because of incapacity of any kind, not just as the result of occupational injury or disease) (Permitted leaves of absence, such as, holidays, study, maternity/paternity and compassionate leave are excluded) (1 employee * 50 weeks * 40 hours = 2000 hours; 1 day = 8 hours)	From 0	N/F	So_Wo_HS_DP034	Lost Time Injury Rate Contractors

## 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.

### 1 MyIndicators Tab

Placing your cursor on the MyIndicators tab, displays a drop-down list of any indicators you have already defined. Choose one of these to edit or copy or click on the MyIndicators tab itself to be taken to a list of indicators, shown in Figure 51, to define a new MyIndicator or edit or copy an existing one.

Figure 51: MyIndicators List

Owner	Code	Name	Description	Status
Jeff	Agrochemical	Agrochemical	Level of involvement in agrochemical. (0) = no inv...	OK_STORED
A4RecoRatings	Agrochemicals	Agrochemicals	Does the company have agrochemical revenues greate...	OK_STORED
A4RecoRatings	Alcohol Revenue	Alcohol Revenue	Percentage of net sales derived from alcohol reven...	OK_STORED
Jeff	Alcohol Revenue	Alcohol Revenue	The revenues generated by the company from the sal...	OK_STORED
A4RecoRatings	Alcohol	Alcohol	Does the company have alcohol revenues greater tha...	OK_STORED
Jeff	Alcohol	Alcohol	Level of involvement in alcohol. (0) = no involvem...	OK_STORED
A4RecoRatings	Animal Testing	Animal Testing	Is the company directly or indirectly involved in ...	OK_STORED
Jeff	Animal Testing	Animal Testing	Is the company directly or indirectly involved in ...	OK_STORED

### 2 Add New

Click on the "Add new" button to go directly to Figure 50 to begin to define your indicator.

### 3 List of Indicators

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

### 4 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)**

**Create new indicator (step 1 of 2)**

Name:  ?

Code:  ?

Description:  ?

Driver/Outcome:  ?

Calculate transparency:  ?

Relevant for:  All Industries  
 51 Basic Materials  
 50 Energy  
 52 Industrials  
 53 Cyclical Consumer Goods & Services  
 54 Non-Cyclical Consumer Goods & Services  
 55 Financials  
 56 Healthcare  
 57 Technology  
 58 Telecommunication Services  
 59 Utilities

Benchmark:  ?

Value:  ?  
 ?  
 ?  
 % ?

Scoring:  ?

Normalization method(\*):  ?

Direction:  ?

Point-based (Binning): Min points:  Max points:  Min value:  Max value:  ?

Default score when not available:  ?

### 1 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.

### 2 Driver/Outcome

Chose 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.

### 3 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.

### 4 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.

### 5 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.

### 6 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.

### 7 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.

**1 Calculation Expression**

Enter your indicator calculation here.

**2 Item Lookup**

Open an Item Lookup screen in a new window to find the data point code(s).

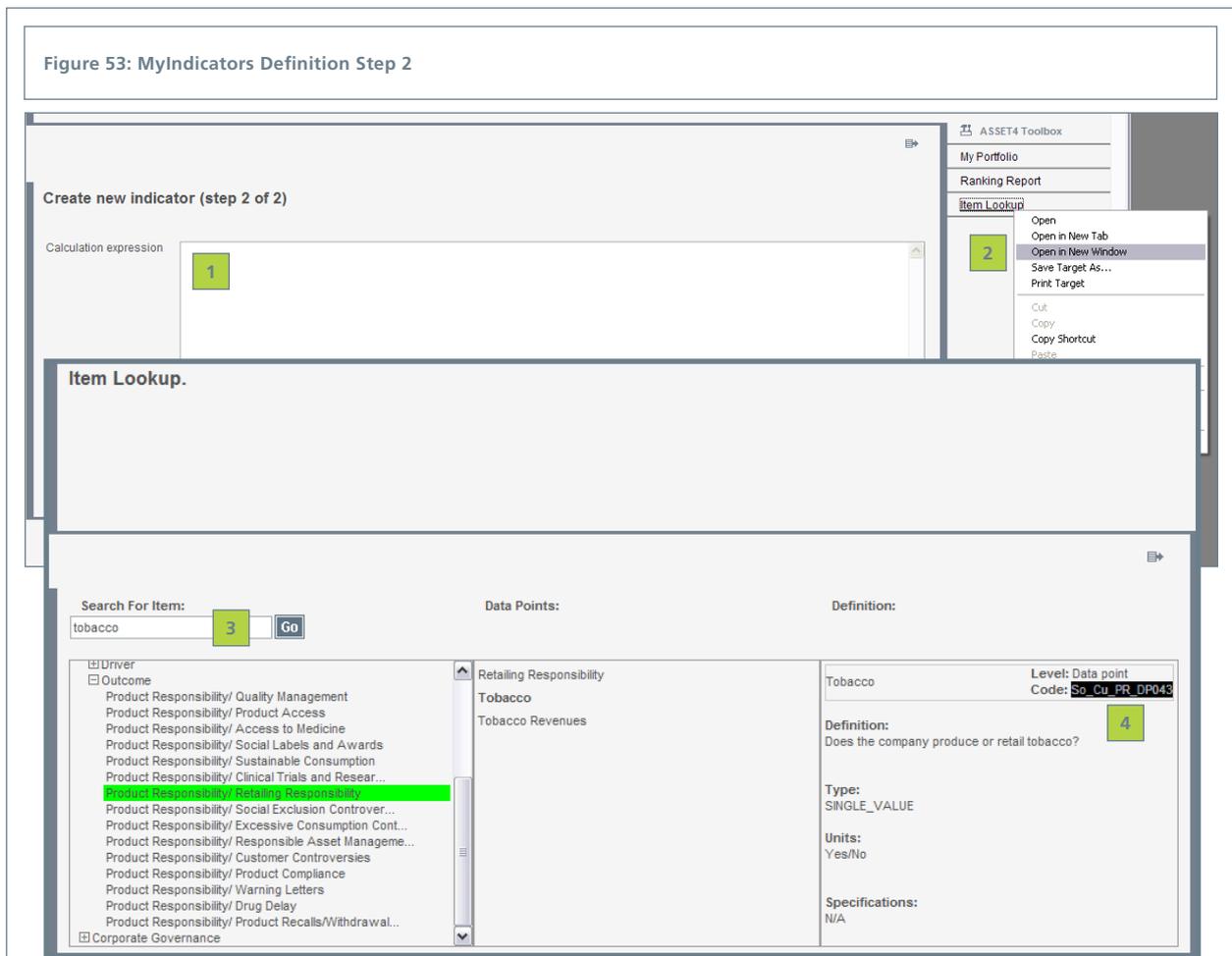
**3 Search For Item**

Enter the issue you are interested in and click on "Go."

**4 Code**

The code of selected data point from the middle column.

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.**

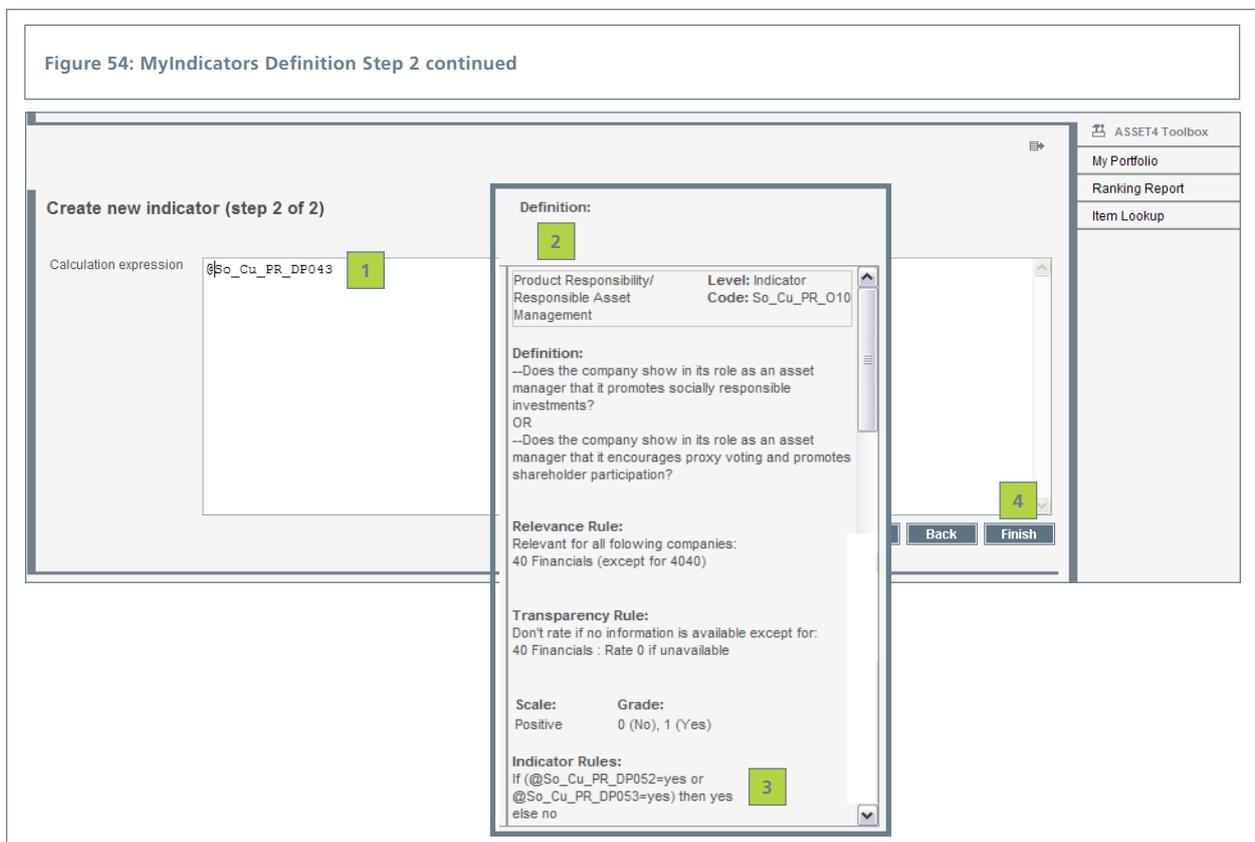
You can use the same procedure for more complex indicators as well, by selecting an indicator in the Equal-Weighted Rating, such as "Product Responsibility / Responsible Asset Management" and cutting and pasting the rule, and changing the relevant data points. See the inset image in Figure 54 for an 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.

**1 Calculation Expression**  
Enter data point code or rule copied from the Item Lookup screen.

**2 Definition**  
An example of an indicator containing two questions (i.e. two data points) that can be used as a model to define a new indicator.

**3 Indicator Rules**  
A standard indicator rule pre-defined within the Equal-Weighted Rating framework.

**4 Finish**  
Once the definition of the indicator rule is complete, click on Finish to save the MyIndicator.



## 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.

**1 Value**

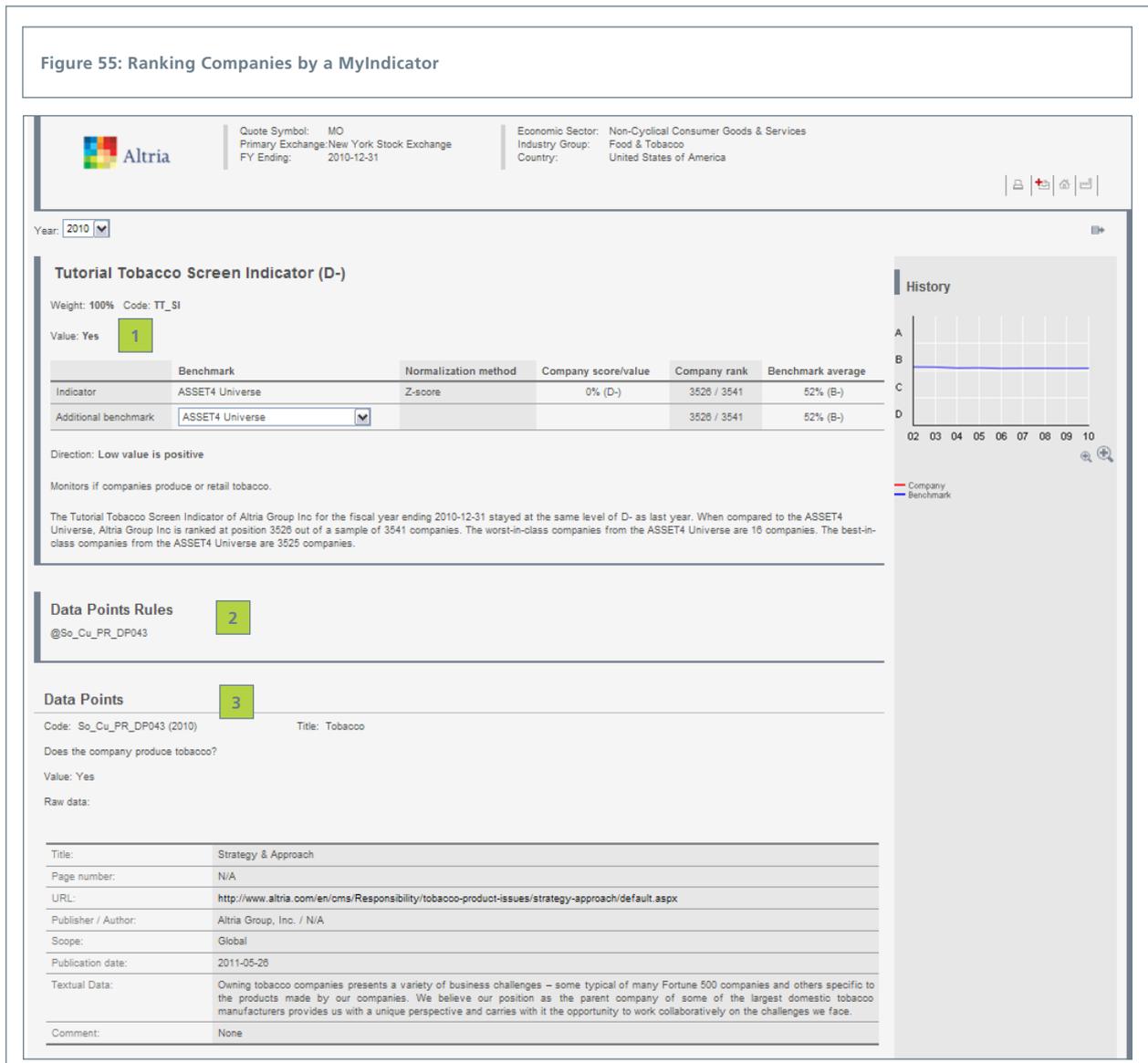
The MyIndicator value for the company.

**2 Data Points Rules**

The calculation you entered for this indicator.

**3 Raw Data**

The information used to determine the value of this indicator, including a link to the data source.



## 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.

### 1 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.

### 2 Password Criteria

Valid passwords must be at least 6 characters long, contain both upper and lower case letters, as well as one special character (:,!,@,#,\$,%,&,\*?,\_~).

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:

1. Password length must be at least 6 characters;
2. Password must contain both letter case;
3. Password must contain 1 special symbol (:,!,@,#,\$,%,&,\*?,\_~);
4. Leading and trailing whitespaces in password will be removed.

---

**1** Name:

Email:

Mobile phone:

Login:

Old Password:

**2** Password:

Again:

**7**

**3**

Decimals

Default settings:

Scores:

Weights:

Values:

Other

Allowed data items to export:

**4** MyNews

Keep news in News Bar for (days):

News bar scrolling speed:   **5**

Preferred delivery time for news subscriptions

**6** Time:

Time zone:

### 3 Decimal Places

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

### 4 Keep News in News Bar

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

### 5 News Bar Scrolling Speed

Indicate how fast would you like the next bar to scroll.

### 6 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.

### 7 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

Determines 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.