



**FUTUR PENSION**

2020

**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.



## 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.



## ENGAGEMENT RESULTS

### OVERALL ENGAGEMENT STATISTICS

Futur Pension participated in 142 separate company engagements held during 2020, covering 214 individual ESG topics across 48 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. 66% of 142 companies provided responses to the investor outreach, an increase compared to previous years.

*Charts 1-4: Summary charts of engagements conducted for the period commencing 1<sup>st</sup> January 2020 to the 31<sup>st</sup> December 2020*

Chart 1

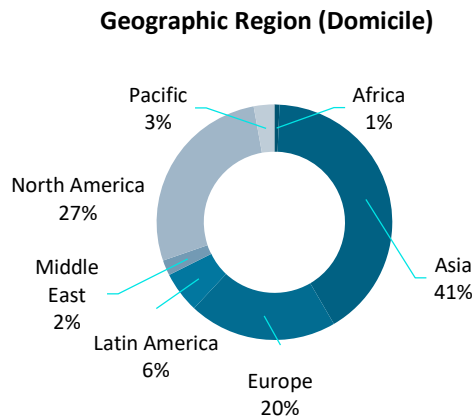


Chart 2

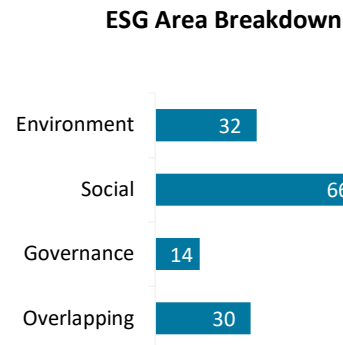


Chart 3

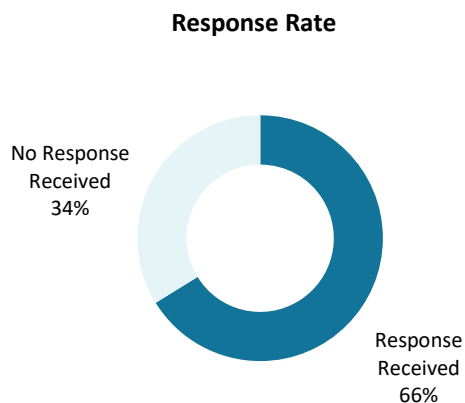
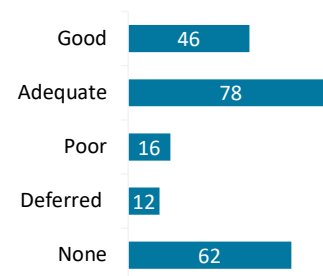


Chart 4

#### Quality of Participation






## ENGAGEMENT THEMES IN 2020

ISS ESG conducted 142 engagements in total during 2020, covering 214 individual ESG topics across 48 different locations across the globe.

The engagements are categorized under the four UN Global Compact areas: human rights; labour rights; environment and anti-corruption. Poor stakeholder consultation, and concerns regarding the right to life, especially related to consumer health and rights were the key topics under human rights. Workplace health and safety was the dominant labour rights theme, with union rights following. The majority of environment-focused engagements related to corporate management of incidences involving loss of biodiversity, as well as climate change and pollution (air, water and soil). For companies facing controversies on their anti-corruption management systems, engagement focused on their efforts to address reported incidences of bribery and money laundering.

*Table 1: Major engagement themes in 2020 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	Poor stakeholder consultation
		Consumer health and rights
3-6	 Labour Rights	Workplace health and safety
		Union rights
7-9	 Environment	Depletion of biodiversity
		Climate change
10	 Anti-Corruption	Bribery
		Money laundering

## 2020 ENGAGEMENT DETAILS

### ENGAGEMENTS IN 2020


The following lists all engagement dialogues held during 2020 for which the engagements were not closed; closed dialogues are solely listed in the “Completed Engagement Dialogues” section later in this document so as not to duplicate information. Where dialogue was established, the tables present the milestones achieved against the objectives for the engagement.



ISS ESG uses the following goals and milestones to determine success of the engagement progress:

Engagement Goals	Disclosure of Relevant Information	Milestones	Credible Measures Adopted
	Termination of Problematic Practices		Measures Initiated
	Implementation of Relevant Policies		Commitment Expressed
	Remedial Action		No Measures Announced

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 2020.*


AES Gener SA		ISIN US00105DAB10
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2020
THEME Air pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
Alphabet, Inc.		ISIN US02079K1079

	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q2 2020
	THEME Children's rights, Consumer rights and privacy		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	
THEME Working conditions: Workplace health and safety			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	
THEME Anti-competitive behaviour			LOCATION N/A
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A	
Amazon.com, Inc.			ISIN US0231351067
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization		QUARTER Q1 2019
	THEME Working conditions		LOCATION United States
	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	





GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Taxation		LOCATION Luxembourg
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A


AmerisourceBergen Corp.		ISIN US03073E1055
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
THEME Consumer rights, Right to life		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

AntarChile SA		ISIN CLP0362E1386
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q2 2020
THEME Stakeholder consultation: Indigenous rights; Environmental impacts: Water pollution		LOCATION Chile
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		LOCATION


Air pollution		Chile
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

Bunge Ltd.		ISIN BMG169621056
	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 Q4 2019
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Measures initiated

Cardinal Health, Inc.		ISIN US14149YAP34
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
THEME Consumer rights, Right to life		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


Cargill, Inc.		ISIN US141781AX24
	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 2020


	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		
THEME Environmental impacts: Depletion of biodiversity; Climate change impacts; Deforestation			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 Union rights			LOCATION Turkey
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	


Chevron Corp.			ISIN US1667641005
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization		QUARTER Q1 2020
THEME Taxation			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	


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 Union rights			LOCATION Indonesia
	DISCLOSURE	IMPLEMENTATION OF POLICIES	



GOALS SET & MILESTONES ACHIEVED	No measures announced	No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

Deutsche Telekom AG		ISIN DE0005557508
	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 2020
THEME Union rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


Empresas Copec SA		ISIN CLP7847L1080
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q2 2020
THEME Environmental impacts: Water pollution; Stakeholder consultation: Indigenous rights		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Air pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

Endo International Plc			ISIN IE00BJ3V9050
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages		QUARTER Q1 2020
THEME Consumer rights, Right to life			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted	
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Measures initiated	

ENGIE SA			ISIN FR0010709279
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world’s cultural and natural heritage 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 Q1 2020
THEME Living standards, Forced displacement, Right to health, Indigenous rights, Stakeholder consultation			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated	
THEME Environmental impacts: Depletion of biodiversity, Deforestation			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Commitment expressed	

Facebook, Inc.			ISIN US30303M1027
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q1 2020
	THEME Consumer rights		LOCATION N/A
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated	
THEME Working conditions: Workplace health and safety			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed	
Freeport-McMoRan, Inc.			ISIN US35671D8570
	SDG ALIGNMENT SDG 6: Clean Water and 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 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere		QUARTER Q1 2020
	THEME Right to health, Depletion of biodiversity, Water pollution		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	

THEME Human rights due diligence: Indigenous rights, Right to life		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed
THEME Working conditions: Union rights		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

Fresenius Medical Care AG & Co. KGaA		ISIN DE0005785836
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2020
THEME Bribery		LOCATION Niger
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Ivory Coast
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Burkina Faso
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

THEME Bribery		LOCATION Chad
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Gabon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Cameroon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Senegal
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Benin
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

Fresenius SE & Co. KGaA

ISIN  
DE0005785604





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


QUARTER  
Q3 2020




THEME Bribery		LOCATION Niger
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Ivory Coast
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Burkina Faso
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Chad
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Gabon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Cameroon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated


THEME Bribery		LOCATION Senegal
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Benin
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
G4S Plc		ISIN GB00B01FLG62
	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 Q1 2020
THEME Working conditions: Forced labour, Modern slavery		LOCATION Qatar
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
GNL Quintero SA		ISIN US36190CAA53
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2020
THEME Environmental impacts: Air and water pollution		LOCATION Chile


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


Google LLC		ISIN US38259PAA03
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Children's rights, Consumer 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
THEME Working conditions: Workplace health and safety		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
THEME Anti-competitive behaviour		LOCATION N/A
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

Grupo México S.A.B. de C.V.		ISIN MXP370841019
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q2 2019

	SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes		
	SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels		
THEME Environmental impacts: Pollution, Right to health			LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	
THEME Human rights due diligence: Right to life, Stakeholder consultation, Living standards			LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	
Halliburton Co.			ISIN US406216AW19
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials 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		QUARTER Q2 2020
THEME Depletion of biodiversity, Pollution			LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	

Hangzhou Hikvision Digital Technology Co., Ltd.			ISIN CNE100000PM8
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome		QUARTER Q1 2020
THEME Human rights due diligence: Torture / inhumane treatment; Right to privacy: Religious affiliation discrimination			LOCATION China
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed	

Hankook Technology Group Co., Ltd.			ISIN KR7000240002
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q2 2020
THEME Workplace health and safety			LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	


Hankook Tire & Technology Co., Ltd.			ISIN KR7161390000
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q2 2020
THEME Workplace health and safety			LOCATION South Korea


GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated


Hon Hai Precision Industry Co., Ltd.		ISIN US4380902019
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men</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 10: Reduced Inequalities; 10.1: Achieve and sustain income growth</p>	<p>QUARTER</p> <p>Q1 2020/ Q4 2020</p>
THEME Working conditions: Forced labour, Living wage, Workplace health and safety		LOCATION China
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

Hyundai Heavy Industries Holdings Co., Ltd.		ISIN KR7267250009
	<p>SDG ALIGNMENT</p> <p>SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</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>Q1 2020</p>
THEME Workplace health and safety		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

JBS SA		ISIN USP59695AC39
	SDG ALIGNMENT	QUARTER Q4 2019/ Q4 2020
	SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	
	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	
	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 Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
THEME Workplace health and safety		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed
THEME Bribery		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Workplace health and safety		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

Kia Motors Corp.			ISIN KR7000270009
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning		QUARTER Q4 2020
THEME Opposition to climate change mitigation			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	


Kobe Steel, Ltd.			ISIN JP3289800009
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change		QUARTER Q2 2020
THEME Air pollution, Climate change impacts			LOCATION Japan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A	


Korea Electric Power Corp.			ISIN KR7015760002
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change		QUARTER Q4 2018
THEME Environmental impacts: Air pollution, Climate change impacts			LOCATION South Africa




GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Living standards, Right to life, Stakeholder consultation		LOCATION Laos
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated




Korea Shipbuilding & Offshore Engineering Co., Ltd.		ISIN KR7009540006
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q1 2020
THEME Workplace health and safety		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A

Korian SA		ISIN FR0010386334
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2020
THEME Right to life, Consumer rights		LOCATION France
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

LG Chem Ltd.			ISIN KR7051911006
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2020	
THEME Right to life			LOCATION India
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	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: 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	

Lyft, Inc.			ISIN US55087P1049
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth	QUARTER Q1 2020	
THEME Working conditions: Living wage, Workplace health and safety			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	


Mallinckrodt Plc			ISIN IE00BBGT3753
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages		QUARTER Q1 2020
THEME Right to life, Consumer rights			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	
MAXIMUS, Inc.			ISIN US5779331041
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth		QUARTER Q2 2020
THEME Working conditions			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	
McKesson Corp.			ISIN US58155QAD51
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages		QUARTER Q1 2020
THEME Right to life, Consumer rights			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated	


Mitsubishi Electric Corp.			ISIN DE0008621392
	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 2020	
THEME Working conditions: Union rights			LOCATION Thailand
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	


Mitsui & Co., Ltd.			ISIN JP3893600001
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage 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 Q1 2020	
THEME Living standards: Forced displacement, Right to health; Stakeholder consultation: Indigenous rights			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated	
THEME Environmental impacts: Depletion of biodiversity, Deforestation			LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Commitment expressed	

MMC Norilsk Nickel PJSC			ISIN RU0007288411
	<b>SDG ALIGNMENT</b> SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials  SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes		<b>QUARTER</b> Q3 2020
<b>THEME</b> Pollution			<b>LOCATION</b> Russia
<b>GOALS SET &amp; MILESTONES ACHIEVED</b>	<b>DISCLOSURE</b> Measures initiated	<b>IMPLEMENTATION OF POLICIES</b> Measures initiated	
	<b>TERMINATION OF PRACTICE</b> Commitment expressed	<b>REMEDIAL ACTION</b> Measures initiated	
NIKE, Inc.			ISIN US6541061031
	<b>SDG ALIGNMENT</b> SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization		<b>QUARTER</b> Q1 2020
<b>THEME</b> Taxation			<b>LOCATION</b> Netherlands
<b>GOALS SET &amp; MILESTONES ACHIEVED</b>	<b>DISCLOSURE</b> No measures announced	<b>IMPLEMENTATION OF POLICIES</b> Measures initiated	
	<b>TERMINATION OF PRACTICE</b> No measures announced	<b>REMEDIAL ACTION</b> N/A	
Petróleo Brasileiro SA			ISIN BRPETRACNOR9
	<b>SDG ALIGNMENT</b> SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials  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		<b>QUARTER</b> Q4 2019
<b>THEME</b> Depletion of biodiversity, Water pollution			<b>LOCATION</b> Brazil

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


POSCO INTERNATIONAL Corp.		ISIN KR7047050000
	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 Deforestation: Depletion of biodiversity, Climate change impacts		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Credible measures adopted
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Commitment expressed

PT Pertamina (Persero)		ISIN USY7138AAA89
	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	QUARTER Q2 2020
THEME Depletion of biodiversity, Pollution		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	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	QUARTER Q4 2019


SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes		
THEME Environmental impacts: Depletion of biodiversity, Pollution		LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

Samsung Electronics Co., Ltd.		ISIN KR7005931001
	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 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2019
THEME Bribery		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A
THEME Union rights		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

Sienna Senior Living, Inc.		ISIN CA52542T1021
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2020
THEME Right to life, Consumer rights		LOCATION Canada


GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed

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 SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q1 2020
THEME Human rights due diligence: Right to health, Right to water, 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


Southern Copper Corp.		ISIN US84265VAA35
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q2 2019
THEME Environmental impacts: Pollution, Right to health		LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
THEME Human rights due diligence: Right to life; Stakeholder consultation: Living standards		LOCATION Peru




GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed


Subaru Corp.		ISIN JP3814800003
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

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: Living wage, Union rights, Workplace health and safety		LOCATION Honduras
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


Suzuki Motor Corp.		ISIN JP3397200001
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		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


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


Telefonaktiebolaget LM Ericsson		ISIN XS0307504547
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2020
THEME Bribery		LOCATION China
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A
THEME Bribery		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Vietnam

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	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 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


Teva Pharmaceutical Industries Ltd.		ISIN IL0006290147
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
THEME Right to life, Consumer rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed



The AES Corp.		ISIN US00130H1059
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands	QUARTER Q3 2020


SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels		
THEME Environmental impacts: Depletion of biodiversity		LOCATION Panama
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE N/A	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A
THEME Stakeholder consultation: Indigenous rights, Living standards		LOCATION Panama
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE N/A	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A
THEME Air pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
The Boeing Co.		
		ISIN US0970231058
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2019
THEME Right to life, Consumer rights		LOCATION Ethiopia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Credible measures adopted
THEME Right to life, Consumer rights		LOCATION Indonesia


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

The Coca-Cola Co.		ISIN US191216AR14
	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 2020
THEME Working conditions: Union rights		LOCATION Philippines
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
THEME Union rights		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


T-Mobile US, Inc.		ISIN US591709AL49
	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 2020
THEME Union rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed


Total SE			ISIN US89151E1091
	SDG ALIGNMENT SDG 6: Clean Water and 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 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands		QUARTER Q3 2020
THEME Pollution			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Measures initiated	
THEME Living standards: Living wage, Union rights, Workplace health and safety			LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed	
Toyota Motor Corp.			ISIN JP3633400001
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning		QUARTER Q4 2020
THEME Opposition to climate change mitigation			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A	


Tyson Foods, Inc.			ISIN US9024941034
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages  SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		QUARTER Q4 2020
THEME Workplace health and safety			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION No measures announced	

Uber Technologies, Inc.			ISIN US90353T1007
	SDG ALIGNMENT		QUARTER Q1 2020
	SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages		
	SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men		
	SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers		
	SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth		
THEME Working conditions: Gender discrimination, Equal pay, Living wage, Workplace health and safety			LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	
THEME Working conditions: Living wage, Workplace health and safety			LOCATION United Kingdom
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced	
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced	
THEME Right to life, Consumer rights			LOCATION United States

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


UBS AG		ISIN CH0024899483
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2020
THEME Taxation		LOCATION France
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated


UBS Group AG		ISIN CH0244767585
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2020
THEME Taxation		LOCATION France
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated


Verizon Communications, Inc.		ISIN US92343VAC81
	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 2020
THEME Union rights, Racial discrimination		LOCATION United States



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


Westpac Banking Corp.		ISIN AU000000WBC1
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Children's rights, Modern slavery, Human rights due diligence, Money laundering		LOCATION Philippines
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed


Westport Fuel Systems, Inc.		ISIN CA9609083097
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2020
THEME Bribery		LOCATION China
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated


Wilmar International Ltd.		ISIN SG1T56930848
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests	QUARTER Q1 2020
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Indonesia

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed

**Unresponsive companies as at 31 December 2020**

AcBel Polytech, Inc.		ISIN TW0006282007
	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 2020
THEME Environmental Impacts: Pollution		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		

Allergan Plc		ISIN IE00BD1NQJ95
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing	QUARTER Q1 2020
THEME Consumer fraud, Consumer health, Consumer rights		LOCATION United States
STATUS OF ENGAGEMENT The company did not respond to outreach in Q1 2020 and the reminder process was halted due to AbbVie, Inc.'s acquisition of Allergan Plc in May 2020. The engagement will be re-evaluated in 2021.		

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: Air pollution		LOCATION Germany and United States

#### STATUS OF ENGAGEMENT

As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement topic covering Germany will be re-evaluated. Note that all remediation activities were completed in relation to the United States.

Avary Holding (Shenzhen) Co., Ltd.

ISIN  
CNE100003GF5



#### 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 2020

#### THEME

Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination

LOCATION  
China

#### STATUS OF ENGAGEMENT

The company did not respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

Bank of Baroda

ISIN  
INE028A01013



#### 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 2020 and Q3 2016

#### THEME

Money laundering

LOCATION  
South Africa and India

#### STATUS OF ENGAGEMENT

As no response was received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated. Note that the Norm-Based Research signal for the India controversy has been updated to Green and engagement and that engagement was closed on April 20, 2020.

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  
SDG 15: Life on Land; 15.2: Sustainable management of all types of forests

QUARTER  
Q4 2019

#### THEME

Depletion of biodiversity, Climate change impacts, Deforestation

LOCATION  
Malaysia

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.

boohoo group Plc

ISIN  
JE00BG6L7297



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 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration

QUARTER  
Q4 2020

THEMES

Working conditions: Forced labour, Living wage, Modern slavery, Workplace health and safety

LOCATION  
United Kingdom

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

CCR SA

ISIN  
BRCCROACNOR2



SDG ALIGNMENT

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

QUARTER  
Q3 2020

THEME

Bribery

LOCATION  
Brazil

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.

Changhong Meiling Co., Ltd.

ISIN  
CNE000000BT4



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 2020

THEME

Human rights due diligence: Forced labour, Modern slavery, Religious affiliation discrimination

LOCATION  
China

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

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: Biodiversity

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.

CK Power Public Co. Ltd.

ISIN  
TH4536010010



SDG ALIGNMENT

SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services

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, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands,

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  
Q2 2020

THEME

Environmental impacts: Depletion of biodiversity; Stakeholder consultation: Food security and improved nutrition, Forced displacement, Living standards, Right to health

LOCATION  
Laos

STATUS OF ENGAGEMENT

The company has yet to respond to outreach as of Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on November 5.

Elsowedy Electric Co.

ISIN  
EGS3G0Z1C014





SDG ALIGNMENT


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

QUARTER  
Q1 2020


SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	
THEME Environmental impacts: Depletion of biodiversity, Deforestation	LOCATION Tanzania
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.	


FCA US LLC		ISIN US17121EAC12
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		

First Quantum Minerals Ltd.		ISIN CA3359341052
	SDG ALIGNMENT 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 Q3 2019
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation, Pollution		LOCATION Panama
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.		


Glencore Plc		ISIN JE00B4T3BW64
	SDG ALIGNMENT SDG 4: Education; 4.1: Ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes	QUARTER Q3 2020


<p>SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</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 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p> <p>SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p>	
<p>THEME</p> <p>Working conditions: Modern slavery, Workplace health and safety; Pollution, Right to health, Right to water; Bribery; Taxation</p>	<p>LOCATION</p> <p>Congo (Democratic Republic), Peru, Brazil and Australia</p>
<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>	


<p>Haoxiangni Health Food Co., Ltd.</p>		<p>ISIN</p> <p>CNE1000012Z2</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>QUARTER</p> <p>Q4 2020</p>	
<p>THEME</p> <p>Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination</p>	<p>LOCATION</p> <p>China</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>Hyundai Motor Co., Ltd.</p>		<p>ISIN</p> <p>KR7005380001</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>SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning</p>	<p>QUARTER</p> <p>Q4 2020</p>	
<p>THEMES</p>	<p>LOCATIONS</p>	




Opposition to climate change mitigation; Working conditions	United States and South Korea
<p><b>STATUS OF ENGAGEMENT</b></p> <p>The company has yet to respond to outreach on the climate change topic in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p> <p>While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement topic on working conditions in South Korea was closed on 28 April 2020, as ISS ESG assessed that the company was undertaking measures to make regular the employment situation of its several thousand workers found to be in a situation of “illegal dispatch,” and thus the Norm-Based Research assessment was revised to Green.</p>	



Iflytek Co., Ltd.	ISIN CNE100000B81
 <p><b>SDG ALIGNMENT</b> SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome</p>	QUARTER Q4 2019
<p><b>THEME</b> Human rights due diligence, Privacy, Religious affiliation discrimination</p>	LOCATION China
<p><b>STATUS OF ENGAGEMENT</b></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>	




Indiabulls Real Estate Ltd.	ISIN INE069I01010
 <p><b>SDG ALIGNMENT</b> SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p>	QUARTER Q3 2020
<p><b>THEME</b> Taxation</p>	LOCATIONS India
<p><b>STATUS OF ENGAGEMENT</b></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>	


Isuzu Motors Ltd.	ISIN JP3137200006
 <p><b>SDG ALIGNMENT</b> SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning</p>	QUARTER Q4 2020
THEMES	LOCATION




Opposition to climate change mitigation		United States
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>		
Jiangsu Guotai International Group Co., Ltd.		ISIN CNE000001PN5
	<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>	QUARTER Q4 2020
<p>THEME</p> <p>Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination</p>		LOCATION China
<p>STATUS OF ENGAGEMENT</p> <p>The company did not respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>		
Khon Kaen Sugar Industry Public Co. Ltd.		ISIN TH0828010007
	<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>	QUARTER Q3 2020
<p>THEME</p> <p>Forced displacement, Stakeholder consultation</p>		LOCATION Cambodia
<p>STATUS OF ENGAGEMENT</p> <p>The Investor Relations department responded to the reminder email on 24 October 2020, promising to return with responses to the questions posed in the investor letter. However, since the company has since failed to address the questions in the investor letter, despite a reminder being sent on 15 December 2020, the enquiry will be escalated to the attention of the CEO.</p>		
Lingui Developments Bhd.		ISIN MYL20110O0004
	<p>SDG ALIGNMENT</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests</p>	QUARTER Q3 2020



<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>	
<p>THEME</p> <p>Indigenous rights, Stakeholder consultation; Depletion of biodiversity, Deforestation</p>	<p>LOCATION</p> <p>Malaysia</p>
<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>	
<p>Lu Thai Textile Co., Ltd.</p>	
<p>ISIN</p> <p>CNE000000ST8</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 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>Q4 2020</p>
<p>THEME</p> <p>Working conditions: Workplace discrimination, Forced labour, Modern slavery</p>	<p>LOCATION</p> <p>Myanmar, China and Cambodia</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>	
<p>Mazda Motor Corp.</p>	
<p>ISIN</p> <p>JP3868400007</p>	
<p>SDG ALIGNMENT</p> <p> SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning</p>	<p>QUARTER</p> <p>Q4 2020</p>
<p>THEME</p> <p>Opposition to climate change mitigation</p>	<p>LOCATION</p> <p>United States</p>
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>	




McDonald's Corp.		ISIN US58013MEE03
	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 Q4 2020
	SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	
THEME Workplace discrimination: Gender discrimination, Sexual harassment		LOCATION United States
STATUS OF ENGAGEMENT The company did not respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Mitsubishi Motors Corp.		ISIN JP3899800001
	SDG ALIGNMENT	
	SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
OFILM Group Co., Ltd.		ISIN CNE100000S33
	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 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Social discrimination		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		

Porsche Automobil Holding SE		ISIN TH0637010008
	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 Germany and United States	
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement regarding failing to prevent air pollution in Germany will be re-evaluated. While the company failed to respond to investor outreach (in spite of reminder and the escalation process) also related to the topic of failing to prevent air pollution in the United States, the U.S. engagement was closed on 24 September 2020, as ISS ESG assessed that the company had successfully completed its U.S. Department of Justice-appointed monitorship. As a result, engagement on the topic has been closed as the relevant Norm-Based Research assessment was revised to Green.		

Rio Tinto Ltd. / Rio Tinto Plc		ISIN AU000000RIO1 / GB0007188757
<p>SDG ALIGNMENT</p> <p>SDG 6: Clean Water and 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 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands</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 2020
THEME	Depletion of biodiversity, Deforestation, Environmental impacts, Pollution; Human rights due diligence, Indigenous rights, Stakeholder consultation	LOCATION Madagascar and Australia
STATUS OF ENGAGEMENT		
The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		

SAIC Motor Corp. Ltd.		ISIN CNE000000TY6
	SDG ALIGNMENT	QUARTER Q4 2020

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	
THEME Forced labour, Human rights due diligence, Modern slavery, Social discrimination	LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.	
Samling Global Ltd.	
ISIN BMG7782K1071	
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
THEME Indigenous rights, Stakeholder consultation; Depletion of biodiversity, Deforestation	QUARTER Q3 2020
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.	
TH Plantations Bhd.	
ISIN MYL51120O007	
SDG ALIGNMENT	
	SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change
	SDG 15: Life on Land; 15.2: Sustainable management of all types of forests
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation	QUARTER Q4 2019
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.	

ViacomCBS, Inc.		ISIN US124857AD56
	SDG ALIGNMENT SDG 5: Gender Equality; 5.1: End all forms of discrimination against all women and girls	QUARTER Q3 2019
	SDG 5: Gender Equality; 5.2: Eliminate all forms of violence 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 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	
THEME Workplace discrimination: Gender discrimination, Racial discrimination		LOCATION United States
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.		
Victory City International Holdings Ltd.		ISIN BMG9358Q1463
	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 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Xiamen Meiya Pico Information Co., Ltd.		ISIN CNE100001120
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q4 2019
THEME Human rights due diligence, Privacy, Religious affiliation discrimination		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.		

Youngor Group Co., Ltd.		ISIN CNE000000XR2
	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 2020
THEMES Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination		LOCATIONS China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Zhejiang Dahua Technology Co. Ltd.		ISIN CNE100000BJ4
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q4 2019
THEME Human rights due diligence, Privacy, Religious affiliation discrimination		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.		
Zhen Ding Technology Holding Ltd.		ISIN KYG989221000
	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 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		


## COMPLETED ENGAGEMENT DIALOGUES IN 2020


Engagements with the following companies on select topics were completed during 2020, either based on the company's response or developments related to the controversy. These engagements began in 2020 or a previous year. The quarter of the initial outreach is provided in the table, as well as SDG alignment, topic theme and location, and the motivation for closing the engagement.


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
MOTIVATION FOR CLOSING ENGAGEMENT The assessment has been revised to Green as of 8 January 2020. Considering that the lawsuits have been dismissed, ISS ESG Norm-Based Research deems the company to no longer be involved in the alleged misconduct. As a result, engagement with the company on the topic is satisfactorily completed.		
Accenture Plc		ISIN IE00B4BNMY34
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages, SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Working conditions: Workplace health and safety		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT In its 20 May 2020 response to investors, Accenture Plc referred investors to the information it had previously provided on 7 February to ISS ESG's Norm-Based Research team. The company declined to comment further as the enquiry concerned client-specific matters. This engagement was discontinued owing to Accenture's unwillingness to participate.		
ALROSA PJSC		ISIN RU0007252813
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	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 Workplace health and safety	LOCATION Russia
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 22 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that it was failing to respect its workers right to safe and healthy working conditions in Russia. As a result, engagement on the topic has been closed.</p>	

Anglo American Plc		ISIN GB00B1XZS820
	<p>SDG ALIGNMENT</p> <p>SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	QUARTER Q3 2018
THEMES Water pollution		LOCATIONS Brazil
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research Amber assessment was revised to Green on 26 February 2020, as ISS ESG assessed that the company is taking credible measures to remediate the impact of two separate pipeline leaks that had occurred in March 2018. As a result, engagement on the topic has been closed.</p>		

AUDI AG		ISIN DE0006757008
	<p>SDG ALIGNMENT</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATIONS United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 23 September 2020, as ISS ESG recognized that the company has successfully completed its U.S. Department of Justice-appointed monitorship that resulted from selling diesel motor vehicles with software designed to cheat emissions tests. As a result, engagement on the topic has been closed.</p>		

BAE Systems Plc		ISIN GB0002634946
	SDG ALIGNMENT SDG 16: Peace, justice and strong institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEME Human rights due diligence, military / security supplies		LOCATION Yemen
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG discontinued engagement on this topic owing to a poor outlook for attaining the engagement objectives, given BAE Systems' firmly held stance that ultimately governments decide about proceeding with military supply sales. Thus, the company will not be able to provide evidence that it has conducted human rights due diligence to mitigate the risk of complicity in human rights violations in Yemen.		

Barrick Gold Corp.		ISIN CA0679011084
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q3 2016
THEME Environmental impacts: Depletion of biodiversity, Pollution		LOCATION Chile
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded from Amber, Score 8 (Alleged failure) to Green, Score 5 (Under observation). This upgrade occurred because Barrick Gold Corp.'s subsidiary closed the Pascua Lama gold mine on the orders of the Chilean Superintendency of Environment over the company's alleged failure to prevent and remediate soil and water pollution. Given the now Green status of this controversy, there is no need for further engagement at this time.		

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

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 14 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in the United States. As a result, engagement on the topic has been closed.

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 2018

THEME  
Bribery

LOCATION  
Azerbaijan

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 14 July 2020, as ISS ESG considers this controversy to no longer be current, given the extended time that has elapsed since the alleged misconduct along with the confirmation of the company's enhancement measures. As a result, engagement on the topic has been closed.

Cal-Comp Electronics (Thailand) Public Co., Ltd.

ISIN  
TH0639010R13



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  
Q4 2019

THEME  
Working conditions: Forced labour, Freedom of expression, Modern slavery

LOCATIONS  
Thailand

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 12 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that migrant workers were forced to pay recruitment fees and exposed to the associated risk of debt bondage. As a result, engagement on the topic has been closed.

Cameco Corp.

ISIN  
CA13321L1085





SDG ALIGNMENT




SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization




QUARTER  
Q3 2020


THEME Taxation	LOCATION Canada
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>On 2 September 2020, the assessment signal of this controversy was changed to Green with a score of 5 (under observation), taking note of a June 2020 ruling by Canada's Federal Court of Appeal that is favorable to the company and the time elapsed since the disputed tax payments not covered by this ruling. Given the resolution of this issue, this engagement is closed as no further dialogue is warranted.</p>	


Cargill, Inc.		ISIN US141781AX24
	<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>QUARTER</p> <p>Q4 2019</p>
<p>THEMES</p> <p>Forced labour, Modern slavery</p>		<p>LOCATION</p> <p>Uzbekistan</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 13 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent forced labour in the supply chain in Uzbekistan. As a result, engagement on the topic has been closed.</p>		


Chevron Corp.		ISIN US1667641005
	<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>Q1 2020</p>
<p>THEME</p> <p>Anti-competitive behavior; Union rights</p>		<p>LOCATION</p> <p>South Korea and Bangladesh</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment regarding corruption was revised to Green on 04 December 2020, as ISS ESG assessed that the company was no longer involved with failure to prevent anti-competitive behaviour in South Korea. As a result, engagement on this topic has been closed. Additionally, the Norm-Based Research assessment regarding union rights was revised to Green on 26 February 2020, as ISS ESG assessed that the company was no longer involved with failing to respect union rights in Bangladesh. As a result, engagement on this second topic was also closed.</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
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The assessment was revised to Green as of 20 January 2020. Considering the extended timeframe since the incident occurred and no renewed allegations have emerged after 2013, ISS ESG assesses that the company is no longer involved in bribery in China. As a result, engagement with the company on the topic is satisfactorily completed.</p>		
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
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green. This upgrade occurred because of the extended time that has elapsed since the misconduct in addition to the company's implemented remedial measures. Thus, ISS ESG considers the controversy to no longer be current.</p>		
Cosan Ltd.		ISIN BMG253431073
	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 Workplace discrimination: Gender discrimination, Workplace health and safety		LOCATION Brazil
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The company has provided several assurances to ISS ESG and investors of measures taken to address the occupational health and safety (OHS) risks of its sugarcane operations, and no credible allegations of the joint venture's involvement in an ongoing OHS failure in Brazil have emerged since 2016. Thus, ISS ESG assesses that the controversy is no longer current and no further engagement is needed.</p>		


Cosan SA		ISIN BRCANACNOR6
	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 Workplace discrimination: Gender discrimination, Workplace health and safety		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT The company has provided several assurances to ISS ESG and investors of measures taken to address the occupational health and safety (OHS) risks of its sugarcane operations, and no credible allegations of the joint venture's involvement in an ongoing OHS failure in Brazil have emerged since 2016. Thus, ISS ESG assesses that the controversy is no longer current and no further engagement is needed.		
Dassault Aviation SA		ISIN FR0000121725
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEMES Human rights due diligence, Military / security supplies		LOCATIONS Yemen
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has discontinued this engagement owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo toward undertaking human rights due diligence in line with the United Nations Guiding Principles on Business and Human Rights in regard to its provision of military equipment and services to countries within a Saudi-led coalition accused of violating international humanitarian law in Yemen.		
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 British Virgin Islands
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 3 February 2020, as ISS ESG assessed that Deutsche Bank is no longer involved in the money laundering controversy pertaining to the British Virgin Islands. As a result, engagement on the topic has been closed.		


Electricity Generating Public Co., Ltd.		ISIN TH0465010005
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</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, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, 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>	<p>QUARTER Q2 2020</p>
<p><b>THEME</b></p> <p>Environmental impacts: Depletion of biodiversity; Living standards, Stakeholder consultation</p>		<p>LOCATION Laos</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>Engagement on these controversies is discontinued, owing to a poor outlook for attaining the engagement objectives since the company is unwilling to share documentation and other detailed information on the environmental and social measures implemented at Xayaburi dam in Laos.</p>		

Eni SpA		ISIN IT0003132476
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	<p>QUARTER Q2 2019</p>
<p><b>THEME</b></p> <p>Bribery</p>		<p>LOCATION Nigeria and Algeria</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The Norm-Based Research assessments for alleged failure to prevent bribery in Nigeria and Algeria, respectively, have been revised to Green, as ISS ESG assessed that the company is no longer involved in the failure to prevent bribery in both of those countries. As a result, engagement on the topic has been closed.</p>		

EXOR NV		ISIN NL0012059018
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning</p>	<p>QUARTER Q4 2020</p>

THEME Opposition to climate change mitigation	LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG is discontinuing this engagement owing to a poor outlook for attaining the engagement objectives, owing to Exor NV's stance of deferring to its controlled entity Fiat Chrysler Automobiles NV (FCA) on this matter.	

Facebook, Inc.		ISIN US30303M1027
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q1 2020
THEME Racial discrimination, Religious affiliation discrimination		LOCATION Myanmar
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 04 April 2020, as ISS ESG assessed that Facebook had undertaken credible measures to address its involvement in the failure to prevent social discrimination in Myanmar. As a result, engagement on the topic has been closed.		

Fiat Chrysler Automobiles NV		ISIN NL0010877643
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2020
THEME Bribery		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green. This change occurred because of governance, auditing, and structural reforms implemented by Fiat Chrysler Automobiles NV (FCA) to improve accountability and transparency. Given the now Green status of this controversy, there is no need for further engagement at this time.		

General Dynamics Corp.		ISIN US3695501086
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEME Human rights due diligence, Military / security supplies	LOCATIONS Yemen	



MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has discontinued this engagement owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo and has failed to respond to investors' enquiries.

General Motors Co.

ISIN  
US37045V1008



SDG ALIGNMENT

SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes

QUARTER  
Q4 2020

THEME

Air pollution, Climate change impacts

LOCATION

United States

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 16 December 2020, as ISS ESG assessed that the company was no longer a member of the industry group Coalition for Sustainable Automotive Regulation, which is participating in legal proceedings that support a rollback of fuel-efficiency standards in the United States (U.S.) aimed at mitigating climate change. As a result, engagement on the topic has been closed.

Global Power Synergy PCL

ISIN  
TH6488010005



SDG ALIGNMENT

SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services

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, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, 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  
Q2 2020

THEME




Environmental impacts: Depletion of biodiversity; Living standards, Stakeholder consultation


LOCATION

Laos


MOTIVATION FOR CLOSING ENGAGEMENT




ISS ESG discontinued this engagement on 10 September 2020, owing to a poor outlook for attaining the engagement objectives due to the company's lack of openness to dialogue.




Golden Agri-Resources Ltd.		ISIN MU0117U00026
	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 Indonesia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 23 January 2020, as the company confirmed to investors that it is no longer under investigation, has dismissed the employee involved in the incident, and has introduced targeted remedial measures. ISS ESG assessed that there are no grounds for further engagement on the topic with the company.		
GS Holdings Corp.		ISIN KR7078930005
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEMES Anti-competitive behaviour		LOCATIONS South Korea
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 4 December 2020, as ISS ESG assessed that the company has taken credible steps to address anti-competitive practices violations. As a result, engagement on the topic has been closed.		
Hyundai Heavy Industries Holdings Co., Ltd.		ISIN KR7267250009
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Anti-competitive behaviour		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy was upgraded to Green under the Norm-Based Research assessment. This change occurred because of remedial measures taken by the company along with the lack of renewed allegations since 2016.		




ICICI Bank Ltd.		ISIN XS1115200468
	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 India
MOTIVATION FOR CLOSING ENGAGEMENT On 1 September 2020, the Norm-Based Research assessment signal of this controversy was upgraded to Green, taking note of the extended time that has elapsed since the alleged misconduct in India occurred. As a result, engagement on the topic has been closed.		

Indivior PLC		ISIN GB00BR565X63
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q3 2019
THEME Consumer health, Consumer rights		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT On 8 September 2020, the assessment signal of this controversy was changed to Green, taking note of remedial measures initiated by Indivior PLC to address complaints and lawsuits in relation to the opioid addiction treatment drug Suboxone Film. While ISS ESG remains vigilant of developments, we have closed this engagement as no further dialogue is currently warranted.		

Industrial & Commercial Bank of China Ltd.		ISIN CNE000001P37
	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
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 17 June 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in Spain. As a result, engagement on the topic has been closed.		

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
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as ISS ESG assessed the bank's remedial efforts to be credible.		
Jindal Steel & Power Ltd.		ISIN INE749A01030
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2018
THEMES Bribery		LOCATION India
MOTIVATION FOR CLOSING ENGAGEMENT No new and relevant allegations have been raised since Jindal Steel & Power Ltd. (JSPL) had been accused by India's Central Bureau of Investigation in 2015 of having been involved in the bribery of an Indian minister in order to skew competition and obtain coal mining rights in 2008. Considering the extended time that has elapsed since the alleged bribery controversy emerged, in addition to no renewed relevant allegations against JSPL for several years, ISS ESG assessed the controversy to no longer be current.		
Johnson & Johnson		ISIN US478160AN49
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2020
THEME Consumer fraud, Consumer health, Consumer rights; Bribery		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT In February 2020, Johnson & Johnson declined to participate in the engagement facilitated by ISS ESG. As this is the second time in the last five months that the company declined the opportunity to participate in the Pooled Engagement set-up, ISS ESG has discontinued the engagement.		

Kinpo Electronics, Inc.		ISIN TW0002312006
	<p><b>SDG ALIGNMENT</b></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>	QUARTER Q4 2019
<p><b>THEME</b></p> <p>Working conditions: Forced labour, Freedom of expression, Modern slavery</p>		<p><b>LOCATION</b></p> <p>Thailand</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The Norm-Based Research assessment was revised to Green on 12 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that migrant workers were forced to pay recruitment fees and exposed to the associated risk of debt bondage. As a result, engagement on the topic has been closed.</p>		
Korea Electric Power Corp.		ISIN KR7015760002
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing</p>	QUARTER Q4 2018
<p><b>THEME</b></p> <p>Living standards, Right to life, Stakeholder consultation</p>		<p><b>LOCATION</b></p> <p>Cambodia</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>Most of the irremediable impacts of the accident at the Xe-Pian Xe-Namnoy dam have been observed in Laos, and there has been a lack of significant developments or renewed and detailed allegations with regard to Cambodia. Therefore, ISS ESG closed this engagement on the Cambodia impacts of this dam incident.</p>		
Mallinckrodt Plc		ISIN IE00BBGT3753
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	QUARTER Q1 2020
<p><b>THEME</b></p> <p>Bribery</p>		<p><b>LOCATION</b></p> <p>United States</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The Norm-Based Research assessment was revised to Green on 14 April 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in the United States. As a result, engagement on the topic has been closed.</p>		

National Australia Bank Ltd.		ISIN AU000000NAB4
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2020
THEME Bribery		LOCATION Australia
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as the company stated that it responded immediately, investigated, and reported to the police the allegations raised by a whistleblower. Also, the company stated that it is a victim of fraud and stated that its employees are not being investigated or have been suggested of wrongdoing by the police.</p>		
Nissan Motor Co., Ltd.		ISIN JP3672400003
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATIONS United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green. This upgrade occurred because a December 2020 signed court document confirmed that Nissan Motor Co., Ltd. is no longer a member of the industry group Alliance for Automotive Innovation, which is participating in legal proceedings that support a rollback of fuel-efficiency standards in the United States aimed at mitigating climate change. Considering that Nissan Motor left the industry group, ISS ESG deems the company to no longer be involved in the controversy.</p>		
Norsk Hydro ASA		ISIN NO0005052605
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q3 2018
THEME Water pollution		LOCATION Brazil

MOTIVATION FOR CLOSING ENGAGEMENT

The assessment has been revised to Green as of 23 October 2020, as the company is taking credible remediation measures. As a result, engagement with the company on the topic is satisfactorily completed.

Olam International Ltd.

ISIN  
SG1Q75923504



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 2017

THEME

Forced labour, Modern slavery

LOCATION

Uzbekistan

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 13 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent forced labour in the supply chain in Uzbekistan. As a result, engagement on the topic has been closed.

Petróleo Brasileiro SA

ISIN  
BRPETRACNOR9



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

Bribery

LOCATION

Brazil

MOTIVATION FOR CLOSING ENGAGEMENT

Petróleo Brasileiro SA (Petrobras) has demonstrated its willingness to engage and share information on its enhancement measures and the progress made to address longstanding allegations that it was involved in incidences of bribery. ISS ESG has assessed that the goals for engagement were successfully met and that there are no grounds for further engagement.

Porsche Automobil Holding SE

ISIN  
DE000PAH0038



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

#### MOTIVATION FOR CLOSING ENGAGEMENT

While the company failed to respond to investor outreach, the engagement was closed on 24 September 2020 as ISS ESG assessed that the company had successfully completed its U.S. Department of Justice-appointed monitorship that resulted from the company equipping cars with software designed to cheat emissions tests, and thus the Norm-Based Research assessment was revised to Green.

#### PT Sawit Sumbermas Sarana Tbk

ISIN  
ID1000130008



#### 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  
Q4 2019

#### THEME

Depletion of biodiversity, Climate change impacts, Deforestation

LOCATIONS  
Indonesia

#### MOTIVATION FOR CLOSING ENGAGEMENT

On 1 September 2020, the Norm-Based Research assessment signal of this controversy was changed to Green, taking note that no new allegations have recently arisen. While ISS ESG remains vigilant of developments, we have closed this engagement as no further dialogue is currently warranted.

#### 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

#### THEME

Human rights due diligence, Living standards, Stakeholder consultation

LOCATION  
Indonesia

#### MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 14 April 2020, as ISS ESG assessed that the company has resolved the issue of alleged poor stakeholder consultation and failure to respect adequate standard of living in Indonesia. As a result, engagement on the topic has been closed.

#### PT Solusi Bangun Indonesia Tbk

ISIN  
ID1000072309








#### SDG ALIGNMENT

SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services




QUARTER  
Q4 2019





	SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	
THEME	Human rights due diligence, Living standards, Stakeholder consultation	LOCATION Indonesia
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>PT Solusi Bangun Indonesia Tbk has been accused of poor stakeholder consultation and failure to respect the right to an adequate standard of living in Indonesia by several NGOs since 2011. While the dispute between Indonesian authorities and the stakeholders remains a concern, no new allegations have emerged against the company since 2017, and ISS ESG deems that engagement with the company is no longer necessary.</p>		
Ratch Group Public Co. Ltd.		ISIN TH0637010008
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing	QUARTER Q4 2018
THEME	Living standards, Right to life, Stakeholder consultation	LOCATION Cambodia
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>Most of the irremediable impacts of the accident have been observed in Laos, and there has been a lack of significant developments or renewed and detailed allegations with regard to Cambodia. Therefore, ISS ESG closed the engagement on the Cambodia impacts of this dam incident.</p>		
Red Rock Resorts, Inc.		ISIN US75700L1089
	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	Union rights	LOCATION United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>In April 2020, Red Rock Resorts, Inc. declined to participate in the engagement facilitated by ISS ESG and confirmed that it has no intention to engage on the ESG topics identified. As such, this engagement has been discontinued.</p>		

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	QUARTER Q3 2019
THEME Working conditions: Union rights		LOCATION Turkey
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment for Renault SA was revised to Green on 28 February 2020, as ISS ESG assessed that the company had initiated adequate measures to address previous findings that it was failing to respect its workers' right to collective bargaining and freedom of association in Turkey. As a result, engagement on the topic has been closed.		
Rheinmetall AG		ISIN DE0007030009
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEME Human rights due diligence, Military / security supplies		LOCATION Yemen
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG discontinued this engagement owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo, as the company told investors that the German government has decision-making authority over arms exports and that the company respects authorities' decisions. Still, the company stressed that the protection of human rights is an integral part of its social responsibility anchored in its policies and codes of conduct.		
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
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 5 June 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Russia. As a result, engagement on the topic has been closed.		

Royal Dutch Shell Plc		ISIN GB00B03MM408
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</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 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>	<p><b>QUARTER</b> Q2 2017 and Q4 2019</p>
<p><b>THEME</b> Workplace health and safety, Bribery, Human rights due diligence, Living standards, Right to health, Stakeholder consultation</p>		<p><b>LOCATIONS</b> Brazil and Nigeria</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>Regarding the alleged failure to respect the right to safe and healthy working conditions in Brazil, the company provided several assurances to ISS ESG and investors of measures taken to address the occupational health and safety (OHS) risks of its sugarcane operations and no credible allegations have emerged since 2016. Therefore, ISS ESG assesses that the controversy is no longer current.</p> <p>In addition, the Norm-Based Research assessment regarding the alleged failure to prevent bribery in Nigeria was revised to Green on 11 February 2020, as ISS ESG assessed that the controversy was no longer valid. As a result, engagement on the topic has been closed.</p> <p>Finally, on March 24, 2020 the Norm-Based Research assessment related to alleged poor stakeholder consultation and failure to respect the right to adequate standard of living in Nigeria was upgraded to Green. As such, ISS ESG closed this engagement as further dialogue on this topic is not warranted.</p>		
RWE AG		ISIN XS0542298012
	<p><b>SDG ALIGNMENT</b></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><b>QUARTER</b> Q2 2020</p>
<p><b>THEME</b> Climate change impacts, Deforestation, Opposition to climate change mitigation</p>		<p><b>LOCATION</b> Germany</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>ISS ESG closed this engagement as the company satisfied all conditions for revision to Green, and thus has successfully resolved the controversy. Furthermore, credible measures have been adopted for three of the four engagement targets.</p>		

Ryanair Holdings Plc		ISIN US7835131043
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men</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 10: Reduced Inequalities; 10.1: Achieve and sustain income growth</p>	<p>QUARTER</p> <p>Q1 2019</p>
<p>THEME</p> <p>Working conditions: Union rights</p>		<p>LOCATION</p> <p>Netherlands</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 20 November 2020, as ISS ESG noted such developments as a Dutch court finding that the company had plausible economic grounds for closing its base in Eindhoven, the Netherlands. As a result, engagement on the topic has been closed.</p>		
Saudi Arabian Oil Co.		ISIN SA14TG012N13
	<p>SDG ALIGNMENT</p> <p>N/A</p>	<p>QUARTER</p> <p>Q1 2020</p>
<p>THEME</p> <p>Anti-competitive behaviour</p>		<p>LOCATION</p> <p>South Korea</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as Saudi Arabian Oil Co.'s 63.41%-owned subsidiary S-Oil Corp., was assessed to have taken credible steps to address anti-competitive practices violations.</p>		
SBM Offshore NV		ISIN NL0000360618
	<p>SDG ALIGNMENT</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	<p>QUARTER</p> <p>Q3 2018</p>
<p>THEME</p> <p>Bribery</p>		<p>LOCATION</p> <p>Angola, Brazil, Equatorial Guinea, Iraq and Kazakhstan</p>
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 9 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Angola, Brazil, Equatorial Guinea, Iraq, and Kazakhstan. As a result, engagement on the topic has been closed.</p>		

Sibanye Gold Ltd.		ISIN US8257242060
	<p><b>SDG ALIGNMENT</b></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>	QUARTER Q4 2019
<p><b>THEME</b></p> <p>Forced displacement, Living standards, Right to health, Right to water, Stakeholder consultation, Workplace health and safety</p>		LOCATION South Africa
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>ISS ESG discontinued this engagement because in February 2020 Sibanye Gold Limited became - through an internal restructuring - a subsidiary of holding and listed company Sibanye Stillwater Limited. Thus, the party to this engagement dialogue going forward is Sibanye Stillwater Limited.</p>		

SK Holdings Co., Ltd.		ISIN KR7034730002
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing</p>	QUARTER Q1 2020
<p><b>THEME</b></p> <p>Living standards, Right to life, Stakeholder consultation; Anti-competitive behaviour</p>		LOCATIONS Cambodia and South Korea
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>Most of the irremediable impacts of the accident at the Xe-Pian Xe-Namnoy dam have been observed in Laos, and there has been a lack of significant developments or renewed and detailed allegations with regard to Cambodia. Therefore, ISS ESG closed the engagement on the Cambodia impacts of this dam accident.</p> <p>In addition, ISS ESG closed the engagement related to anti-competitive behaviour as the underlying controversy has been upgraded to Green. This change occurred because ISS ESG assessed the company with having taken credible steps to address anti-competitive practices violations.</p>		

SK Innovation Co., Ltd.		ISIN KR7096770003
	<p><b>SDG ALIGNMENT</b></p> <p>N/A</p>	QUARTER Q1 2020
<p><b>THEME</b></p> <p>Anti-competitive behaviour</p>		LOCATION South Korea

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green. This change occurred because ISS ESG assessed the company with having taken credible steps to address anti-competitive practices violations.

SNC-Lavalin Group, Inc.

ISIN  
CA78460T1057



SDG ALIGNMENT

SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization

QUARTER  
Q4 2018

THEMES  
Taxation

LOCATION  
Senegal

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 4 March 2020, as the allegations of the company's failure to pay its fair share of taxes in Senegal did not lead to any publicly disclosed formal investigation. As a result, engagement on the topic has been closed.

S-Oil Corp.

ISIN  
KR7010950004



SDG ALIGNMENT

N/A

QUARTER  
Q1 2020

THEME  
Anti-competitive behaviour

LOCATION  
South Korea

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as the company was assessed to have taken credible steps to address anti-competitive practices violations.

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  
Union rights


LOCATION  
United States


MOTIVATION FOR CLOSING ENGAGEMENT


In April 2020, Red Rock Resorts, Inc. declined to participate in the engagement facilitated by ISS ESG and confirmed that it has no intention to engage on the ESG topics identified. As such, this engagement has been discontinued.


The Blackstone Group, Inc.		ISIN US09253U1088
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2018
THEME Taxation		LOCATION United Kingdom
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 4 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to pay fair share of taxes in the United Kingdom. As a result, engagement on the topic has been closed.		

The Boeing Co.		ISIN US0970231058
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2019
THEME Consumer health, Consumer rights, Right to life		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 20 March 2020 as there have been no reports of fatal accidents attributed to the company within the U.S. As a result, engagement on this consumer health and safety issue has been closed.		

The Coca-Cola Co.		ISIN US191216AR14
	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 2020
THEME Union rights		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green, as there have been no new allegations of anti-union activity raised against Coca-Cola Beverages Northeast, Inc. since 2017.		

The GEO Group, Inc.		ISIN US36159R1032
	<p><b>SDG ALIGNMENT</b></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>SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere</p>	<p><b>QUARTER</b> Q3 2019</p>
<p><b>THEMES</b></p> <p>Human rights due diligence, Torture / inhumane treatment; Working conditions: Forced labour, Living wage, Modern slavery</p>		<p><b>LOCATIONS</b> United States</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The GEO Group, Inc. declined to participate in the engagement facilitated by ISS ESG. As such, this engagement has been discontinued.</p>		

The Goldman Sachs Group, Inc.		ISIN US38141EA257
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	<p><b>QUARTER</b> Q1 2020</p>
<p><b>THEME</b> Bribery</p>		<p><b>LOCATION</b> United Arab Emirates, Malaysia and United States</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The Norm-Based Research assessment was revised to Green on 11 September 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Malaysia and the United Arab Emirates. As a result, engagement on the topic has been closed.</p> <p>The Norm-Based Research assessment was revised to Green on 9 September 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in the United States. As a result, engagement on the topic has been closed.</p>		

Uber Technologies, Inc.		ISIN US90353T1007
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p>	<p><b>QUARTER</b> Q1 2020</p>
<p><b>THEME</b> Taxation</p>		<p><b>LOCATION</b> United Kingdom</p>



MOTIVATION FOR CLOSING ENGAGEMENT

Technical limitations with the case concept require that this case be closed, not the case intended to be closed: "Failure to respect consumer health and safety in the United Kingdom." Regarding this latter case, it has been upgraded to Green, as Westminster Magistrates' Court and Transport for London have recognized that Uber London Limited (ULL), an indirectly controlled subsidiary of Uber Technologies, Inc., is taking credible measures to address public safety concerns in London.

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, Right to health

LOCATION

United States

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 10 March 2020, as ISS ESG assessed that the company was no longer involved in the controversy given that no renewed allegations have been reported since 2017 when lawsuits alleging UnitedHealth Group, Inc. was involved in defrauding the United States Medicare Advantage program were unsealed. As a result, engagement on the topic has been closed.

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: Air pollution

LOCATION

United States

MOTIVATION FOR CLOSING ENGAGEMENT

The engagement was closed as ISS ESG assessed that the company had successfully completed its U.S. Department of Justice-appointed monitorship that resulted from the company equipping cars with software designed to cheat emissions tests, and thus the Norm-Based Research assessment was revised to Green.

## 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.