

Guotai Junan Investment Funds
Guotai Junan Greater China Growth Fund
(the “Fund”)

Notice to Unitholders

Important - If you are in any doubt about the contents of this notice, you should seek independent professional financial advice.

The Securities and Futures Commission of Hong Kong (“**SFC**”) takes no responsibility for the accuracy of any of the statements made or opinions expressed in this notice.

SFC authorisation is not a recommendation or endorsement of a scheme nor does it guarantee the commercial merits of a scheme or its performance. It does not mean the scheme is suitable for all investors nor is it an endorsement of its suitability for any particular investor or class of investors.

Manager’s Climate-related Risk Management Policy

Dear Unitholders,

Guotai Junan Assets (Asia) Limited, the Manager of the Fund, has established its policy of climate-related risk management in respect of the funds under its management, including the Fund. A summary of the policy is attached herewith for your reference. The policy may be updated from time to time and the latest policy disclosure will be available at the Manager’s website at: www.gtjai.com.

Should you have any queries, please contact the Manager at 27/F., Low Block, Grand Millennium Plaza, 181 Queen’s Road Central, Hong Kong or (852) 2509 7740.

Guotai Junan Assets (Asia) Limited
國泰君安資產管理(亞洲)有限公司

18 August 2022

(Attachment)

**Guotai Junan Assets (Asia) Limited
Asset Management Department**

Climate-related Risk Management Policy
(August 2022)

1. Policy Objective

We have established a policy in respect of climate-related risk management whereby we will incorporate considerations on climate-related risks into the investment process of our funds, aiming to manage the climate-related risks of our funds responsibly.

2. Governance

Our board has overall responsibility for the management of the climate-related risks, and has delegated the duties to a climate-related risk management committee to set the goals, policies and strategies of climate-related risk management and oversee their implementation.

The investment team is responsible for implementing the policy in the investment process with focus on the physical and transitional climate-related risks and their impacts, and making investment within the adopted risk acceptance criteria.

The risk management team is responsible for implementing appropriate climate-related risk monitoring program and reporting to the climate-related risk management committee on quarterly basis about the status and progress.

3. Management of Climate-related Risks

A quantitative approach will primarily be adopted in the climate-related risk management. A carbon risk score of each investment in a fund will be calculated, taking into account of both the physical climate-related risks, such as weather changes, and the risks associated with transition to low-carbon economy, such as carbon pricing, regulatory pressure and so forth.

We make use of the climate-related risk data and ratings of the investee companies provided by international rating institute to facilitate our regular risk management. The aim is to maintain the overall climate-related risk level of the fund and individual investment to be within the acceptance parameters. We will closely monitor an investment which suffers significant deterioration in climate-related risks, and take appropriate action as necessary. It is our goal to limit exposure in any investee companies that routinely produce excessive carbon emissions or which repeatedly decline to manage their climate-related risks.

4. Review and Disclosure

As the industry practices and methodologies of climate-related risk management are rapidly evolving, our climate-related risk management policy will be reviewed and revised on regular basis. Disclosure of any updates will be duly made to our customers and stakeholders.