

# QONCEPT EXPLAINER

## Global Stewardship Certifications in Investment Management - and What Sets the UK Code Apart

In the global asset management ecosystem, a handful of certifications and stewardship frameworks are considered benchmarks of responsible investing. These aren't labels — they are hard-earned recognitions based on real-world actions and transparency.

### Some of the globally acknowledged frameworks include:

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**UN PRI (Principles for Responsible Investment)** — focused on ESG integration
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**CFA Institute Asset Manager Code** — ethical and professional standards for fund managers
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**UK Stewardship Code** — investor responsibility in managing and overseeing capital

Each of these sets a high bar — but the UK Stewardship Code stands out for its depth, detail, and emphasis on evidence-backed stewardship.

## What is the UK Stewardship Code — and Why It Matters Globally

The UK Stewardship Code 2020, issued by the UK Financial Reporting Council (FRC), is widely regarded as one of the most stringent global standards in investment governance.

It defines how asset managers, owners, and service providers should act in the interests of their clients — and in doing so, contribute to better-run companies and a more resilient financial system.

### To qualify, investment managers must demonstrate:

-  A clear, integrated approach to ESG and governance
-  A structured framework for engaging with portfolio companies
-  A voting policy that's active, not automatic
-  Evidence of outcomes — not just intent

This is not a disclosure checklist — it's a results-driven framework. Applications are rigorously assessed and only those showing real-world stewardship outcomes make the list.

## Quantum's Inclusion — A First for India

We are proud to share that Quantum Advisors Pvt. Ltd. is now a recognised signatory to the UK Stewardship Code 2020 — becoming the first Indian assetmanager to be listed under this version of the Code.

### This recognition is the result of our long-standing practices:



Screening out companies with weak governance through our proprietary integrity framework



Engaging early and constructively with portfolio companies



Escalating concerns where needed — and voting with a clear, consistent stance



Prioritising investors' interests in every decision

For nearly three decades, we have approached fund management with a stewardship mindset — long before ESG became a buzzword. This global recognition validates that approach.

## Why This Matters

At a time when transparency, accountability, and long-term thinking are under sharper focus, being acknowledged under the UK Stewardship Code sets a clear marker — not just for Quantum, but for the Indian asset management industry.

This isn't just a milestone for us — it signals that Indian fund managers can meet, and exceed, the best global benchmarks when backed by conviction and consistency.