

## Key Investor Information

This document provides you with key investor information about this fund. It is not marketing material. The information is required by law to help you understand the nature and the risks of investing in this fund. You are advised to read it so you can make an informed decision about whether to invest.

## Rockefeller US Equity ESG Improvers UCITS (the “Fund”) a sub-fund of Rockefeller Capital Management UCITS ICAV (the “ICAV”)

Class I3 GBP Acc Unhedged (IE00BMC5M44)

The Fund is managed by Carne Global Fund Managers (Ireland) Limited (the “Manager”)

### Objectives and Investment Policy

#### Investment Objective

The Fund’s investment objective is to outperform a set benchmark - the Russell 3000® Index (the “Benchmark”).

#### Investment Policy

The Fund promotes environmental and social characteristics pursuant to Article 8 of the Sustainable Finance Disclosure Regulation (“SFDR”). The Fund seeks to invest in ESG Improvers as determined by the Investment Manager’s scoring process. The Fund may also invest or continue to hold equity securities that have already met such criteria and may already be considered a leader in such practices. The Fund is actively managed and seeks to achieve outperformance of the Benchmark. The Benchmark may also be used by the Investment Manager as an initial indicative universe to select securities and to monitor certain risk information, which may include tracking error. The Investment Manager has broad discretion with respect to individual stock selection and may invest in securities that are not included in the Benchmark. The number of securities and weightings of those securities held by the Fund may deviate materially from that of the Benchmark.

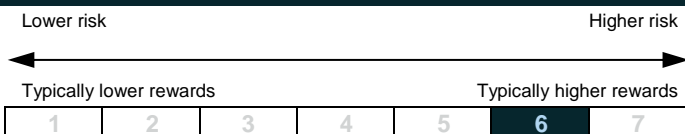
The Fund will invest primarily in equity securities of US publicly traded companies listed on Recognised Markets that meet certain financial and environmental, social, and governance (“ESG”) criteria.

The Fund may also gain exposure to equity related instruments such as common stocks, preferred stocks, rights, and American Depositary Receipts, with a particular focus on securities the Investment Manager perceives to be undervalued. The Fund will invest in companies of any size, but generally focuses on larger, more established companies.

The Investment Manager will apply an active approach, incorporating an ESG research and engagement process, when selecting investments. This includes reviewing a company’s financial condition and its ESG practice. The Investment Manager considers ESG issues that have a material impact on the risk and return profile of portfolio companies, and seeks to determine its ability to create value and catalyse change through engagement with those companies. Under ESG analysis the Investment Manager will seek to carry out an evaluation of certain specific ESG

For more information about the investment policy and strategy of the Fund, please refer to the section entitled “Investment Objective and Policies” of the Fund’s Supplement.

### Risk and Reward Profile



This indicator above is based on historical data and may not be a reliable indication of the future risk profile of the Fund. The risk category shown is not guaranteed and may change over time. The lowest category does not mean a risk free investment.

This Fund is in risk category 6 because of the medium range and frequency of price movements of the underlying investments of the Fund.

The Fund may be subject to risks which are not included in the calculation of the risk-reward indicator. Key risk factors:

**Market Risk:** The risk that the market will go down in value, with the possibility that such changes will be sharp and unpredictable.

**Credit Risk:** The Fund may be adversely affected if the issuer of a debt instrument fails to meet its repayment obligations. The Fund may invest in convertible bonds which may be corporate or government issued of any investment grade. Corporate debt may be subject to credit rating downgrades which may result in the Fund experiencing losses. Sovereign debt is subject to the risk of the governmental entity being unable to meet principal and interest payments. By purchasing debt instruments, the Fund will assume this interest risk.

**Operational Risk (including safekeeping of assets):** The Fund and its assets may experience material losses as a result of technology/system

themes and will usually avoid investing in companies that do not comply with operational best practice or international conventions and in industries such as tobacco and weapons manufacturing.

The Fund will not use any financial derivative instruments and will not be leveraged.

The Fund may invest in convertible bonds on an ancillary basis which may be corporate, or government issued, fixed or floating rate and of any investment grade. The Fund may invest up to 10% of Net Asset Value (“NAV”) in other collective investment schemes and eligible exchange-traded funds.

In exceptional market conditions or if the Investment Manager is of the opinion that there are insufficient opportunities to invest in securities, a substantial proportion of the Fund may be held in cash or invest all the Fund in liquid assets including cash equivalents.

The Fund’s base currency is USD.

#### Distribution Policy

The Class I3 GBP Acc Unhedged Shares are accumulating. All income and capital will be automatically retained within the Fund and reflected in the NAV per share.

#### Dealing Frequency

You can buy and redeem Shares on each business day on which the banks in Ireland are ordinarily open for business and the New York Stock Exchange is ordinarily open for trading.

#### Recommendation

The Fund is suitable for long-term investors seeking to achieve returns through exposure to US equities. The Fund is not a complete investment program. You should carefully consider your own investment goals and risk tolerance before investing in the Fund.

failures, cybersecurity breaches, human error, policy breaches and/or incorrect valuation of units.

**Liquidity Risk:** The Fund may invest in securities which may, due to negative market conditions, become difficult to sell or may need to be sold at an unfavourable price. This may affect the overall value of the Fund.

**Environmental, Social and Governance Investing Risk:** The Fund incorporates ESG criteria into its investment strategy. This could cause the Fund to avoid or sell stocks that otherwise meet the financial criteria in the Fund’s investment policy.

**Benchmark Risk:** The Fund’s main objective is to outperform a benchmark, however there is no guarantee of this outperformance. Attention is drawn to the risk that the value of the principal invested in the Fund may fluctuate.

**For more information on risks, please see the section entitled “Risk Considerations” in the Prospectus of the ICAV and Supplement of the Fund.**

## Charges

The charges you pay are used to pay the costs of running the Fund, including the costs of marketing and distributing it. These charges reduce the potential growth of your investment.

### One-off charges taken before or after you invest:

Entry Charge	None
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Exit Charge	None
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This is the maximum amount that might be taken out of your money before it is invested or before the proceeds of your investment are paid out.

### Charges taken from the Fund over a year:

Ongoing Charges	0.97%
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### Charges taken from the Fund under certain specific conditions:

Performance fee	None
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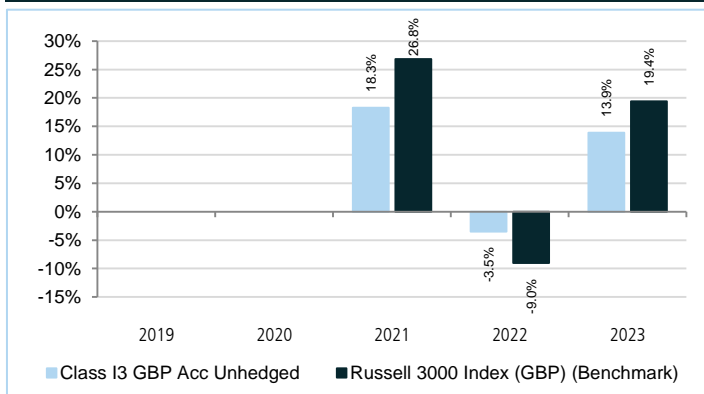
The entry and exit charges shown are maximum figures. In some cases, you might pay less – for further details please speak to your financial adviser.

The ongoing charges figure is based on expenses for the year ending 31 December 2023. The ongoing charge figure may vary from year to year and excludes performance fees and portfolio transaction costs, except in the case of an entry/exit charge paid by the Fund when buying or selling units in another collective investment undertaking, if applicable.

The Manager may, at its discretion, impose an anti-dilution levy should the Fund suffer a reduction in value due to transaction costs. The anti-dilution levy will serve to protect the value of the Fund and its Shareholders and will be limited to a percentage adjustment of the subscription or redemption amount.

**More detailed information about the charges can be found in the "Fees and Expenses" section of the Fund's Supplement.**

## Past Performance



The Fund was established in 2019.

**Past performance is not a guarantee of future performance.** In general, past performance takes into account all of ongoing charges, but not any entry, exit or switching charge. Past performance shall be calculated in GBP. **The value of your investment may go down as well as up and you may not get back the amount you originally invested.**

The Benchmark shown here is the GBP version of the Russell 3000® Index, as this is the most appropriate performance comparator for the Class I3 GBP Acc Unhedged.

The Fund is actively managed and does not seek to track the performance of the Benchmark.

## Practical Information

**Depository Bank:** The Fund's assets are held with the depository, Northern Trust Fiduciary Services (Ireland) Limited.

**Further Information:** Further information about the ICAV, copies of the Prospectus, latest annual and semi-annual reports may be obtained free of charge in English from <https://rcm.rockco.com/ram/#Rockefeller-Capital-Management-UCITS-ICAV> and at the registered office of the ICAV. Copies of this Key Investor Information document may also be obtained free of charge in the following languages: Danish, Dutch, English, Finnish, French, German, Italian, Norwegian, Spanish and Swedish.

**Latest Share Prices/Net Asset Value:** The latest share prices will be made available on <https://rcm.rockco.com/ram/#Rockefeller-Capital-Management-UCITS-ICAV> (or by contacting the Administrator, Northern Trust International Fund Administration Services (Ireland) Limited).

**Remuneration Policy:** Details of the remuneration policy of the Manager is available on the Manager's website, [www.carnegroup.com/resources](http://www.carnegroup.com/resources). A paper copy will be available free of charge from the office of the Manager upon request.

**Conversion of Shares:** A Shareholder may switch from one share class or one sub fund to another, free of charge. Notice should be given to the Administrator in such form as the Administrator may require. Please refer to the Prospectus for the Fund for further details on how to exercise your right to switch.

**Tax Legislation:** The taxation of income and capital gains of the ICAV and of the Shareholders is subject to the fiscal laws and practices of Ireland, of the countries in which the ICAV invests and of the jurisdictions in which the Shareholders are resident for tax purposes or otherwise subject to tax. Depending on your country of residence, this may impact your personal tax position. For further details, please speak to your financial adviser.

**Accuracy Statement:** Carne Global Fund Managers (Ireland) Limited may be held liable solely on the basis of any statement contained in this document that is misleading, inaccurate or inconsistent with the relevant parts of the ICAV's Prospectus.

**Segregated Liability:** The Fund is a sub-fund of Rockefeller Capital Management UCITS ICAV, an umbrella ICAV. Under Irish law the assets and liabilities of the Fund are segregated from other sub-funds within the ICAV and the assets of the Fund will not be available to satisfy the liabilities of another fund of the ICAV. The Prospectus and the annual and semi-annual reports refer to all sub-funds of the ICAV.

This Fund is authorised in Ireland and regulated by Central Bank of Ireland. The Manager is authorised in Ireland and regulated by the Central Bank of Ireland.