

CNI ESG Products

-Leading the responsible investment in China

We define the ESG ratings on over 3000 A-share companies.

Let local market expert provide you reliable and customized ESG products

WHAT WE OFFER

-ESG Ratings -ESG Indexes -ESG Database

KEY FEATURES

◇ More than 10 years local market expertise in ESG research

CNI ESG Ratings and the relevant database were launched since 2005 and optimized for the first time in 2009.

◇ Broad coverage

Ratings and scores on over 3,000 companies listed on Shenzhen Stock Exchange and Shanghai Stock Exchange. In 2017, 265 fixed income securities in China's green bond market are added in the universe. We expect to add eligible HKEX listed companies under SZ-HK stock connect as well as China's mutual fund market into the universe of CNI ESG Ratings. Historical ESG data is also available in the ESG database.

◇ Objective and quantitative evaluation

We provide data on company level and sector level. Each company is regularly monitored and reviewed, and scored through over 20 indicators using hundred-mark system, the figure is even account to two decimal places.

◇ Incomparable advantages in reliable data source and local market expertise

We operate the authoritative website, "Cninfo" ((www.cninfo.com.cn), designated by China Securities Regulatory Commission to disclose domestic listed companies' information and announcement. All the financial data of listed companies used in CNI ESG ratings is derived from our own CNI Database. CNI Database is one of the largest capital market databases in China with data capacity over 60TB. The database covers market data of SZSE, SSE and HKSE and is the major basic data provider to those data vendors by capturing 80% of market share.

We have skilled professionals with over 10-year experience in China's listed companies':

- ◇ financial reports research and analysis,
- ◇ financial data acquisition, mining and maintenance,
- ◇ industry classification and investable theme classification, etc.



◇Diversified ESG thematic indexes and portfolio solutions

We provide ESG thematic equity indexes and fixed income indexes to provide industry benchmarks, research materials and investable indexes for developing index products.

◇Powerful ESG partners and think-tank

We import local and overseas leading ESG specialists to offer more and more credible and professional ESG products and service. Some of them are standing members of Green Finance Committee (GFC) of China Society of Finance and Banking, and engage in setting up the green finance standards assist with the government.

Welcome to join us!

Our Partners

CECEP



China Energy Conservation and Environmental Protection Group (CECEP) is the only central enterprise and the largest service-oriented scientific industrial group focusing on the energy conservation and environmental protection field in China. The Group owns 543 subsidiaries and 8 listed companies. CECEP has always been concentrating on building the "overall industry chain" and providing integrated solutions and systematic services over the world.

CUFE IIGF

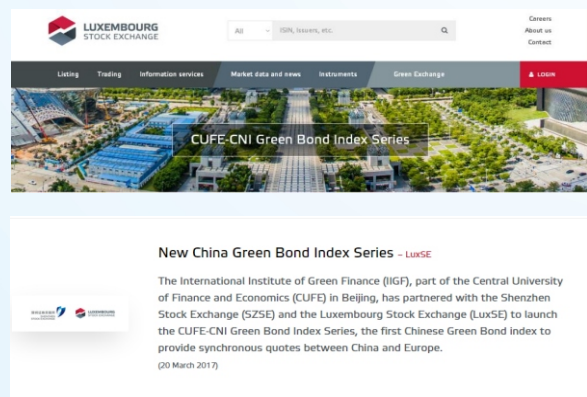


International Institute of Green Finance (IIGF) of Central University of Finance and Economics (CUFE), is known as the first international research institute in China whose goal is to promote the development of green finance. The IIGF aims to cultivate the economic environment and social atmosphere with the spirit of green finance and to build the domestic first-class, the global leading financial think tank with Chinese characteristics.

CCTV(China Central Television) Financial Channel



Luxemburg Stock Exchange



CNI ESG RATINGS & UNIVERSE

◇CNI Governance Ratings System

4 dimensions, **23** indicators, full mark of **100**.

Shareholders' right and code of conduct	Ownership Structure
	Protection of shareholders' rights
	Independence of Listed Companies
Board of directors and board of supervisors	Whether the size of the board is reasonable
	Whether the independent directors account for more than one third of the total number of directors
	Whether the directors and the secretaries are trained through the exchange
	Whether the board of supervisors objected to the illegal and irregularities of the company
The integrity of information disclosure	Supervisor attends the situation of the board of supervisors
	Timeliness
	Accuracy
Operational performance	Full integrity
	Total assets profit margins of the last three years
	ROE of the last three years

Regarding the list of all the indicators and the standard of scoring, please contact us for more information.

The final score based on CNI Governance Ratings System is the determining factor for selecting eligible stocks of CNI Governance Thematic Indexes.

◇Universe of CNI Social Thematic Indexes

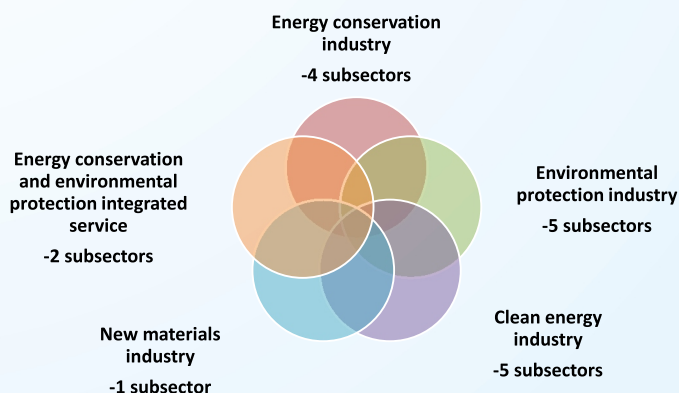
To construct the universe of CNI Social Thematic Indexes, all eligible stocks should meet the criterion of achieving a score above **75/100** based on the CNI Governance Ratings System.

Companies' financial performance in net income, tax revenue, employees' salaries, interests of loans, as compared to their net assets, are also the qualitative evaluation indicators.

◇Universe of China's energy conservation and environment protection industries: CECEP Classification

To develop China's energy conservation and environment protection industries classification standard, we cooperate with CECEP Consulting Co., Ltd., the fully owned consulting and research institution of CECEP. SZSE Energy Conservation Index is created based on the CECEP Classification to track the performance of SZSE listed companies focusing on the energy conservation and environment protection yield.

Energy Conservation and Environmental Protection Industry Classification



130 A-share listed companies meet the standard, **71%** comes from Shenzhen Stock Exchange and **62%** is from the SME board and ChiNext market.

Regarding the list of all the subsectors and companies, please contact us for more information.

◇ **Universe of China's Green Bond: GFC Catalogue**

Based on the use of bond proceeds, the GFC Catalogue of China's Green Bond is defined as 6 categories and 31 sub-categories.

Energy Saving	Pollution Prevention and Control	Resource Conservation and Recycling
Clean Transportation	Clean Energy	Ecological Protection and Climate Change Adaption

Regarding the list of all the subsectors and bonds, please contact us for more information.

CUFE-CNI Green Bond Index Series are compiled based on the GFC catalogue with the following characteristics:

- ◇ Conforming to national conditions
- ◇ In line with international practice
- ◇ Track the performance of both labeled and unlabeled green bonds in China
- ◇ Synchronously quoted in China and Europe (Luxembourg Stock Exchange)

OUR ESG INDEXES

Our first ESG Index- CNI Corporate Governance Index was launched in December 2005 with the historical data available from the end of 2002.

Environmental Indexes	SZSE Environmental Protection Index
	SZSE Energy Conservation Index
	CNI TEDAEP Index
	CCTV 50 Ecology Industry Index
	CUFE-CNI High Grade Green Bond Index
	CUFE-CNI High Grade Unlabeled Green Bond Index
	CUFE-CNI High Grade Labeled Green Bond Total Return Index
Social Indexes	SZSE Corporate Social Responsibility Index
	SZSE SME Corporate Social Responsibility Index
	CCTV 50 Corporate Social Responsibility Index
	CNI-CBN-AEGON-Industrial Corporate Social Responsibility Index
	SZSE Corporate Governance Index
Governance Indexes	SZSE SME Corporate Governance Index
	CNI Corporate Governance Index
	CCTV 50 Corporate Governance Index

Regarding the list of all the indicators and the standard of scoring, please contact us for more information.

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For more information, please visit www.cnindex.com.cn

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