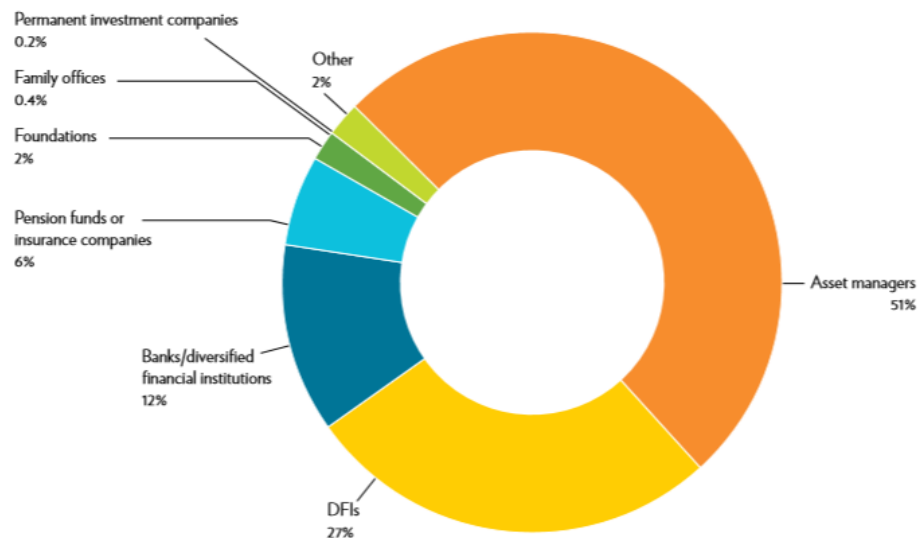




## Appendix A – Original Documents

FIGURE 4. AUM by organization type

n = 1,340; figures represent direct investments only, as of the end of 2018.



Note: Total AUM represented in chart is USD 418 billion, which is the aggregate AUM before accounting for organizations not included in the database. (See Methodology for more details).  
‘Other’ includes corporations, community development finance institutions, and non-governmental organizations.  
Source: GIIN

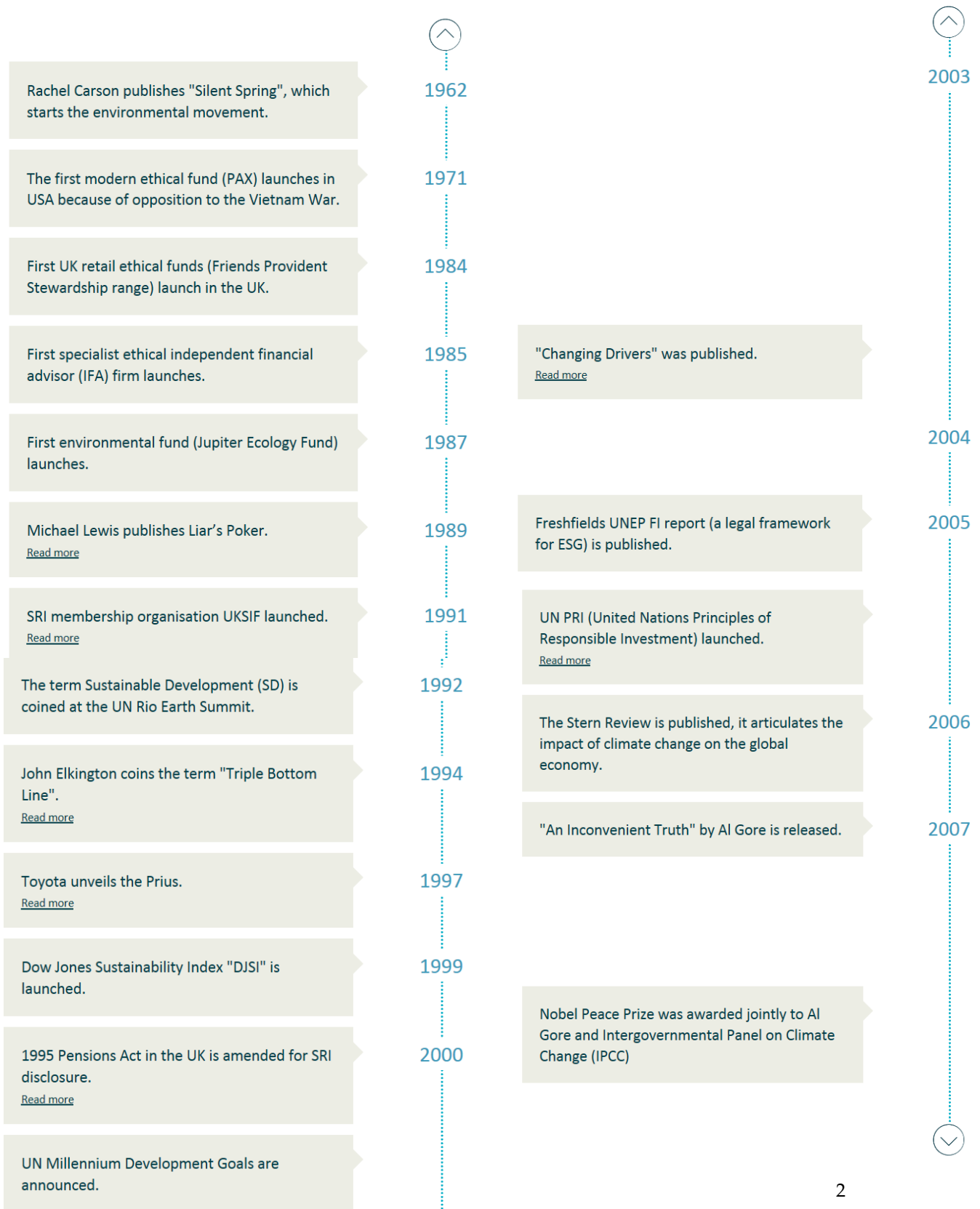
Figure 1 – AUM by organization type<sup>1</sup>

<sup>1</sup> “Sizing the Impact Investing Market” ([bit.do/impact-investing](http://bit.do/impact-investing)).

*This case was written by Jasmine Wang, Robin Lewis, Adam Stepan, Charles Euchner and Sarah Johnson for the Picker Center Digital Education Group at Columbia’s School of International and Public Affairs (SIPA). The faculty sponsors are Professors William B. Eimicke and Howard W. Buffett. It was developed with support provided by Chain DD.*

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### Sustainability Milestones



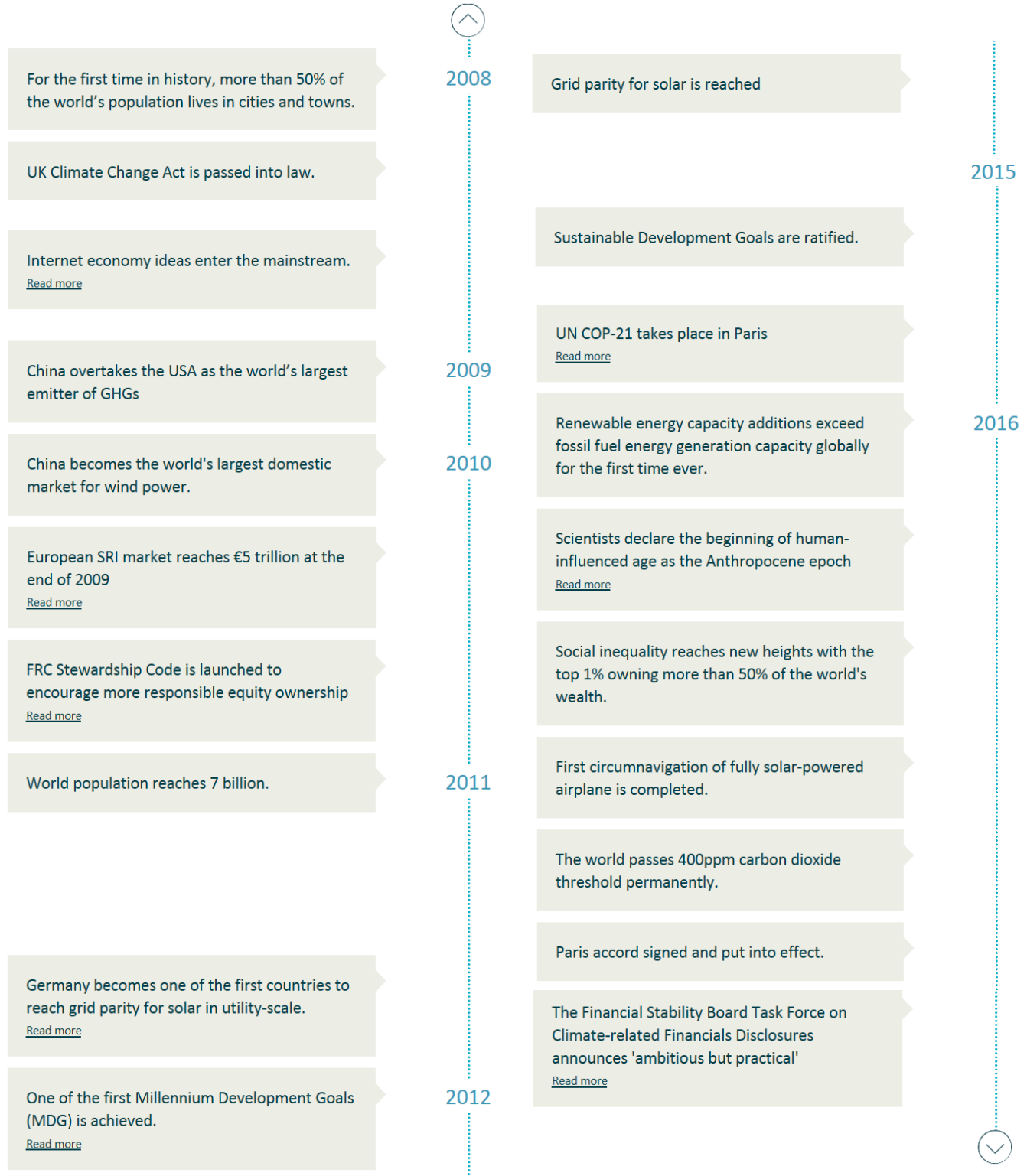


Figure 2 – Sustainability Milestones 1962-2016<sup>2</sup>

<sup>2</sup> Generation Investment Management, "Sustainability Milestones" (bit.do/genim-milestones).

## ESG Research – Engagements

ROCKEFELLER  
CAPITAL MANAGEMENT

*Through active ownership and open access, we are continuously evolving our investment thesis in real time*

ESG Engagements (1Q2019)		
Company	Sector	Issues Discussed
ConocoPhillips	Energy	TCFD Reporting; Water and its impact on cost of production; potential hiring initiative for formerly incarcerated people
Total SA	Energy	Ibama's denial to let Total drill offshore of Brazil; use of palm oil
KDDI Corporation	Communication Services	SASB Reporting; Gender diversity at board and executive management level
KT Corporation	Communication Services	Health implications of 5G
Reinsurance Group of America	Financials	ESG disclosures
Facebook, Inc.	Communication Services	Independent Board Chair; use of data by third-parties; working with vendors; cybersecurity; hate speech and content monitoring; incorporation of social criteria in procurement (health care for outsourced content monitoring employees)
Swedbank AB	Financials	AML
ABN Amro Group N.V.	Financials	AML

Certain examples are intended to demonstrate aspects of Rockefeller Capital Management's engagement process with companies. Rockefeller Capital Management may take different approaches with other companies and there is no guarantee that any engagement effort will be successful.

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Figure 3 – Rockefeller Capital Management – ESG Engagements Q1 2019<sup>3</sup>

<sup>3</sup> Rockefeller Capital Managements, "ESG Research—Engagements" ([bit.do/esg-engagements](http://bit.do/esg-engagements)).

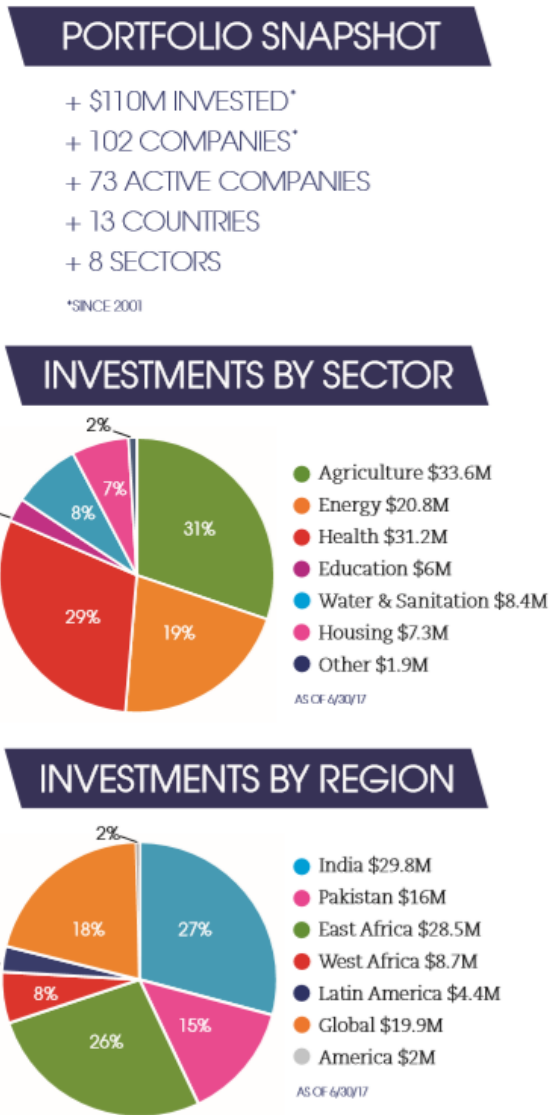


Figure 4 – Acumen Portfolio<sup>4</sup>

<sup>4</sup> “Acumen Capital: Patient Capital” ([bit.do/acumen-patient](http://bit.do/acumen-patient))..

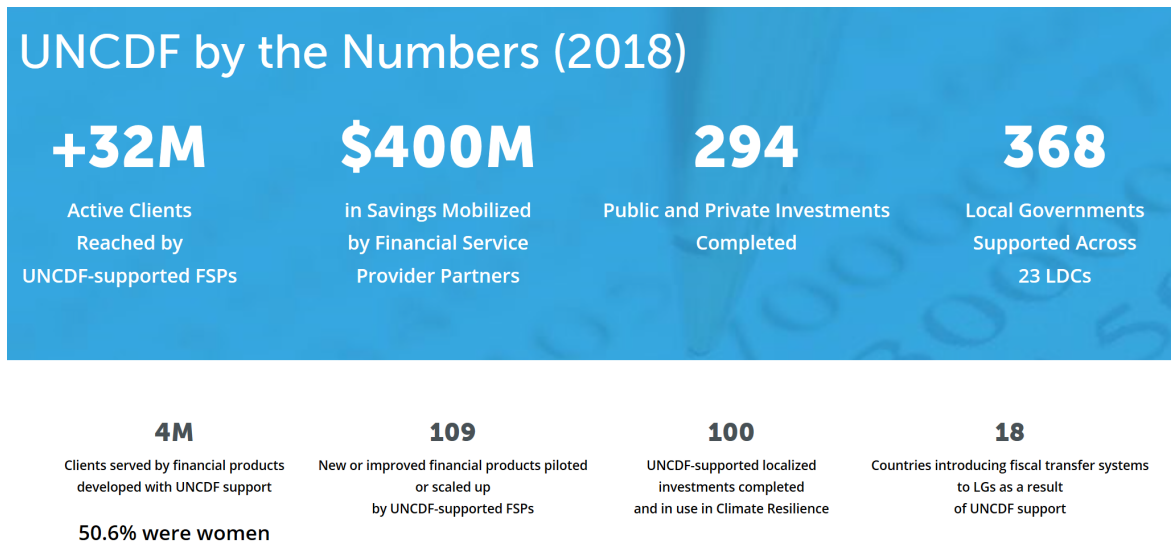


Figure 5 – UNCDF by numbers<sup>5</sup>

<sup>5</sup> <https://www.uncdf.org/>