



FUTUR PENSION

2019

ENGAGEMENT
REPORT

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ENGAGEMENT STRATEGY

FUTUR PENSION'S STRATEGY FOR ENGAGEMENT

Futur Pension believes it to be of great importance to, on behalf of the clients, encourage companies globally to adopt more sustainable business practices. In order to exercise influence Futur Pension, together with other institutional investors, participates in Pooled Engagement facilitated by ISS ESG. Through the pool, Futur Pension can proactively and reactively engage with companies that have been found to be failing to respect established international standards for Responsible Business Conduct.

Futur Pension uses the Pooled Engagement service of ISS ESG to help facilitate its engagement activities. For more information about ISS ESG and the Pooled Engagement service, we refer you to Appendix A to this report.

THE POOLED ENGAGEMENT PROCESS

Pooled Engagement focuses on companies that are assessed under ISS ESG's Norm-Based Research service to be involved in alleged or verified severe, systematic or systemic failures to respect international norms. At the outset of engagement, clear and actionable objectives are defined on the basis of expectations on the company's ability to address shortcomings in the context of its specific business sector and relevant industry standards. These objectives fall under four key categories (Disclosure, Implementation, Remediation, Termination) and progress is measured against four milestones (No measure announced, Commitment expressed, Measures initiated, Credible measures adopted).

Information provided by the company through the dialogue and interactions under the Pooled Engagement process is assessed against the objectives established at the outset of engagement and a decision is then taken on the outcome of the engagement. Where the fulfilment of the objectives has been met and a determination made that the controversy, or the risk thereof has been resolved, the engagement will be closed. If there is insufficient information to determine whether the fulfilment of objectives have been met the engagement will be extended. Alternatively, where there is a poor outlook for the achievement of objectives for the engagement, the engagement will be discontinued.



DEFINE OBJECTIVE

E.g. insights into poor practice, policy update, policy implementation



CONDUCT DIALOGUE

Formal letters, phone, email, conference calls, meetings



ASSESS RESPONSE

Verify response with stakeholders and experts, evaluate against assessment



END

Close (objectives met)
OR Extend (insufficient information)
OR Discontinue (poor outlook)

THE ENGAGEMENT CYCLE

The engagement cycle is initiated with the outreach to the company. Over time, responsiveness is noted with most companies with which engagement is sought. Others require repeated follow-ups to respond, and some steadfastly fail to respond to investor concerns. To address these challenges in communication, regular and courteous follow-up is built into the Pooled Engagement approach. Once every effort has been made to engage both Investor Relations and a company's Executive Management, the feasibility of engagement is re-evaluated.



MONTH 1

Engagement letter or meeting invitation to establish contact



MONTH 2-5

Reminder



MONTH 6-7

Letter to CEO



MONTH 8

Escalation to Board



MONTH 12

Re-evaluation

ENGAGEMENT RESULTS

OVERALL ENGAGEMENT STATISTICS

Futur Pension participated in 134 separate company engagements held during 2019, covering 204 individual ESG topics across 60 different locations across the globe. The engagements were facilitated by Futur Pension's ESG service provider, ISS ESG. The statistics below present an overview of companies' subject to engagement outreach.

58% of 134 companies provided responses to the investor outreach. In contrast to previous years, 2019 saw a spike in the social issues that were engaged on.

Charts 1-4: Summary charts of engagements initiated and conducted for the period commencing 1st January 2019 to the 31st December 2019

Chart 1

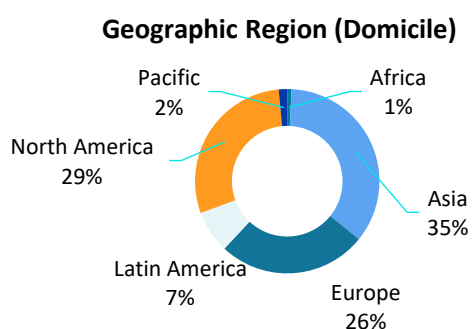


Chart 2

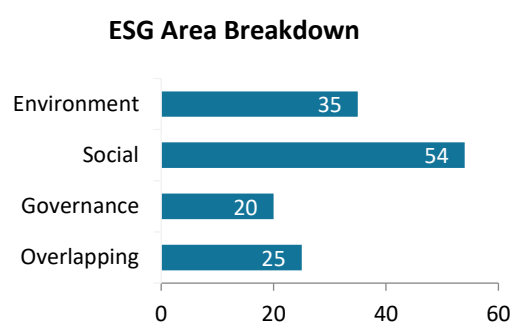


Chart 3

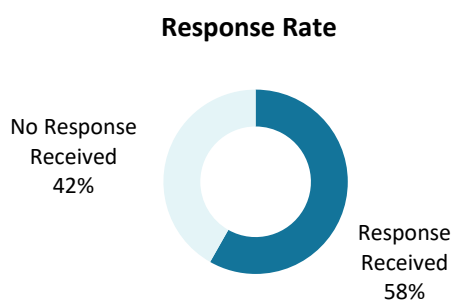
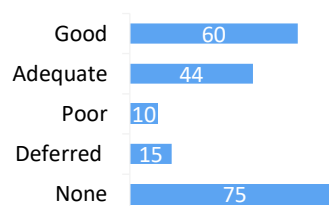


Chart 4

Quality of Participation





ENGAGEMENT THEMES IN 2019

ISS ESG conducted 149 engagements in total during 2019, covering 221 individual ESG topics across 62 different locations across the globe.

The engagements are categorized under the four UN Global Compact areas: human rights; labour rights; environment and anti-corruption. Union rights were the dominant labour rights theme, with a focus on working conditions following. The majority of environment-focused engagements related to corporate management of incidences involving water, air, and soil pollution. For companies facing controversies on their anti-corruption management systems, engagement focused on their efforts to address reported incidences of bribery and money laundering. The following table provides an overview of major engagement themes in 2019.

Table 1: Major engagement themes in 2019 based on topic area (multiple topic areas may be relevant under an individual engagement)

UN GLOBAL COMPACT PRINCIPLES	NORM AREA		TOPIC AREA
1-2		Human Rights	Living standards
			Poor stakeholder consultation
3-6		Labour Rights	Union rights
			Just and favourable conditions of work
7-9		Environment	Pollution (air, water and soil)
			Depletion of biodiversity
10		Anti-Corruption	Bribery
			Money laundering

2019 ENGAGEMENT DETAILS

ENGAGEMENTS IN 2019

The following lists all engagement dialogues that were held during 2019. Where dialogue was established, the tables presents the milestones achieved against the objectives for the engagement.


For companies that did not provide an initial response, reminders were submitted to the investor relations department, to the attention of the CEO and, ultimately, to the attention of the Board Chairperson within a 12-month period. For these companies, information is provided on the status of the reminder and escalation process.




Dialogues held in the year ending 31 December 2019

AbbVie, Inc.			ISIN US00287Y1091
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019	
THEME Bribery			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	


Aegea Saneamento e Participações SA			ISIN US00775CAA45
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019	
THEME Bribery			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	


ALROSA PJSC			ISIN RU0007252813
	SDG ALIGNMENT	QUARTER Q2 2019	


	SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		
THEME Environmental impacts: Pollution; Depletion of biodiversity			LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated	
THEME Working conditions: Occupational health and safety			LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Credible measures adopted	
Amazon.com, Inc.			
ISIN US0231351067			
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization		QUARTER Q1 2019
THEME Working conditions			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	
THEME Taxation			LOCATION Luxembourg
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	

Anheuser-Busch InBev SA/NV			ISIN AU3CB0231827
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2019	
THEME Working conditions: Union rights			LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	
THEME Working conditions			LOCATION India
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	
Bayer AG			ISIN XS0225369403
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019	
THEME Bribery			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
Biogen, Inc.			ISIN US09062X1037
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019	
THEME Bribery			LOCATION United States


GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


Bombardier, Inc.		ISIN CA0977512007
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2019
THEME Bribery		LOCATION Azerbaijan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


BP Plc		ISIN US0556221044
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q1 2019
THEME Stakeholder consultation: Pollution; Living standards		LOCATION Italy
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

CaixaBank SA		ISIN ES0140609019
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q3 2018
THEME Money laundering		LOCATION Spain
DISCLOSURE		IMPLEMENTATION OF POLICIES


GOALS SET & MILESTONES ACHIEVED	Credible measures adopted	Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


Companhia Paranaense de Energia		ISIN BRCPLEACNPB9
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage	QUARTER Q2 2019
THEME Environmental impacts: Depletion of biodiversity		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


Corporación Financiera Colombiana SA		ISIN COJ12PA00048
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2018
THEME Bribery		LOCATION Colombia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A

Daimler AG		ISIN DE0007100000
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced


GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
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Danske Bank A/S		ISIN XS0214318007
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q4 2018
THEME Money laundering		LOCATION Estonia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Measures initiated


Enagás SA		ISIN ES0130960018
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q1 2019
THEME Stakeholder consultation: Pollution; Living standards		LOCATION Italy
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A


Eni SpA		ISIN IT0003132476
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals; SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms; SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth;	QUARTER Q2 2019


	SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		
THEME Environmental impact: Air, water and soil pollution			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated	
THEME Bribery			LOCATION Algeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced	
THEME Bribery			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES N/A	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATION Kazakhstan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Working conditions			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	


Entergy Corp.			ISIN US29364GAF00
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019	
THEME Climate change			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A	

EXOR NV			ISIN IT0001353140
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019	
THEME Air pollution			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	


Exxon Mobil Corp.			ISIN US30231G1022
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019	
THEME Climate change			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A	


Evergy, Inc.		ISIN US30034W1062
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019
THEME Climate change		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A


Facebook, Inc.		ISIN US30303M1027
	SDG ALIGNMENT N/A	QUARTER Q2 2019
THEME Social discrimination		LOCATION Myanmar
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Credible measures adopted
THEME Cybersecurity		LOCATION EU
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

FGV Holdings Bhd.		ISIN MYL52220O004
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests	QUARTER Q1 2019
THEME Environmental impacts: Deforestation		LOCATION Indonesia
DISCLOSURE		IMPLEMENTATION OF POLICIES


GOALS SET & MILESTONES ACHIEVED	Commitment expressed	Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A


Fiat Chrysler Automobiles NV		ISIN NL0010877643
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced

First Pacific Co. Ltd.		ISIN BMG348041077
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome; SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q3 2019
THEME Working conditions		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

G4S Plc		ISIN GB00B01FLG62
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; 3.4: Reduce by one third premature mortality from non-communicable diseases; SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration;	QUARTER Q3 2019


	SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	
THEME Children's rights		LOCATION United Kingdom
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION No measures announced


Gazprom Neft PJSC		ISIN RU0009062467
	SDG ALIGNMENT SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems	QUARTER Q1 2019
THEME Environmental impacts		LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

Gazprom PJSC		ISIN RU0007661625
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage	QUARTER Q1 2019
THEME Environmental impacts		LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A


Golden Agri-Resources Ltd.		ISIN MU0117U00026
	SDG ALIGNMENT	QUARTER Q2 2019


	SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		
THEME Bribery			LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	


Grupo México S.A.B. de C.V.			ISIN MXP370841019
	<p>SDG ALIGNMENT</p> <p>SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>		QUARTER Q2 2019
THEME Environmental impacts: Air, water, soil pollution			LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced	
THEME Human rights			LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A	

Indivior PLC		ISIN GB00BRS65X63
	SDG ALIGNMENT N/A	QUARTER Q3 2019
THEME Consumer rights		LOCATION United States
DISCLOSURE		IMPLEMENTATION OF POLICIES


GOALS SET & MILESTONES ACHIEVED	No measures announced	N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated


Indofood Agri Resources Ltd.		ISIN SG1U47933908
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour; SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q3 2019
THEME Working conditions		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated


ING Groep NV		ISIN US456837AC74
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q3 2019
THEME Money laundering		LOCATION Netherlands
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated


JBS SA		ISIN USP59695AC39
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 15: Life on Land; 15.2: Sustainable management of all types of forests;	QUARTER Q4 2019


	SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species; SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		
THEME Environmental impacts: Deforestation; Depletion of biodiversity			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION No measures announced	
THEME Working conditions: Occupational health and safety			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	
THEME Bribery			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced	


Jindal Steel & Power Ltd.			ISIN INE749A01030
	<p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>		QUARTER Q3 2018
THEME Bribery			LOCATION India
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	


THEME Stakeholder consultation: Living standards; Water		LOCATION Mozambique
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
Korea Electric Power Corp.		ISIN KR7015760002
	<p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services;</p> <p>SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere</p>	QUARTER Q4 2018
THEME Environmental impacts: Climate change		LOCATION South Africa
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Stakeholder consultation: Living standards		LOCATION Cambodia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Stakeholder consultation: Living standards		LOCATION Laos
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated


Loomis AB			ISIN SE0002683557
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q3 2019
THEME Working conditions			LOCATION Turkey
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION No measures announced	


MDU Resources Group, Inc.			ISIN US5526901096
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning		QUARTER Q1 2019
THEME Climate change			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	


MMC Norilsk Nickel PJSC			ISIN RU0007288411
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes		QUARTER Q2 2019
THEME Environmental impacts: Air pollution; Right to health			LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed	


NHPC Ltd.			ISIN INE848E01016
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage; SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q3 2018	
THEME Indigenous rights; Environmental impacts			LOCATION India
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	

NorthWestern Corp.			ISIN US6680743050
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019	
THEME Climate change			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	


Oil Co. LUKOIL PJSC			ISIN RU0009024277
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019	
THEME Environmental impacts: Pollution; Oil spills			LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Measures initiated	


Peab AB			ISIN SE0000106205
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		QUARTER Q1 2019
THEME Bribery			LOCATION Sweden
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	

Peabody Energy Corp.			ISIN US7045491047
	SDG ALIGNMENT SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change		QUARTER Q1 2019
THEME Climate change			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	


Petróleo Brasileiro SA			ISIN BRPETRACNOR9
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes; SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems; SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		QUARTER Q4 2019
THEME Bribery			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Credible measures adopted	

THEME Environmental impacts: Oil spills; Depletion of biodiversity		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced


PG&E Corp.		ISIN US69331C1080
	SDG ALIGNMENT N/A	QUARTER Q4 2019
THEME Consumer health and safety		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Credible measures adopted

POSCO		ISIN US6934831099
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services; SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 15: Life on Land; 15.2: Sustainable management of all types of forests, 15.5: Protect and prevent the extinction of threatened species	QUARTER Q1 2019
THEME Indigenous rights		LOCATION India
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

THEME		LOCATION
Environmental impacts: Illegal logging; Depletion of biodiversity		Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed
THEME		LOCATION
Living standards: Forced displacement; Right to life		Myanmar
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A
THEME		LOCATION
Working conditions: Union rights		Turkey
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME		LOCATION
Forced labour		Uzbekistan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

POSCO INTERNATIONAL Corp.		ISIN KR7047050000
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services; SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 15: Life on Land; 15.2: Sustainable management of all types of forests, 15.5: Protect and prevent the extinction of threatened species	QUARTER Q1 2019
	THEME	LOCATION


Environmental impacts: Illegal logging; Depletion of biodiversity		Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed
THEME Living standards: Forced displacement; Right to life		LOCATION Myanmar
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A
THEME Working conditions: Union rights		LOCATION Turkey
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Forced labour		LOCATION Uzbekistan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A


PT Indofood Sukses Makmur Tbk		ISIN ID1000057003
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q3 2019
THEME Working conditions		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated


PT Perusahaan Perkebunan London Sumatra Indonesia Tbk			ISIN ID1000082407
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q3 2019	
THEME Working conditions			LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	
PT Salim Ivomas Pratama Tbk			ISIN ID1000119100
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2019	
THEME Working conditions: Union rights			LOCATION Colombia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	
Pyxus International, Inc.			ISIN US0187721032
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2018	
THEME Working conditions			LOCATION Zimbabwe
	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	

GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A
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Renault SA		ISIN FR0000131906
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION France
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Working conditions: Union rights		LOCATION Turkey
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

Rosneft Oil Co.		ISIN RU000A0J2Q06
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage; SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems	QUARTER Q4 2019
THEME Environmental impacts: Air, water and soil pollution		LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed


Royal Dutch Shell Plc			ISIN GB00B03MM408
	SDG ALIGNMENT		QUARTER Q4 2019
THEME Working conditions			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	
THEME Living standards: Health; Stakeholder consultation			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	
THEME Pollution			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	

Ryanair Holdings Plc			ISIN US7835131043
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q1 2019
THEME Working conditions: Union rights			LOCATION Netherlands
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	
THEME			LOCATION


Working conditions: Union rights; Living wage			Belgium
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION No measures announced	
THEME Working conditions: Union rights			LOCATION Italy
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	
THEME Working conditions: Union rights			LOCATION Portugal
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	
THEME Working conditions: Union rights			LOCATION Spain
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	


Sanofi			ISIN US80105NAG07
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019	
THEME Bribery			LOCATIONS Bahrain
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS


			Disputed Territories
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS Jordan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS Kazakhstan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS Kuwait
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS Lebanon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS Oman
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS

			Qatar
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS United Arab Emirates,
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
THEME Bribery			LOCATIONS Yemen
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
SBM Offshore NV			ISIN NL0000360618
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		QUARTER Q3 2018
THEME Bribery			LOCATIONS Angola, Equatorial Guinea, Iraq, Kazakhstan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	


THEME Bribery		LOCATIONS Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


SK Holdings Co., Ltd.		ISIN KR7034730002
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services	QUARTER Q4 2018
THEME Stakeholder consultation: Living standards		LOCATION Cambodia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


SK Innovation Co., Ltd.		ISIN KR7096770003
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage	QUARTER Q3 2017
THEME Indigenous rights		LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

SLC Agricola SA		ISIN BRSLEACNOR2
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests, SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q1 2019
THEME		LOCATION


Climate change		Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A


Southern Copper Corp.		ISIN US84265VAA35
	SDG ALIGNMENT SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q2 2019
THEME Environmental Impacts: Pollution; Poor waste management		LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced
THEME Stakeholder consultation: Living standards; Right to water		LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A


Swedbank AB		ISIN SE0001877739
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q4 2019
THEME Money laundering		LOCATION Estonia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

Tesla, Inc.			ISIN US88160R1014
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q3 2019
THEME Working conditions: Union rights			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	


The Boeing Co.			ISIN US0970231058
	SDG ALIGNMENT N/A		QUARTER Q4 2019
THEME Right to life			LOCATION Ethiopia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	
THEME Right to life			LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	
THEME Consumer rights; Right to life			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	


The GEO Group, Inc.			ISIN US36159R1032
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration		QUARTER Q3 2019
THEME Human rights due diligence			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	
THEME Forced labour			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	


The Goldman Sachs Group, Inc.			ISIN US38141EA257
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		QUARTER Q3 2019
THEME Bribery			LOCATION United Arab Emirates
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced	


Tokyo Electric Power Co. Holdings, Inc.			ISIN JP3585800000
	SDG ALIGNMENT		QUARTER Q2 2019


	SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems		
THEME Environmental impacts: Radioactive pollution			LOCATION Japan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated	

Top Glove Corp. Bhd.			ISIN MYL711300003
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour;</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>		QUARTER Q2 2019
THEME Working conditions			LOCATION Malaysia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	

Total SA			ISIN US89151E1091
	SDG ALIGNMENT SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials		QUARTER Q4 2018
THEME Environmental impacts: Pollution			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	


UnitedHealth Group, Inc.			ISIN US91324PAX06
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; 3.8: Achieve universal health coverage	QUARTER Q3 2019	
THEME Consumer rights: Deceptive and misleading practices			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION No measures announced	

Universal Corp.			ISIN US9134561094
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2018	
THEME Working conditions: Occupational health and safety			LOCATION Zimbabwe
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A	


Vale SA			ISIN US91912E1055
	SDG ALIGNMENT SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2019	
THEME Environmental impacts: Pollution; Waste management; Depletion of biodiversity			LOCATION Brazil
	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	


GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Working conditions: Occupational health and safety		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

Vestas Wind Systems A/S		ISIN DK0010268606
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2019
THEME Indigenous rights		LOCATION Kenya
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed
THEME Working conditions: Occupational health and safety		LOCATION Spain
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed


Volkswagen AG		ISIN DE0007664005
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Pollution		LOCATION Germany
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE	REMEDIAL ACTION


	N/A	Measures initiated
THEME Environmental impacts: Pollution		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Credible measures adopted

Wal-Mart de México SAB de CV		ISIN MXP810081010
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2019
THEME Bribery		LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Credible measures adopted
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A


Walmart, Inc.		ISIN US9311421039
	SDG ALIGNMENT SDG 5: Gender Equality; 5.1: End all forms of discrimination against all women and girls; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2019
THEME Workplace discrimination: Gender		LOCATION United Kingdom
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Working conditions: Union rights		LOCATION United States

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION No measures announced


Weyerhaeuser Co.		ISIN US962166BV52
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage	QUARTER Q2 2019
THEME Indigenous rights		LOCATION Canada
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A


Whirlpool Corp.		ISIN US96332HCD98
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2018
THEME Taxation		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A


Unresponsive companies as at 31 December 2019




Adani Enterprises Ltd.		ISIN INE423A01024
	SDG ALIGNMENT SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials;	QUARTER Q1 2019

<p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage;</p> <p>SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change;</p> <p>SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems</p>	
<p>THEME</p> <p>Environmental impacts: Climate change; Depletion of biodiversity; Illegal logging</p>	<p>LOCATION</p> <p>Australia; India</p>
<p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.</p>	


AMP Ltd.		ISIN AU000000AMP6
	SDG ALIGNMENT N/A	QUARTER Q4 2018
THEME Consumer Rights		LOCATION Australia
STATUS OF ENGAGEMENT Engagement has been suspended as the company has failed to respond to engagement outreach (in spite of reminder and the escalation process).		


AUDI AG		ISIN DE0006757008
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental Impacts: Pollution		LOCATION Germany; United States
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.		





BLD Plantation Bhd.		ISIN MYL506900009
	SDG ALIGNMENT SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change;	QUARTER Q4 2019

<p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests;</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	
<p>THEME</p> <p>Climate Change; Environmental impacts: Depletion of biodiversity; Deforestation</p>	<p>LOCATION</p> <p>Malaysia</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>	
<p>Bunge Ltd.</p>	
<p>ISIN</p> <p>BMG169621056</p>	
<p> SDG ALIGNMENT</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests</p>	<p>QUARTER</p> <p>Q4 2019</p>
<p>THEME</p> <p>Environmental impacts: Deforestation; Depletion of biodiversity</p>	<p>LOCATION</p> <p>Brazil</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>	
<p>Cal-Comp Electronics (Thailand) Public Co., Ltd.</p>	
<p>ISIN</p> <p>TH0639010R13</p>	
<p> SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour;</p> <p>SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration</p>	<p>QUARTER</p> <p>Q4 2019</p>
<p>THEME</p> <p>Working conditions: Forced labour</p>	<p>LOCATION</p> <p>Thailand</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>	
<p>Cargill, Inc.</p>	
<p>ISIN</p> <p>US141781AX24</p>	
<p> SDG ALIGNMENT</p>	<p>QUARTER</p> <p>Q4 2019</p>


<p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour;</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests;</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	
<p>THEMES</p> <p>Environmental Impacts: Deforestation; Depletion of biodiversity and Forced labour</p>	<p>LOCATION</p> <p>Brazil and Uzbekistan</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>	


China Gold International Resources Corp. Ltd.		<p>ISIN</p> <p>CA16890P1036</p>
	<p>SDG ALIGNMENT</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	<p>QUARTER</p> <p>Q4 2018</p>
<p>THEMES</p> <p>Working conditions: Occupational health and safety; Stakeholder consultation: Forced displacement</p>		<p>LOCATION</p> <p>China</p>
<p>STATUS OF ENGAGEMENT</p> <p>Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).</p>		


China North Industries Group Corp. Ltd.		<p>ISIN</p> <p>CND100004H17</p>
	<p>SDG ALIGNMENT</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	<p>QUARTER</p> <p>Q3 2018</p>
<p>THEME</p> <p>Stakeholder consultation: Forced displacement</p>		<p>LOCATION</p> <p>Myanmar</p>
<p>STATUS OF ENGAGEMENT</p> <p>Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).</p>		




China Petroleum & Chemical Corp.		ISIN CNE1000002Q2
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2019
THEME Bribery		LOCATION China
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		
China Yangtze Power Co., Ltd.		ISIN CNE000001G87
	SDG ALIGNMENT SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q4 2019
THEME Environmental Impacts: Deforestation		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.		
Coca-Cola Amatil Ltd.		ISIN AU000000CCL2
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2019
THEME Working conditions: Union rights		LOCATION Indonesia
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.		
Contura Energy, Inc.		ISIN US21241B1008
	SDG ALIGNMENT SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change	QUARTER Q1 2019

THEME Climate change	LOCATION Philippines
STATUS OF ENGAGEMENT Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).	

Deutsche Bank AG		ISIN DE0003933511
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q2 2019
THEME Money laundering	LOCATION Russia; Virgin Islands	
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		

Ecopetrol SA		ISIN COC04PA00016
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers;</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	<p>QUARTER</p> <p>Q3 2018</p>
<p>THEME</p> <p>Environmental impacts: Pollution; Working conditions: Union rights</p>		<p>LOCATION</p> <p>Colombia</p>
<p>STATUS OF ENGAGEMENT</p> <p>Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).</p>		

Empresas Públicas de Medellín ESP		ISIN COE25CB00195
	<p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.10: Ensure public access to information and protect fundamental freedoms</p>	<p>QUARTER</p> <p>Q3 2018</p>
THEME		LOCATION

Stakeholder consultation: Living standards; Forced displacement		Colombia
<p>STATUS OF ENGAGEMENT</p> <p>Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).</p>		
First Quantum Minerals Ltd.		ISIN CA3359341052
	<p>SDG ALIGNMENT</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests;</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	QUARTER Q3 2019
	THEME Environmental impacts: Depletion of biodiversity; Deforestation	LOCATION Panama
<p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.</p>		
Formosa Plastics Corp.		ISIN TW0001301000
	<p>SDG ALIGNMENT</p> <p>SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</p>	QUARTER Q2 2019
	THEME Environmental impacts: Climate change; Pollution; Deforestation	LOCATION Panama
<p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.</p>		
ICICI Bank Ltd.		ISIN USY38575CZ07
	<p>SDG ALIGNMENT</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	QUARTER Q4 2019
	THEME Bribery	LOCATION India
STATUS OF ENGAGEMENT		

The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.

Iflytek Co., Ltd.

ISIN
CNE100000B81



SDG ALIGNMENT
N/A

QUARTER
Q4 2019

THEME

Human Rights due diligence: Social discrimination; Privacy

LOCATION

China

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.

Industrial & Commercial Bank of China Ltd.

ISIN
CNE000001P37



SDG ALIGNMENT

SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage;

SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands;

SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime;

SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels

QUARTER
Q3 2018

THEMES

Living Standards: Indigenous rights; Money laundering; Environmental impacts: Depletion of biodiversity

LOCATIONS

China and Ethiopia and Spain

STATUS OF ENGAGEMENT

Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).

Kinpo Electronics, Inc.

ISIN
TW0002312006





SDG ALIGNMENT


SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour;

QUARTER
Q4 2019

SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration	
THEME Working conditions: Forced labour	LOCATION Thailand
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.	


Lu Thai Textile Co., Ltd.		ISIN CNE000000ST8
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.b: Global strategy for youth employment	QUARTER Q2 2019
THEME Working conditions: Discrimination; Union rights		LOCATIONS Cambodia; Myanmar
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		


Mega First Corp. Bhd.		ISIN MYL306900001
	<p>SDG ALIGNMENT</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q4 2018
<p>THEMES</p> <p>Stakeholder consultation: Indigenous rights; Living standards; Environmental impacts: Depletion of biodiversity</p>		LOCATION Laos
<p>STATUS OF ENGAGEMENT</p> <p>Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).</p>		




Porsche Automobil Holding SE		ISIN DE000PAH0038
	SDG ALIGNMENT	QUARTER Q3 2019

SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	
THEME Environmental Impacts: Pollution	LOCATION Germany; United States
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.	

Power Construction Corporation of China, Ltd.		ISIN CNE1000017G1
	SDG ALIGNMENT SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q4 2018
THEME Environmental Impacts: Deforestation; Depletion of biodiversity	LOCATION Indonesia	
STATUS OF ENGAGEMENT Engagement has been suspended as the company has failed to respond (in spite of reminder and the escalation process).		

PT Sawit Sumbermas Sarana Tbk		ISIN ID1000130008
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage	QUARTER Q4 2019
THEME Environmental Impacts: Deforestation; Depletion of biodiversity		LOCATION Indonesia
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.		

PT Semen Indonesia (Persero) Tbk		ISIN ID1000106800
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services; SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q4 2019

<p>THEME</p> <p>Stakeholder Consultation: Living standards</p>		<p>LOCATION</p> <p>Indonesia</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>		
<p>PT Solusi Bangun Indonesia Tbk</p>		<p>ISIN</p> <p>ID1000072309</p>
	<p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	<p>QUARTER</p> <p>Q4 2019</p>
<p>THEME</p> <p>Stakeholder Consultation: Living standards</p>		<p>LOCATION</p> <p>Indonesia</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>		
<p>Ratch Group Public Co. Ltd.</p>		<p>ISIN</p> <p>TH0637010008</p>
	<p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere</p>	<p>QUARTER</p> <p>Q3 2018</p>
<p>THEME</p> <p>Stakeholder Consultation: Living standards</p>		<p>LOCATION</p> <p>Cambodia</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>		
<p>Red Rock Resorts, Inc.</p>		<p>ISIN</p> <p>US75700L1089</p>
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>	<p>QUARTER</p> <p>Q3 2019</p>
<p>THEME</p> <p>Working conditions: Union Rights</p>		<p>LOCATION</p> <p>United States</p>

STATUS OF ENGAGEMENT

As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.

ROSSETI PJSC

ISIN
RU000A0JPVJ0



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms

QUARTER
Q2 2019

THEME
Bribery

LOCATION
Russia

STATUS OF ENGAGEMENT

As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.

Sibanye Gold Ltd.

ISIN
US8257242060



SDG ALIGNMENT

SDG 1: No Poverty; 1.4: Equal rights to economic resources;
SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels

QUARTER
Q4 2019

THEME
Stakeholder Consultation: Living standards; Health; Water

LOCATION
South Africa

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.

SNAM SpA

ISIN
IT0003153415



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels




QUARTER
Q1 2019




THEME
Stakeholder Consultation: Living standards; Pollution

LOCATION
Italy

STATUS OF ENGAGEMENT

Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).

SNC-Lavalin Group, Inc.		ISIN CA78460T1057
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms; SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q4 2018
	THEMES Taxation and Bribery	LOCATIONS Senegal and Algeria; Bangladesh; Cambodia; Canada; Libya
STATUS OF ENGAGEMENT Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).		
Station Casinos LLC		ISIN US857691AB53
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2019
	THEME Working conditions: Union Rights	LOCATION United States
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.		
Sumitomo Corp.		ISIN JP3404600003
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2019
	THEME Working Conditions: Union rights; Living wage	LOCATION Honduras
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.		

TH Plantations Bhd.		ISIN MYL511200007
	<p>SDG ALIGNMENT</p> <p>SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change;</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests;</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	QUARTER Q4 2019
	THEME Environmental Impacts: Climate change; Deforestation; Depletion of biodiversity	LOCATION Indonesia
	<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>	
The Blackstone Group, Inc.		ISIN US09253U1088
	<p>SDG ALIGNMENT</p> <p>SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p>	QUARTER Q3 2018
	THEME Taxation	LOCATION United Kingdom
	<p>STATUS OF ENGAGEMENT</p> <p>Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).</p>	
Tongling Nonferrous Metals Group Co., Ltd.		ISIN CNE000000529
	<p>SDG ALIGNMENT</p> <p>SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials;</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q2 2019
	THEMES Environmental Impacts: Pollution and Stakeholder Consultation: Indigenous rights	LOCATIONS China and Peru
	<p>STATUS OF ENGAGEMENT</p>	

As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.

ViacomCBS, Inc.

ISIN
US124857AD56



SDG ALIGNMENT

SDG 5: Gender Equality; 5.1: End all forms of discrimination against all women and girls;

SDG 5: Gender Equality; 5.2: Eliminate all forms of violence against all women and girls

QUARTER
Q3 2019

THEME

Workplace Discrimination

LOCATION

United States

STATUS OF ENGAGEMENT

As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.

Volcan Compania Minera S.A.A.

ISIN
PEP648014202



SDG ALIGNMENT

SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials

QUARTER
Q3 2018

THEME

Environmental Impacts: Waste Management

LOCATION

Peru

STATUS OF ENGAGEMENT

Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).

Westmoreland Coal Co.

ISIN
US960887AB34



SDG ALIGNMENT

SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change

QUARTER
Q1 2019

THEME




Climate Change



LOCATION

Philippines

STATUS OF ENGAGEMENT

Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).

WTK Holdings Bhd.		ISIN MYL424300001
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage; SDG 15: Life on Land; 15.2: Sustainable management of all types of forests; SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q3 2018
	THEMES Environmental impacts: Deforestation; Depletion of biodiversity; Stakeholder consultation: Indigenous rights	LOCATIONS Malaysia and Papua New Guinea
	STATUS OF ENGAGEMENT Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).	
Xiamen Meiya Pico Information Co., Ltd.		ISIN CNE100001120
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q4 2019
	THEME Human rights due Diligence: Social discrimination; Privacy	LOCATION China
	STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.	
XPO Logistics, Inc.		ISIN US12612WAB00
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2018
	THEME Working conditions	LOCATION United States
	STATUS OF ENGAGEMENT Engagement has been suspended as the company has failed to respond (in spite of being subject to the reminder and the escalation process).	

Zhejiang Dahua Technology Co. Ltd.		ISIN CNE100000BJ4
	SDG ALIGNMENT N/A	QUARTER Q4 2019
THEME Human rights due Diligence: Social discrimination; Privacy		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.		
Zhejiang Huayou Cobalt Co., Ltd.		ISIN CNE100001VW3
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2018
THEME Working conditions: Occupational health and safety		LOCATION China
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.		
Zijin Mining Group Co., Ltd.		ISIN CNE100000502
	SDG ALIGNMENT SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials; SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage; SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q2 2019
THEMES Environmental impacts: Pollution; Human rights due diligence: Forced displacement; Stakeholder consultation: Indigenous rights		LOCATIONS China, Papua New Guinea and Peru
STATUS OF ENGAGEMENT		

As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.


COMPLETED ENGAGEMENT DIALOGUES IN 2019


Engagements with the following companies on select topics were completed during 2019, either based on the company's response or developments related to the controversy.


Table 4: Company updates for prior year/quarter engagement initiations


Alstom SA		ISIN FR0010220475
	<p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services;</p> <p>SDG 6: Clean Water & Sanitation; 6.b: Participation of local communities in improving water and sanitation management;</p> <p>SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing;</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage;</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	<p>QUARTER Q3 2016</p>
<p>THEMES</p> <p>Living standards: Stakeholder consultation; Bribery</p>		<p>LOCATIONS</p> <p>Brazil; Colombia; Latvia; Malaysia; Tunisia; Zambia</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>In October 2018 Alstom SA announced the sale of all its interests in its three Renewables Joint Ventures to General Electric Co., ending its involvement in the supply of electromechanical equipment to the Belo Monte project in Brazil and the Hidroitungo project in Colombia.</p> <p>With regards to its involvement in business malpractice controversies, ISS ESG assesses Alstom's remediation efforts to be credible and robust. Due to the satisfactory implementation and extended time frame since the incidents occurred, the engagement objectives have been met.</p>		
America Movil SAB de CV		ISIN MXP001691213
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>	<p>QUARTER Q3 2018</p>


THEME Working conditions: Union rights	LOCATION El Salvador
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>America Movil SAB de CV's subsidiary Compañía de Telecomunicaciones de El Salvador, S.A. de C.V. was alleged to have engaged in anti-union conduct in El Salvador in 2011 according to local trade unions. No renewed information has emerged on the alleged union rights violation, and ISS ESG assesses that the controversy is no longer current.</p>	

Bangkok Bank Public Co. Ltd.		ISIN TH0001010006
	<p>SDG ALIGNMENT</p> <p>SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food;</p> <p>SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands</p>	<p>QUARTER Q4 2019</p>
THEMES Environmental impacts; Stakeholder consultation: Living standards		LOCATION Laos
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>Bangkok Bank Public Co. Ltd. financed the construction of the Xayaburi hydropower project on the Mekong River in Laos, a project accused of failing to assess environmental impacts and prevent the depletion of the river's biodiversity. The dam became fully operational in October 2019. As a result, ISS ESG assesses that Bangkok Bank is no longer involved in the controversy.</p>		


Barrick Gold Corp.		ISIN CA0679011084
	<p>SDG ALIGNMENT</p> <p>SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</p> <p>SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands</p>	<p>QUARTER Q3 2016</p>
THEME Pollution		LOCATION Tanzania
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>Acacia Mining Plc, Barrick Gold Corp.'s subsidiary, has reportedly taken measures to address the issues, stating that "[a]ll seepage is and will be contained on the site, does not flow into the surrounding environment or present a risk of contamination to any public water source".</p>		


Bayer AG		ISIN XS0225369403
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019
THEMES Bribery		LOCATION United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>In September 2018 Bayer AG, among other pharmaceutical companies, faced whistle-blower allegations in the United States (U.S.) claiming the company's free services offered to prescribers constitute kickback payments. Bayer informed its investors in March 2019 that the U.S. Department of Justice (DoJ) has sought to dismiss the legal proceedings against it. According to Bayer, the DoJ concluded in its statement that the allegations lack factual and legal support. As a result, further engagement with the company is deemed unnecessary.</p>		

Deutsche Post AG		ISIN DE0005552004
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2018
THEMES Working conditions: Union rights		LOCATION Colombia; India; Turkey
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>Deutsche Post AG is assessed to be taking adequate steps to address allegations that it engaged in anti-union discrimination at its operations.</p>		

Entergy Corp.		ISIN US29364GAF00
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019
THEMES Climate change		LOCATION United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>Entergy Corp. was part of legal proceedings, filed in 2015, against the United States (U.S.) Environmental Protection Agency (EPA) to postpone policies tackling climate change. The company and its co-petitioners challenged the Clean Power Plan (CPP), a set of rules issued by the EPA aimed at mitigating climate change by reducing carbon emissions from power plants. However, in June 2019 the EPA issued the Affordable Clean Energy rule (ACE), replacing the CPP and in September 2019, a U.S. Court of Appeals dismissed all</p>		


legal challenges related to the CPP, finalizing the ACE in its place. As the CPP has been conclusively replaced by the ACE and all rights to appeal have been exhausted, ISS ESG considers the company to no longer be involved in the controversy.

Energys, Inc.		ISIN US30034W1062
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019
THEMES Climate change		LOCATION United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>In June 2018, Energys Kansas Central, Inc. (formerly Westar Energy, Inc.) and Great Plains Energy, Inc., completed their merger, creating Energys, Inc. Energys Kansas was part of legal proceedings, filed in 2015, against the United States (U.S.) Environmental Protection Agency (EPA) to postpone policies tackling climate change. The company and its co-petitioners challenged the Clean Power Plan (CPP), a set of rules issued by the EPA aimed at mitigating climate change by reducing carbon emissions from power plants. However, in June 2019 the EPA issued the Affordable Clean Energy rule (ACE), replacing the CPP, and in September 2019 a U.S. Court of Appeals dismissed all legal challenges related to the CPP, finalizing the ACE in its place. Energys Kansas, which discloses little on its carbon footprint, stated that it will support public policies that accelerate the development of low emissions technologies and initiatives made to mitigate greenhouse gases emissions, and issued a green bond in 2016. In investor dialogue facilitated by ISS ESG in 2017, Energys Kansas stated that it is flexible and resilient to future climate change mitigation policies. As the CPP has been conclusively replaced by the ACE and all rights to appeal have been exhausted, ISS ESG considers the company to no longer be involved in the controversy.</p>		


Glencore Plc		ISIN JE00B4T3BW64
	SDG ALIGNMENT SDG 6: Clean Water & Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials; SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers; SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere; SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels; SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization;	QUARTER Q3 2018


	SDG 17: Global partnership for sustainable development; 17.15: Respect each country's leadership to implement policies for poverty eradication and sustainable development	
THEMES	Working conditions; Taxation; Environmental impacts: Pollution; Indigenous rights; Living standards: Forced displacement; Human rights: Right to self-determination	LOCATIONS Democratic Republic of Congo; Disputed Territories; Peru; Philippines; Switzerland; United Kingdom; Zambia
MOTIVATION FOR CLOSING ENGAGEMENT Glencore Plc has demonstrated its openness to engage with investors and has provided information on the environment, labour rights and human rights impacts of its operations. Engagement has been closed on the basis of the information disclosed on measures taken to address the controversies.		


Industrial & Commercial Bank of China Ltd.		ISIN CNE000001P37
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage; SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q3 2018
THEMES	Environmental impacts; Indigenous rights; Money laundering	LOCATION Laos
MOTIVATION FOR CLOSING ENGAGEMENT Industrial & Commercial Bank of China Ltd. (ICBC) financed the construction of the Gibe III Hydroelectric Project on the Omo River in Ethiopia, a project accused of affecting the livelihood of indigenous groups, as well as contributing to the depletion of the river's biodiversity. The dam became fully operational in October 2019, diminishing ICBC's leverage. As a result, ISS ESG assesses that ICBC is no longer involved in the controversy. Separately, ICBC was under investigation by Spanish National High Court concerning allegations of having failed to prevent money laundering in its operations in Spain, enabling the laundering of €225 million stemming from illicit proceeds between 2011 and 2014. No new serious instances of money laundering have been reported since, and ISS ESG assesses that the controversy is no longer current.		


Innophos Holdings, Inc.		ISIN US45774N1081
	SDG ALIGNMENT	QUARTER Q3 2017


	SDG 17: Global partnership for sustainable development; 17.15: Respect each country's leadership to implement policies for poverty eradication and sustainable development	
THEMES	Human rights: Right to self-determination	LOCATION Disputed territories
MOTIVATION FOR CLOSING ENGAGEMENT In a March 2019 communication with ISS ESG, Innophos confirmed it no longer directly or indirectly sources phosphate rock originating from Western Sahara. As a result, engagement with the company on the topic is satisfactorily completed.		

JBS SA		ISIN USP59695AC39
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2017
THEMES	Working conditions: Occupational health and safety	LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT Pilgrim's Pride Corp., JBS SA's 78.5% subsidiary, is assessed to be taking adequate steps to address repeated citations by the United States (U.S.) Occupational Safety and Health Administration (OSHA) for several alleged serious occupational health and safety breaches at its plants in the U.S.		

Jindal Steel & Power Ltd.		ISIN INE749A01030
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources; SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q3 2018
THEMES	Living standards: Stakeholder consultation	LOCATION India
MOTIVATION FOR CLOSING ENGAGEMENT Jindal Steel & Power Ltd.'s (JSPL) expansion of its steel plant in Angul district, Odisha state, and its Gare Palma IV/6 coal mine project in Raigarh district, Chhattisgarh state, have according to local media been criticised for weak consultation processes, breaches of compensation agreements over resettlement and alleged complicity in violence. In communication with ISS ESG, the company stated that an agreement regarding compensation, relocation and employment with the affected communities in Angul has been reached. As no new allegations have been raised against the company's operations in Odisha and Chhattisgarh since 2017, ISS ESG assesses that the controversy is no longer current.		

Kasikornbank Public Co. Ltd.		ISIN TH0016010009
	SDG ALIGNMENT SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food; SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands	QUARTER Q4 2019
THEMES Environmental impacts; Stakeholder consultation: Living standards		LOCATION Laos
MOTIVATION FOR CLOSING ENGAGEMENT Kasikornbank Public Co. Ltd. financed the construction of the Xayaburi hydropower project on the Mekong River in Laos, a project accused of failing to assess environmental impacts and prevent the depletion of the river's biodiversity. The dam became fully operational in October 2019. As a result, ISS ESG assesses that Kasikornbank is no longer involved in the controversy.		

Krung Thai Bank Public Co., Ltd.		ISIN TH0150010R11
	SDG ALIGNMENT SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food; SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands	QUARTER Q4 2019
THEMES Environmental impacts; Stakeholder consultation: Living standards		LOCATION Laos
MOTIVATION FOR CLOSING ENGAGEMENT Krung Thai Bank Public Co. Ltd. financed the construction of the Xayaburi hydropower project on the Mekong River in Laos, a project accused of failing to assess environmental impacts and prevent the depletion of the river's biodiversity. The dam became fully operational in October 2019. As a result, ISS ESG assesses that Krung Thai Bank is no longer involved in the controversy.		

MDU Resources Group, Inc.		ISIN US5526901096
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019
THEMES Climate change		LOCATION United States

MOTIVATION FOR CLOSING ENGAGEMENT

MDU Resources Group, Inc. was part of legal proceedings, filed in 2015, against the United States (U.S.) Environmental Protection Agency (EPA) to postpone policies tackling climate change. The company and its co-petitioners challenged the Clean Power Plan (CPP), a set of rules issued by the EPA aimed at mitigating climate change by reducing carbon emissions from power plants. However, in June 2019 the EPA issued the Affordable Clean Energy rule (ACE), replacing the CPP and in September 2019, a U.S. Court of Appeals dismissed all legal challenges related to the CPP, finalizing the ACE in its place. As the CPP has been conclusively replaced by the ACE and all rights to appeal have been exhausted, ISS ESG considers the company to no longer be involved in the controversy.

NextEra Energy, Inc.

ISIN
US65339F1012



SDG ALIGNMENT

SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning

QUARTER
Q1 2019

THEMES

Climate change

LOCATION

United States

MOTIVATION FOR CLOSING ENGAGEMENT

In March 2019 NextEra Energy, Inc.'s subsidiary Gulf Power Co. withdrew from legal proceedings against the United States (U.S.) Environmental Protection Agency (EPA) to postpone policies tackling climate change. In petitions filed in 2015 Gulf Power and its co-petitioners had challenged the Clean Power Plan (CPP), a set of rules issued by the EPA aimed at mitigating climate change by reducing carbon emissions from power plants. Given Gulf Power's withdrawal from the legal proceedings, ISS ESG deems the companies to no longer be involved in the controversy.

NorthWestern Corp.

ISIN
US6680743050



SDG ALIGNMENT

SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning

QUARTER
Q1 2019

THEMES


Climate change


LOCATION


United States

MOTIVATION FOR CLOSING ENGAGEMENT


NorthWestern Corp. was part of legal proceedings, filed in 2015, against the United States (U.S.) Environmental Protection Agency (EPA) to postpone policies tackling climate change. The company and its co-petitioners challenged the Clean Power Plan (CPP), a set of rules issued by the EPA aimed at mitigating climate change by reducing carbon emissions from power plants. However, in June 2019 the EPA issued the Affordable Clean Energy rule (ACE), replacing the CPP and in September 2019, a U.S. Court of Appeals dismissed all legal challenges related to the CPP, finalizing the ACE in its place. As the CPP has been conclusively replaced by the ACE and all rights to appeal have been exhausted, ISS ESG considers the company to no longer be involved in the controversy.


Nutrien Ltd.		ISIN CA67077M1086
	SDG ALIGNMENT SDG 17: Global partnership for sustainable development; 17.15: Respect each country's leadership to implement policies for poverty eradication and sustainable development	QUARTER Q3 2018
THEMES Human rights: Right to self-determination		LOCATION Disputed territories
MOTIVATION FOR CLOSING ENGAGEMENT In March 2019 Nutrien Ltd. was assessed as having implemented credible measures to address previous allegations of importing phosphate from the reserves in Boucraâ mine, located in Moroccan-controlled Western Sahara. As a result, further engagement with the company is deemed unnecessary.		


Peab AB		ISIN SE0000106205
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019
THEMES Bribery		LOCATION Sweden
MOTIVATION FOR CLOSING ENGAGEMENT Peab AB has taken credible measures to improve its anticorruption policies following the conviction of several of its employees for bribery, which took place in Sweden between 2009 and 2013.		

Peabody Energy Corp.		ISIN US7045491047
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q1 2019
THEMES Climate change		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT Peabody Energy Corp. was part of legal proceedings, filed in 2015, against the United States (U.S.) Environmental Protection Agency (EPA) to postpone policies tackling climate change. The company and its co-petitioners challenged the Clean Power Plan (CPP), a set of rules issued by the EPA aimed at mitigating climate change by reducing carbon emissions from power plants. However, in June 2019 the EPA issued the Affordable Clean Energy rule (ACE), replacing the CPP and in September 2019, a U.S. Court of Appeals dismissed all legal challenges related to the CPP, finalizing the ACE in its place. As the CPP has been		


conclusively replaced by the ACE and all rights to appeal have been exhausted, ISS ESG considers the company to no longer be involved in the controversy.


Pyxus International, Inc.		ISIN US0187721032
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q3 2018
THEMES Working conditions: Child labour		LOCATION Zimbabwe
MOTIVATION FOR CLOSING ENGAGEMENT Pyxus International Inc. (formerly Alliance One International Inc., AOI) has been reported to be taking steps to address previously raised allegations of its exposure to the risk of child labour and poor health and safety standards in its tobacco supply chain in Zimbabwe.		




Royal Dutch Shell Plc		ISIN GB00B03MM408
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2016
THEMES Bribery		LOCATION Kazakhstan
MOTIVATION FOR CLOSING ENGAGEMENT Karachaganak Petroleum Operating BV, a joint venture formed by Eni SpA (29.25%), Royal Dutch Shell Plc (29.25%), KazmunaiGas JSC (10%), Chevron Corp (18%), and Oil Co. LUKOIL PJSC (13.5%) has since 2012 undertaken efforts to address bribery allegations.		


Sanofi		ISIN US80105NAG07
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2018
THEMES Bribery		LOCATION United States; China; Kenya
MOTIVATION FOR CLOSING ENGAGEMENT		

In April 2019 Sanofi informed ISS ESG that the allegations in the United States claiming the company's free services offered to prescribers constituted kickback payments were dismissed in Court in September 2018. Separately, ISS ESG assesses that allegations of failure to prevent bribery in China and Kenya are no longer current.

The Siam Commercial Bank Public Co. Ltd.		ISIN TH0015010000
	<p>SDG ALIGNMENT</p> <p>SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food;</p> <p>SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands</p>	<p>QUARTER Q4 2019</p>
<p>THEMES</p> <p>Environmental impacts; Stakeholder consultation: Living standards</p>		<p>LOCATION Laos</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Siam Commercial Bank Public Co. Ltd. (SCB) financed the construction of the Xayaburi hydropower project on the Mekong River in Laos, a project accused of failing to assess environmental impacts and prevent the depletion of the river's biodiversity. The dam became fully operational in October 2019. As a result, ISS ESG assesses that SCB is no longer involved in the controversy.</p>		

TISCO Financial Group Public Co. Ltd.		ISIN TH0999010R11
	<p>SDG ALIGNMENT</p> <p>SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food;</p> <p>SDG 15: Life on Land; 15.1: Ensure the conservation and sustainable use of terrestrial and inland freshwater ecosystems, in particular forests, wetlands, mountains and drylands</p>	<p>QUARTER Q4 2019</p>
<p>THEMES</p> <p>Environmental impacts; Stakeholder consultation: Living standards</p>		<p>LOCATION Laos</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>TISCO Financial Group Public Co. Ltd. (TISCO) financed the construction of the Xayaburi hydropower project on the Mekong River in Laos, a project accused of failing to assess environmental impacts and prevent the depletion of the river's biodiversity. The dam became fully operational in October 2019. As a result, ISS ESG assesses SCB to no longer be involved in the controversy.</p>		

Universal Corp.		ISIN US9134561094
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q3 2018
THEMES Working conditions: Child labour		LOCATION Zimbabwe
MOTIVATION FOR CLOSING ENGAGEMENT Universal Corp. has been reported to be taking steps to address previously raised allegations of its exposure to the risk of child labour and poor health and safety standards in its tobacco supply chain in Zimbabwe.		
Wal-Mart de México SAB de CV		ISIN MXP810081010
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2019
THEMES Bribery		LOCATION Mexico
MOTIVATION FOR CLOSING ENGAGEMENT Walmart, Inc., which indirectly holds 70.51% of Wal-Mart de México SAB de CV, reported that it entered a global settlement with the United States (U.S.) Department of Justice (DoJ) and Securities and Exchange Commission (SEC) and agreed to pay a fine of \$282.7 million to settle allegations that the global retailer engaged in violations of the Foreign Corrupt Practices Act (FCPA).		
Walmart, Inc.		ISIN US9311421039
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2019
THEMES Bribery		LOCATION Brazil; China; India; Mexico
MOTIVATION FOR CLOSING ENGAGEMENT Walmart, Inc. reported that it entered a global settlement with the United States (U.S.) Department of Justice (DoJ) and Securities and Exchange Commission (SEC) and agreed to pay a combined fine of \$282.7 million to settle allegations that the global retailer engaged in violations of the Foreign Corrupt Practices Act (FCPA) and conducted business without “a system of sufficient anti-corruption related internal accounting controls” from July 2000 through April 2011.		

WTK Holdings Bhd.		ISIN MYL424300001
	<p>SDG ALIGNMENT</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests;</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	<p>QUARTER</p> <p>Q3 2018</p>
<p>THEMES</p> <p>Environmental impacts: Deforestation</p>		<p>LOCATION</p> <p>Malaysia</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>WTK Holdings Bhd. has publicly referred to its efforts in reducing negative impacts from logging and plantations, including reforestation and “Reduced Impact Logging” techniques. No new allegations have been raised since 2012.</p>		

Appendix A



ISS ESG is the responsible investment arm of Institutional Shareholder Services Inc., the world's leading provider of environmental, social, and governance solutions for asset owners, asset managers, hedge funds, and asset servicing providers. With more than 30 years of corporate governance expertise and 25 years of providing in-depth responsible investment research and analytics, ISS ESG has the unique understanding of the requirements of institutional investors. With its comprehensive offering of solutions, ISS ESG enables investors to develop and integrate responsible investing policies and practices, engage on responsible investment issues, and monitor portfolio company practices through screening solutions. It also provides climate data, analytics, and advisory services to help financial market participants understand, measure, and act on climate-related risks across all asset classes. In addition, ISS ESG delivers corporate and country ESG research and ratings enabling its clients to identify material social and environmental risks and opportunities.

POOLED ENGAGEMENT

ISS ESG's Pooled Engagement offering is a dialogue and engagement service that is carried out with companies that have been identified through ISS ESG's Norm-Based Research offering as having failed to address reported allegations – or controversies – of adverse impacts on society and the environment in contravention of established expectations for responsible business conduct as set out in international norms such as the UN Global Compact's ten principles and the OECD Guidelines for Multinational Enterprises. The Norm-Based Research framework also takes into consideration the intersections between the Sustainable Development Goals and the private sector.

During the Norms-Based Research research phase, ISS ESG carries out extensive dialogue with companies and expert stakeholders – governmental or inter-governmental bodies, NGOs, academic organisations – to validate all facts relevant to an identified controversy. The in-depth research conducted under Norm-Based Research identifies gaps in company disclosure and approaches to addressing reported allegations. This analysis also constitutes the grounds for ascertaining if the desired level of disclosure might be achieved through investor dialogue.

Investor engagement, facilitated by ISS ESG through Pooled Engagement, is a continuation and escalation of the research dialogue. ISS ESG's Pooled Engagement approach encourages, on behalf of those investor clients participating in the Pooled Engagement, companies to elaborate on efforts taken to design and implement better risk management systems at the operational level, to minimize the risk for re-occurrence of failures to respect international norms and standards for responsible business conduct.

Around 100 companies are selected for Pooled Engagement each calendar year. Each client of the Pooled Engagement service determines at its own discretion the engagements in which it would like to participate.