

**Project Title: Environmental, Social, and Governance Conscious Portfolio Survey**

**Researcher(s):** Riley Herman, Graduate Student, Department of Computer Science, University of Regina, 1-306-533-3344, herman5r@uregina.ca

**Supervisor:** Malek Mouhoub, Department of Computer Science, University of Regina, Malek.Mouhoub@uregina.ca

Thank you for taking the time to read and understand the consent form for this survey! The researcher is a student hoping to use these results to better understand ESG (environmental, social, and governance) investing as well as to create a system helping those who wish to have their ESG preferences respected in their financial portfolios. Please note that this document as well as the survey is presented in English only.

**Purpose(s) and Objective(s) of the Research:**

- The purpose of this survey is to collect a wide variety of individual's risk tolerances and ESG (environmental, social, and governance) preferences in order to define a variety of buckets that a potential investor could fall into. These buckets would be: risk tolerance (from conservative to aggressive), environmental focus, social focus, and governance focus. A portfolio can potentially fall into one bucket from each, and a potential investor can also fall into one bucket from each. In this way, a portfolio can be matched to an investor. The definition of the buckets must depend on potential investors in order to ensure that my biases in defining the buckets are limited. My biases would be further limited by surveying a wide, diverse cross section of the population.
- The researcher would be enabled to deliver a system that can match generated portfolios to a given investor based on their risk tolerance and ESG preferences.
- The researcher is completing his master's thesis using these survey results.

**Procedures:**

- Each survey participant is expected to go to the link (<https://rileyherman.ca/survey>) and spend approximately 5-15 minutes answering the questions. Their inputted answers will be sent upon submission to a database owned by the researcher with no identifying information. This will then be consumed by a program designed to define buckets as stated in the Purposes.
- Please feel free to ask any questions regarding the procedures and goals of the study or your role.

**Potential Risks:**

- There are no known or anticipated risks to you by participating in this research

**Potential Benefits:**

- There are no guaranteed personal benefits from participation
- The matching system and the data that is being collected are both, to the knowledge of the researcher, unique in the literature.

**Confidentiality:**

- The link to the survey will be distributed to the participants and only the answers to the questions (none of which collect personally identifiable information) are collected and saved.
- The data is transmitted using secure HTTPS through the internet to an encrypted, managed database. Any identifying features of the participants/device are not collected nor stored. The survey does not ask for any identifying information.
- Your confidentiality will be respected. The results of this study may be presented in a scientific meeting or published, but your identity will not be disclosed.
- Please do not put your name or other identifying information in the questionnaire.

- In the extremely unlikely scenario where someone were to explicitly type personally identifiable information into an open text field in the survey, the results are stored in a managed database only accessible through a secured connection using a single set of credentials that only the researcher knows.
- The data will be kept for the requisite five year period after publication of results and promptly destroyed. It will be kept in the UofR's FILR repository for this time. There is no hard copy of this data.

**Right to Withdraw:** (see consent guidelines section 10)

- Your participation is voluntary and you can answer only those questions that you are comfortable with. You may withdraw from the research project for any reason, at any time without explanation or penalty of any sort.
- Whether you choose to participate or not will have no effect on your position (e.g. employment, class standing, access to services) or how you will be treated.
- Should you wish to withdraw by closing the survey prior to submission, your data will NOT be collected.
- Your right to withdraw data from the study will apply until you submit the survey. After this time, it is possible that some results have been analyzed, de identified, written up and/or presented and it may not be possible to withdraw your data.

**Follow up:** (see section 11)

- To obtain results from the study, please contact the researcher(s) using the information at the top of page 1
  - Please note that participants contacting the researcher to obtain results will result in their no longer being unknown to the researcher (although the researcher will not be able to link their responses to them).
- Another method of finding results from the study would be to search the OURspace repository at the UofR library anytime after publication (approximately one year from the time of the study). The easiest method of finding the results would be to search the researchers name.

**Questions or Concerns:** (see section 12)

- Contact the researcher(s) using the information at the top of page 1;
- This project has been approved on ethical grounds by the University of Regina Research Ethics Board on (Nov 11<sup>th</sup>). Any questions regarding your rights as a participant may be addressed to the committee at (306-585-4775 or [research.ethics@uregina.ca](mailto:research.ethics@uregina.ca)). Out of town participants may call collect.

**Consent**

By completing and submitting the questionnaire, **YOUR FREE AND INFORMED CONSENT IS IMPLIED** and indicates that you understand the above conditions of participation in this study.