

## China Alliance of Social Value Investment (CASVI)

### COMMUNICATION ON ENGAGEMENT (COE)

April 16, 2020

#### Statement of Support

China Alliance of Social Value Investment (CASVI) supports the ten principles of the UN Global Compact with respect to human rights, labor, environment and anti-corruption. With this commitment, we express our intent to support the Global Compact advancing these principles and will make a clear statement of this commitment to our stakeholders and the general public.

We plan to share the Letter of Commitments and Communication on Engagement (COE) with our network member and other relevant stakeholders on our official announcement by CASVI's media channels. Before CASVI joined UN Global Compact on Dec 20, 2019, from the previous 2 years till now CASVI's work has fully aligned with the principles of UN Global Compact. Actions and outcome measurements are listed as below for reference. Any suggestions and feedbacks on our actions are welcome.

#### Period covered by this Communication on Engagement

From: 17 April 2018

To: 16 April 2020

Actions	Measurement of Outcome
<p><b>1. Join and/or propose partnership projects on corporate sustainability</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> To establish assessment system to comprehensively evaluate company's economic, social and environmental performances and engage the companies to improve their overall performance on corporate sustainability</li> </ul>	<p>CASVI has developed China's first sustainable development value assessment model for listed companies since 2017. Each year, CASVI has issued the sustainable development value <a href="#">assessment report for A-share Listed Companies</a>, rating and ranking for the top performers. The reports were widely shared among China's mainstream media, listed companies, stock exchanges, fund companies and supervisory bureau at government and further motivated the listed companies to continue improving corporate governance aligned with sustainable development.</p> <p>Since 2018, CASVI partnered with China's</p>

	<p>mainstream finance media and co-launched <a href="#">Sustainable Development Summit</a> and Launching Ceremony for the Sustainable Development Value Assessment Report with over 300 audiences from financial institutions, listed companies, international organizations, media and academia invited. The Summit contributes to advancing the promotion of corporate sustainability and calling for more funding to flow into the fields related to SDGs.</p>
<p><b>2. Engage companies in Global Compact-related issues</b></p> <ul style="list-style-type: none"> <li>□ To engage fund company and mainstream institutional investors in sustainable investing and financing the gap for 2030 Agenda</li> </ul>	<p>CASVI partnered with Bosera Asset management company, one of top mutual fund companies in China, together launched China's first sustainable development-themed financial products – <a href="#">CSI Sustainable Development 100 ETF</a> – based on the assessment model CASVI has developed.</p> <p>CASVI's Chairman led the ETF roadshow among over 10 large institutional investors and ultimately raised 1.47 billion RMB at the IPO stage. Sovereign Funds, insurance companies, large commercial banks and foundations have jointly invested.</p>
<p><b>3. Join and/or support special initiatives and work streams</b></p> <ul style="list-style-type: none"> <li>□ To join global SDG impact assessment initiative and help promote &amp; localize the assessment tools</li> </ul>	<p>CASVI Chairman Weihua Ma was invited to join the <a href="#">Steering Group of UNDP SDG Impact Program</a> and UNDP China Advisor. CASVI actively cooperated with UNDP and country office in several aspects:</p> <ol style="list-style-type: none"> <li>1. Participated in the development of SDG Finance Taxonomy and Technical Report in China;</li> <li>2. Presented at the <a href="#">UNDP SDG Impact Steering Group Meeting</a>, shared the latest sustainable finance practices in China and provided feedbacks &amp; suggestions on the global initiative.</li> <li>3. Helped convene investors and co-host the consultation session for SDG Impact Practice Assurance Standards for Private Equity with country office in China</li> </ol>

<ul style="list-style-type: none"> <li>□ To encourage innovative sustainable finance practices and promote SDGs and sustainable development finance</li>   <li>□ To join global networks that promote SDGs</li> </ul>	<p>CASVI, National School of Development at Peking University and Bosera Asset Management Company have co-initiated the <a href="#">Sustainable Finance Innovation Lab</a> in 2019 and set up a platform to incubate innovative sustainable finance practices. The Lab issues <a href="#">Sustainable Development Finance Frontiers (Chinese Version)</a> on a monthly basis to select and share latest sustainable finance practices and insights around the world.</p> <p>CASVI is the signatory of <a href="#">UN-supported PRI</a>, member of <a href="#">Global Impact Investment Network (GIIN)</a> and <a href="#">Asian Venture Philanthropy Network (AVPN)</a>.</p>
---	--