

Premium



CATARA

CAPITAL

# ENVIRONMENTAL, SOCIAL AND GOVERNANCE STATEMENT

JUNE 2024

[WWW.CATARA.EU](http://WWW.CATARA.EU)

## 1. INTRODUCTION

Premium Catara Capital - Empresa de Investimento, Lda., is an investment firm registered with the Portuguese Securities Market Commission (“CMVM”) under number 419 and registered with the Commercial Registry Office of Lisbon under the single registration and taxpayer number 516 520 725 (hereinafter the "Company" or “Catara”).

Among other, the Company provides investment advice in relation to financial instruments and advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings.

The Company is, therefore, a ‘financial adviser’, as defined in article 2(11)(d) of Regulation (EU) 2019/2088 of the European Parliament and of the Council of 27 November 2019 on disclosure of sustainability-related information in the financial services sector (“SFDR”).

Further, per Article 3(2) of SFDR, Financial advisers are required to “publish on their websites information about their policies on the integration of sustainability risks in their investment advice.”

In addition, pursuant to the SFDR, the Company is required to publish and maintain on its website information as to whether it considers or not in its investment advice the principal adverse impacts (“PAI”) on sustainability factors, as per Article 4 (5) of SFDR.

The Company has adopted this Statement to describe the approach taken to demonstrate compliance with Article 3 (2) of SFDR and non-consideration of adverse impacts of investment advice on sustainability factors in accordance with Article 4 (5) (b) of the SFDR.

## 2. INTEGRATION OF SUSTAINABILITY RISKS

While we believe that increasing transparency and clarity in the market for sustainable investments is an important objective to be pursued, the Company, in line with the principle of proportionality and its small size, does not include sustainability risk analysis in its services. This is carried out by the Fund Managers of the products marketed, who in turn provide information on the extent to which sustainability risks are or are not integrated into the investment decision-making process in the pre-contractual documents for each product, in accordance with Article 6 of the SFDR.

This will be determined during the onboarding phase of a new client when considering sustainable products, in which case Catara will apply the suitability criteria in relation to the client's profile, in conjunction with the product provided by the Fund Managers.

Whenever the company is presented with a client interested in sustainable products, it will enhance its due diligence processes to ensure that the information provided in the pre-contractual documents is consistent with the investment objectives and investor profile. Where sustainability risks are integrated by the fund managers into the investment decision/research for each product, the Company should assess the adequacy of the ESG/SFDR integration by these fund managers on a best-efforts basis.

### **3. STATEMENT – NON-CONSIDERATION OF ADVERSE IMPACTS OF INVESTMENT ADVICE ON SUSTAINABILITY FACTORS**

Catara does not take into account the negative impact of investment decisions on sustainability factors, in accordance with the Article 4(5)(b) of Regulation (EU) 2019/2088 of the European Parliament and of the Council of 27 November 2019 (“SFDR”).

As mentioned above, the Company agrees with the objectives of making the financial markets more transparent with regard to sustainable investments and in applying the European rules in order to avoid the phenomenon of greenwashing. However, due to the size of the Company and the scope of its activities in the market, the Company is not prepared to comply with the specific requirements of significant adverse impact under Article 4(5)(b) of the SFDR and Article 11(2) and (3) of Commission Delegated Regulation (EU) 2022/1288 of 6 April 2022 ("SFDR Delegated Regulation").

This is due to the technical challenges of conducting a comprehensive due diligence on negative sustainability impacts, in particular taking into account the indicators listed in Table 1 of Annex I of the SFDR Delegated Regulation.

Nevertheless, this does not mean that Catara is not aware of current developments in the global context, nor does it mean that it will not be vigilant with regard to the regulations in force when providing investment advice in the area of sustainability.

We will review our PAI statement at least annually.

For further queries relating to the Company, please contact:  
**info@catara.eu**