



FUTUR PENSION



2021

**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 Norm-Based 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 Norm-Based Engagement Solution of ISS ESG to help facilitate its engagement activities. For more information about ISS ESG and the Norm-Based Engagement Solution, we refer you to Appendix A of this report.

THE NORM-BASED ENGAGEMENT PROCESS

ISS ESG's Norm-Based Engagement Solution facilitates engagement with issuers on behalf of clients who would like to encourage corporate disclosure of efforts taken to manage or mitigate the environmental and social risks connected to business activities or operations. The Norm-Based Engagement Solution enables participating asset owners and managers to wield more influence than through solo engagements, while saving time and resources.

INITIATING ENGAGEMENT

Through ISS ESG's Norm-Based Engagement Solution, clients can focus on companies that are assessed under ISS ESG Norm-Based Research to be involved in alleged or verified severe, systematic, or systemic failures to respect international norms. Engagement under the solution is preceded by in-depth research and fact-finding dialogues with companies and stakeholders. Through these feasibility studies, ISS ESG identifies gaps in company disclosure and assesses whether investor dialogue is an appropriate means to reach the objectives set by the clients. Influential factors include an estimation of the company's level of responsibility, steps it has taken to mitigate the possible failure to respect a norm, and availability of both stakeholder and expert sources to facilitate constructive dialogue.

At the outset of engagement, clear and actionable objectives are defined on the basis of expectations regarding 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 Norm-Based Engagement process is assessed against the objectives established at the outset of engagement and then a decision is 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.

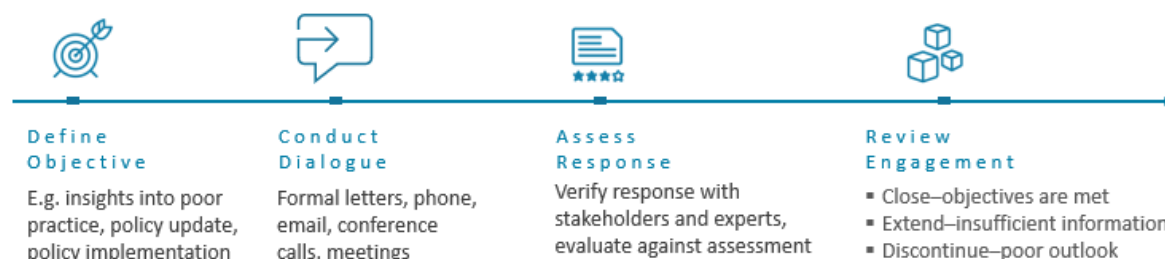


Figure 1: Simplified Norm-Based Engagement process.

CONDUCTING EFFECTIVE ENGAGEMENT DIALOGUE

Norm-Based Engagement aims to build relationships that facilitate constructive dialogue, enabling investors to exercise their influence as owners. ISS ESG's Norm-Based Engagement approach encourages companies to elaborate on efforts taken to design and implement better risk management

systems to minimize the risk for re-occurrence of failures to respect international norms. Through the solution, information is sought on whether a company has proven successful in implementing a genuine reduction in risk.

ELICITING RESPONSES FROM NON-RESPONSIVE COMPANIES

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 Norm-Based 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.



Figure 2: Simplified Norm-Based Engagement timeline.

2021 ENGAGEMENTS STATISTICS

Futur Pension participated in 133 separate company engagements held during 2021, covering 204 individual ESG topics. 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. 57% of 133 companies provided responses to the investor outreach.

Charts 1-4: Summary charts of engagements conducted between 1 January and 31 December 2021

Chart 1

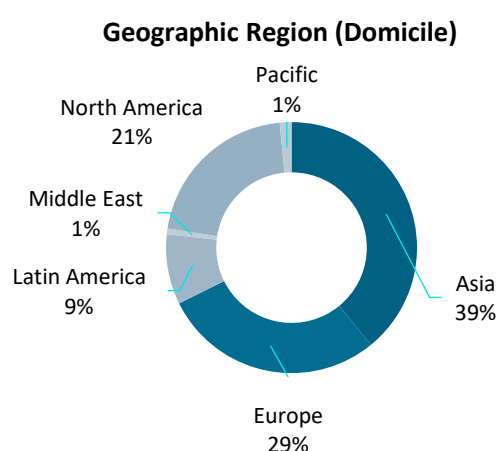


Chart 2

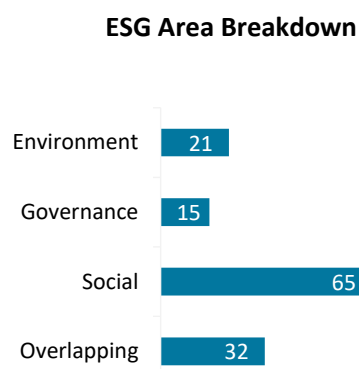


Chart 3

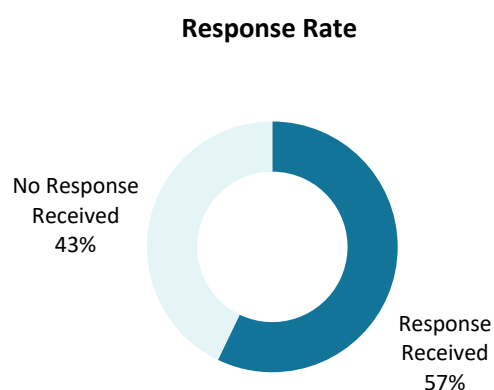
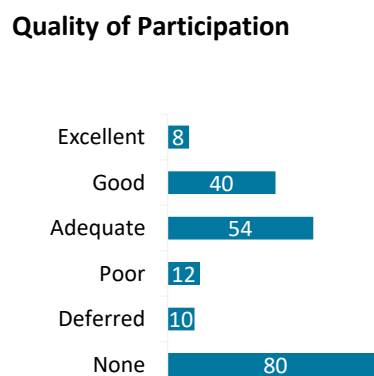


Chart 4







ENGAGEMENT THEMES IN 2021

In 2021, ISS ESG was mandated to represent clients under the Norm-Based Engagement Solution¹ in engagement on environmental, social, and governance issues with 134 companies covering 206 individual ESG topics, across more than 46 different locations.

The engagements are categorised under the four United Nations (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, 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 related to norms for anti-corruption, engagement focused on their efforts to address reported incidences of bribery and money laundering.

The following table provides an overview of major engagement themes in 2021.

Table 1: Major engagement themes in 2021 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 |

¹ In November 2021, ISS ESG renamed its longstanding Pooled Engagement Solution to Norm-Based Engagement Solution.

2021 ENGAGEMENT DETAILS

ENGAGEMENTS IN 2021


The following section provides information on all engagement dialogues held during 2021. The tables present the milestones achieved for each of the engagement objectives set when the engagement cycle was initiated.


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


| | | | |
|------------------|--------------------------------------|------------|---------------------------|
| 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 in a subsequent chapter.

DIALOGUES HELD DURING 2021

| 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 Q3 2020 |
| | THEME Workplace health and safety | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced | |

| ACS Actividades de Construccion y Servicios SA | | | ISIN ES0167050915 |
|---|--|---|----------------------|
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world’s cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | | QUARTER Q1 2021 |
| | THEME Depletion of biodiversity, environmental impact | | LOCATION Canada |
| 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 Indigenous rights | | | LOCATION Canada |
| 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 | |

| Aecon Group Inc. | | | ISIN CA00762V1094 |
|---|---|--|----------------------|
|  | SDG ALIGNMENT | | QUARTER Q1 2021 |
| | SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world’s cultural and natural heritage | | |
| | SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetland | | |
| | SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels, mountains and drylands | | |
| THEME Biodiversity, Environmental impacts | | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced | |
| THEME Indigenous rights, Living standards | | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced | |

| Albemarle Corporation | | | ISIN US012653AA94 |
|---|--|--|----------------------|
|  | SDG ALIGNMENT | | QUARTER Q1 2021 |
| | SDG 6: Clean Water and Sanitation; 6.1: Universal and equitable access to safe and affordable drinking water | | |
| | SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage | | |
| | SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands | | |
| | SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | | |
| THEME Biodiversity, Environmental impacts | | | LOCATION Chile |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE | REMEDIAL ACTION | |




| | | |
|-------------------------------------|---|--|
| | Measures initiated | Measures initiated |
| THEME | | |
| Indigenous rights, Living standards | | LOCATION Chile |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed |


| | | |
|-----------------------------------|--|---|
| 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 Q3 2021 |
| THEME | | |
| Anti-competitive behaviour | | LOCATION Several countries |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated |
| THEME | | |
| Consumer privacy, Consumer rights | | LOCATION France |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated |
| THEME | | |
| Workplace health and safety | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed |


| | | |
|-------------|---------------|----------------------|
| ALROSA PJSC | | ISIN RU0007252813 |
| | SDG ALIGNMENT | QUARTER |

| | | |
|--|--|--|
| | 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 | Q2 2021 |
| THEME Environmental impacts, Pollution, Water pollution | | LOCATION Russia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Measures initiated |


| | | |
|---|--|--|
| 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 | QUARTER Q1 2021 |
| THEME Union rights | | LOCATION Germany |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |
| THEME Working conditions, Workplace health and safety, Union rights | | LOCATION United Kingdom |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |
| THEME Union rights | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |


| THEME | | | LOCATION |
|---|----------------------------|-----------------------|----------|
| Working conditions, Workplace health and safety, Union rights | | | Italy |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE | No measures announced | |
| | IMPLEMENTATION OF POLICIES | No measures announced | |
| GOALS SET & MILESTONES ACHIEVED | TERMINATION OF PRACTICE | No measures announced | |
| | REMEDIAL ACTION | No measures announced | |
| THEME | | | LOCATION |
| Working conditions, Workplace health and safety, Union rights | | | Spain |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE | No measures announced | |
| | IMPLEMENTATION OF POLICIES | No measures announced | |
| GOALS SET & MILESTONES ACHIEVED | TERMINATION OF PRACTICE | No measures announced | |
| | REMEDIAL ACTION | No measures announced | |



| | | | |
|---|---|---|------------------------|
| ArcelorMittal SA | | | ISIN US03938LAL80 |
|  | SDG ALIGNMENT SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species | | QUARTER Q1 2021 |
| THEME Air pollution | | | LOCATION Kazakhstan |
| 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 Air pollution | | | LOCATION France |
| 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 | |
| | | | |

| | | |
|---|---|-------------------------------|
| Bayer AG | | ISIN DE000BAY0017 |
|  | SDG ALIGNMENT SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species | QUARTER Q4 2018 |
| THEME Biodiversity, Environmental impacts | | LOCATION Several countries |

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

| BHP Group Limited | | ISIN AU000000BHP4 |
|---|---|---|
|  | <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> <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> | QUARTER Q1 2021 |
| THEME Environmental impacts, Soil and water pollution | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Credible measures adopted |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |
| THEME Depletion of biodiversity | | LOCATION Chile |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Credible measures adopted |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |


| BHP Group Plc | | ISIN GB0000566504 |
|---|---|----------------------|
|  | <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> <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> | QUARTER Q1 2021 |
| THEME | | LOCATION |


| | | |
|---|---|---|
| Environmental impacts, Soil and water pollution | | Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Credible measures adopted |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |
| THEME Depletion of biodiversity | | LOCATION Chile |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Credible measures adopted |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |
| 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 |
| THEME Forced labour, Modern slavery | | LOCATION United Kingdom |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |
| Capital One Bank (USA), NA | | |
| | | ISIN US14040EHG08 |
|  | SDG ALIGNMENT N/A | QUARTER Q1 2021 |
| THEME Consumer privacy, Consumer rights, Cybersecurity | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |




| | | | |
|---|--|--|---------------------------|
| Capital One Financial Corporation | | | ISIN US14040HAS40 |
| | SDG ALIGNMENT N/A | QUARTER Q1 2021 | |
| THEME Consumer privacy, Consumer rights, Cybersecurity | | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated | |
| THEME Consumer privacy, Consumer rights, Cybersecurity | | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Measures initiated | |
| Capital One, NA | | | ISIN US14042E3V09 |
| | SDG ALIGNMENT N/A | QUARTER Q1 2021 | |
| THEME Consumer privacy, Consumer rights, Cybersecurity | | | 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 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 Q3 2020 & Q4 2021 | |
| THEME Union rights | | | LOCATION Turkey |


| | | |
|---|--|---|
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated |
| THEME Depletion of biodiversity, Deforestation | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION Measures initiated |

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

| | | |
|---|--|----------------------|
| Centrais Eletricas Brasileiras SA | | ISIN BRELETACNOR6 |
|  | SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.1: Universal and equitable access to safe and affordable drinking water SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, 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; 16.5: Reduce corruption and bribery in all their forms SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | QUARTER Q2 2021 |

| THEME | | LOCATION |
|-------------------------------------|---|---|
| Indigenous rights, Living standards | | Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |
| THEME | | LOCATION |
| Depletion of biodiversity | | Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |

| China Yangtze Power Co., Ltd. | | ISIN CNE000001G87 |
|---|---|---|
|  | SDG ALIGNMENT 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 | QUARTER Q3 2021 |
| THEME | | LOCATION |
| Depletion of biodiversity | | 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 |

| 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 Q3 2021 |
| THEME | | LOCATION |
| Money laundering | | Russia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE | REMEDIAL ACTION |



| | | |
|---------------------------------|----------------------------------|-----------------------------------|
| | N/A | N/A |
| THEME Money laundering | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES N/A |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION N/A |

| | | |
|------------------------------------|---|-----------------------------------|
| Deutsche Bank AG /New York Branch/ | | ISIN US251525AT85 |
| | 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 2021 |
| THEME Money laundering | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES N/A |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION N/A |

| | | |
|---|--|---|
| Esewedy Electric Co. | | ISIN EGS3G0Z1C014 |
| | 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; 15.5: Protect and prevent the extinction of threatened species | QUARTER Q2 2021 |
| THEME Deforestation, Depletion of Biodiversity | | LOCATION Tanzania |
| 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 |

| | | |
|----------------------|--|----------------------|
| Experian Finance Plc | | ISIN US30217AAA16 |
|----------------------|--|----------------------|





| | | |
|--|---|--|
| | SDG ALIGNMENT N/A | QUARTER Q1 2021 |
| THEME Consumer privacy, Consumer rights | | LOCATION United Kingdom |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed |


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| Experian Plc | | ISIN GB00B19NLV48 |
| | SDG ALIGNMENT N/A | QUARTER Q1 2021 |
| THEME Consumer privacy, Consumer rights, Cybersecurity | | LOCATION South Africa |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Measures initiated |
| THEME Consumer privacy, Consumer rights | | LOCATION United Kingdom |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed |



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| FirstEnergy Corp. | | ISIN US3379321074 |
| | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q2 2021 |
| THEME Bribery | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE | REMEDIAL ACTION |

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| | N/A | Measures initiated |
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| Freeport-McMoRan, Inc. | | ISIN US35671D8570 |
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|  | <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 Q1 2020 |
| THEME 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 |


| Glencore Plc | | ISIN JE00B4T3BW64 |
|---|--|--|
|  | <p>SDG ALIGNMENT</p> <p>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</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 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 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p> | QUARTER Q3 2020 |
| THEME Tax irregularities | | LOCATION Australia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |

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| THEME Modern Slavery | | LOCATION Democratic Republic of the Congo |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed |
| THEME Water Pollution | | LOCATION Peru |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION No measures announced |
| Golden Agri-Resources Ltd | | ISIN MU0117U00026 |
|  | 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 Q2 2021 |
| THEME Forced displacement, Indigenous rights | | LOCATION Liberia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated |
| THEME Indigenous rights, Stakeholder consultation | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Measures initiated |
| Google LLC | | ISIN US38259PAA03 |

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|  | 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 Q3 2021 |
| | THEME Working conditions, Workplace health and safety | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed | |
| THEME Anti-competitive behaviour | | | LOCATION Several countries |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES No measures announced | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated | |
| THEME Consumer privacy, Consumer rights | | | LOCATION France |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated | |
| Hochtief AG | | | ISIN DE0006070006 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | | QUARTER Q1 2021 |
| | THEME Depletion of biodiversity, Environmental impacts | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed | |
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| GOALS SET & MILESTONES ACHIEVED | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |
| THEME Indigenous rights, Living standards, Stakeholder consultation | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed |

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| HUGO BOSS AG | | ISIN DE0005245534 |
|  | SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers | QUARTER Q1 2021 |
| THEME Union rights, Working conditions | | LOCATION Turkey |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |


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| Iberdrola SA | | ISIN ES0144580Y14 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, 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 2021 |
| THEME Forced displacement, Indigenous rights | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |


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| THEME Depletion of biodiversity, Deforestation, Environmental impacts | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |


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| Jardine Cycle & Carriage Limited | | ISIN SG1B51001017 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization, SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | QUARTER Q2 2021 |
| THEME Indigenous rights, Stakeholder consultation | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Commitment expressed |

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| Jardine Matheson Holdings Ltd. | | ISIN BMG507361001 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | QUARTER Q2 2021 |
| THEME Indigenous rights, Stakeholder consultation | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Commitment expressed |


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| Jardine Strategic Holdings Ltd. | | ISIN |
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| | | | BMG507641022 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | | QUARTER Q2 2021 |
| | THEME Indigenous rights, Stakeholder consultation | | LOCATION Indonesia |
| | GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Commitment expressed |


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|---|--|--|---|
| Korea Electric Power Corp. | | | ISIN KR7015760002 |
|  | 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 Q3 2021 |
| | THEME Indigenous rights, Living standards | | LOCATION Laos |
| | GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |
| | | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated |

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|---|--|---|---|
| Korea Western Power Co., Ltd. | | | ISIN CH0419040875 |
|  | 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 Q3 2021 |
| | THEME Indigenous rights, Living standards | | LOCATION Laos |
| | | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |


| GOALS SET & MILESTONES ACHIEVED | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Measures initiated |
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| Korian SA | | ISIN FR0010386334 |
|  | <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 Q4 2020 |
| THEME Consumer health and safety | | LOCATION France |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |

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| LG Chem Ltd. | | ISIN KR7051911006 |
|  | <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> | 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 |


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| Lonza Group AG | | ISIN CH0013841017 |
|  | <p>SDG ALIGNMENT</p> <p>SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change</p> | QUARTER Q3 2021 |
| THEME Air pollution, Climate change impacts | | LOCATION Switzerland |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Measures initiated |


| GOALS SET & MILESTONES ACHIEVED | TERMINATION OF PRACTICE Credible measures adopted | REMEDIAL ACTION Measures initiated |
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| Lyft, Inc. | | ISIN US55087P1049 |
|  | <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> | QUARTER Q1 2020 |
| THEME Working conditions | | 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 |

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| McDonald's Corporation | | ISIN US58013MEE03 |
|  | <p>SDG ALIGNMENT</p> <p>SDG 5: Gender Equality; 5.2: Eliminate all forms of violence against all women and girls</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; 10.3: Equal opportunities of outcome, SDG 5: Gender Equality; 5.1: End all forms of discrimination against all women and girls</p> | QUARTER Q4 2020 |
| THEME Gender discrimination | | LOCATION United States |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |

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| Pegatron Corp. | | ISIN TW0004938006 |
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|  | 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 | | QUARTER Q1 2021 |
| | THEME Workplace health and safety | | LOCATION China |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES No measures announced | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed | |


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| Petroleo Brasileiro SA | | | ISIN BRPETRACNOR9 |
|  | 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 Q4 2021 |
| | THEME Water and soil pollution | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated | |


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| POSCO | | | ISIN US6934831099 |
|  | 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 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 | | QUARTER Q1 2019 & Q3 2021 |
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| | SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species | | |
| | 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 | | |
| THEME Forced displacement, Human rights due diligence, Living standards | | | LOCATION Myanmar |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION N/A | |
| THEME Depletion of biodiversity, Deforestation | | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE Credible measures adopted | REMEDIAL ACTION Measures initiated | |
| THEME Union rights | | | LOCATION Turkey |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed | |
| THEME Indigenous rights, Stakeholder consultation | | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION No measures announced | |
| THEME Workplace health and safety | | | LOCATION South Korea |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed | |

| POSCO INTERNATIONAL Corp. | | | ISIN KR7047050000 |
|---|--|---|------------------------------|
|  | SDG ALIGNMENT | | QUARTER Q1 2019 & Q3 2021 |
| | 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 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers | | |
| | 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 Forced displacement, Human rights due diligence, Living standards | | | LOCATION Myanmar |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES No measures announced | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION N/A | |
| THEME Depletion of biodiversity, Deforestation | | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Credible measures adopted | |
| | TERMINATION OF PRACTICE Credible measures adopted | REMEDIAL ACTION Measures initiated | |
| THEME Union rights | | | LOCATION Turkey |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE Commitment expressed | REMEDIAL ACTION Commitment expressed | |
| THEME Indigenous rights, Stakeholder consultation | | | LOCATION Indonesia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE | REMEDIAL ACTION | |

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| | N/A | No measures announced |
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| PT Astra Agro Lestari Tbk | | ISIN ID1000066004 |
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|  | <p>SDG ALIGNMENT</p> <p>SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | <p>QUARTER Q2 2021</p> |
| <p>THEME Indigenous rights, Stakeholder consultation</p> | | <p>LOCATION Indonesia</p> |
| <p>GOALS SET & MILESTONES ACHIEVED</p> | <p>DISCLOSURE Commitment expressed</p> | <p>IMPLEMENTATION OF POLICIES Commitment expressed</p> |
| | <p>TERMINATION OF PRACTICE N/A</p> | <p>REMEDIAL ACTION Commitment expressed</p> |

| PT Astra International Tbk | | ISIN ID1000057607 |
|---|--|---|
|  | <p>SDG ALIGNMENT</p> <p>SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | <p>QUARTER Q2 2021</p> |
| <p>THEME Indigenous rights, Stakeholder consultation</p> | | <p>LOCATION Indonesia</p> |
| <p>GOALS SET & MILESTONES ACHIEVED</p> | <p>DISCLOSURE Commitment expressed</p> | <p>IMPLEMENTATION OF POLICIES Commitment expressed</p> |
| | <p>TERMINATION OF PRACTICE N/A</p> | <p>REMEDIAL ACTION Commitment expressed</p> |

| QUALCOMM Incorporated | | ISIN US7475251036 |
|---|-------------------------------------|-----------------------------------|
|  | <p>SDG ALIGNMENT N/A</p> | <p>QUARTER Q2 2021</p> |




| THEME | | LOCATION |
|---------------------------------|---|---|
| Anti-competitive behaviour | | Several countries |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Credible measures adopted |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION N/A |


| Ratch Group Public Co. Ltd. | | ISIN TH0637010008 |
|------------------------------------|---|---|
| | 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 2021 |
| THEME | | LOCATION |
| Right to health, Indigenous rights | | Laos |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |

| Raytheon Technologies Corp. | | ISIN ARDEUT110384 |
|--|--|---|
| | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere | QUARTER Q1 2021 |
| THEME | | LOCATION |
| Human rights due diligence, Military / security supplies | | Yemen |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION N/A |


| Samarco Mineracao SA | | ISIN BRFDS05ZC689 |
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| | SDG ALIGNMENT | QUARTER Q1 2021 |


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| | 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 | | |
| THEME Water and soil pollution | | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced | |


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| SAP SE | | | ISIN DE0007164600 |
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | | QUARTER Q4 2021 |
| THEME Bribery | | | LOCATION South Africa |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES N/A | |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION N/A | |

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| Securitas AB | | | ISIN XS0422689843 |
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere | | QUARTER Q4 2021 |
| THEME Children's rights, Human rights due diligence, Right to health, Torture / inhumane treatment | | | LOCATION Switzerland |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated | |

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| Serco Group Plc | | | ISIN GB0007973794 |
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|  | SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere | | QUARTER Q3 2021 |
| | THEME Human rights due diligence, Torture / inhumane treatment | | LOCATION Australia |
| 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 | |


| | | | |
|--|---|--|------------------------------|
| SIPEF SA/NV | | | ISIN BE0003898187 |
|  | 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; 10.1: Achieve and sustain income growth, SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men | | QUARTER Q3 2021 |
| | THEME Working conditions, Workplace discrimination, Workplace health and safety | | LOCATION Indonesia |
| 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 | |


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|---|--|--|-----------------------------|
| SK Inc. | | | ISIN KR7034730002 |
|  | 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 2021 |
| | THEME Indigenous rights, Living standards, Right to health, Right to life, Stakeholder consultation | | LOCATION Laos |
| 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 | |


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|---|--|--|--|
| SNC-Lavalin Group Inc. | | | ISIN CA78460T1057 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world’s cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | | QUARTER Q1 2021 |
| | THEME Indigenous rights, Living standards, Stakeholder consultation | | LOCATION Canada |
| | GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |
| THEME Depletion of biodiversity, Environmental impacts | | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment Expressed | |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced | |
| Sociedad Quimica y Minera de Chile SA | | | ISIN USP8718AAC01 |
|  | SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.1: Universal and equitable access to safe and affordable drinking water SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world’s cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | | QUARTER Q1 2021 |
| | THEME Depletion of biodiversity, Environmental impacts | | LOCATION Chile |
| | DISCLOSURE | | IMPLEMENTATION OF POLICIES |


| | | |
|--|---|--|
| GOALS SET & MILESTONES ACHIEVED | Measures initiated | Measures initiated |
| | TERMINATION OF PRACTICE Commitment Expressed | REMEDIAL ACTION Measures initiated |
| THEME Indigenous rights, Living standards | | LOCATION Chile |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment Expressed |
| | TERMINATION OF PRACTICE Commitment Expressed | REMEDIAL ACTION Commitment Expressed |

| | | |
|---|---|--|
| 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 2021 |
| THEME Money laundering | | LOCATION Several countries |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION Measures initiated |


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|---|---|---|
| Teck Resources Limited | | ISIN CA8787422044 |
|  | 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 Q1 2021 |
| THEME Depletion of biodiversity, Water pollution | | LOCATION Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |

| Top Glove Corp. Bhd. | | | ISIN MYL711300003 |
|---|---|--|------------------------------------|
|  | 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 Q2 2021 | |
| THEME Forced labour, Workplace health and safety | | | LOCATION Malaysia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated | |


| TPI - Triunfo Participacoes e Investimentos SA | | | ISIN BRTPIACNOR8 |
|---|---|--|----------------------------------|
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2021 | |
| THEME Bribery | | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Commitment expressed | IMPLEMENTATION OF POLICIES Commitment expressed | |
| | TERMINATION OF PRACTICE N/A | REMEDIAL ACTION N/A | |

| Transneft PJSC | | | ISIN RU0009091573 |
|---|---|--|----------------------------------|
|  | SDG ALIGNMENT 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 Q4 2021 | |
| THEME Water and soil pollution | | | LOCATION Russia |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Measures initiated | |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced | |





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|---|---|--|---------------------------|
| Tyson Foods, Inc. | | | ISIN US9024941034 |
|  | <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> | 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 | |
| United States Steel Corporation | | | ISIN US912656AG05 |
|  | <p>SDG ALIGNMENT</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p> | QUARTER Q1 2021 | |
| THEME Air pollution, Right to health | | | 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 | |
| Vale SA | | | ISIN US91912E1055 |
|  | <p>SDG ALIGNMENT</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, SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p> <p>SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p> <p>SDG 6: Clean Water and Sanitation; 6.1: Universal and equitable access to safe and affordable drinking water</p> | QUARTER Q2 2021 | |


| | | |
|---|--|---|
| | <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; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | |
| THEME Environmental impacts, Water pollution | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Credible measures adopted |
| | TERMINATION OF PRACTICE Measures initiated | REMEDIAL ACTION Measures initiated |
| THEME Indigenous rights, Living standards | | LOCATION Brazil |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Measures initiated | IMPLEMENTATION OF POLICIES Commitment expressed |
| | TERMINATION OF PRACTICE Measures initiated | 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 N/A | REMEDIAL ACTION Measures initiated |
| Vestas Wind Systems A/S | | ISIN DK0010268606 |
|  | <p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | QUARTER Q3 2021 |

| THEME | | LOCATION |
|---|--|---|
| Indigenous rights, Living standards, Stakeholder consultation | | Kenya |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE No measures announced | IMPLEMENTATION OF POLICIES No measures announced |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION Commitment expressed |

| Voith GmbH & Co. KGaA | | ISIN DED8884#AC03 |
|---|---|--|
|  | <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; 15.1: 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 Q1 2021 |
| THEME | | LOCATION |
| Depletion of biodiversity, Environmental impacts | | Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |
| THEME | | LOCATION |
| Indigenous rights, Living standards | | Canada |
| GOALS SET & MILESTONES ACHIEVED | DISCLOSURE Credible measures adopted | IMPLEMENTATION OF POLICIES Measures initiated |
| | TERMINATION OF PRACTICE No measures announced | REMEDIAL ACTION No measures announced |

UNRESPONSIVE COMPANIES AS OF 31 DECEMBER 2021

| | | |
|--|--|----------------------|
| 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 Forced labour, Modern slavery | LOCATION China |
| STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated. | | |
| Acciona SA | | ISIN ES0125220311 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | QUARTER Q1 2021 |
| | THEME Biodiversity, Environmental impacts | LOCATION Spain |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q1 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 2 December 2021. | | |
|  | THEME Indigenous rights, Living standards | LOCATION Spain |
| | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q4 2021 |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q1 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 2 December 2021. | | |
| Ackermans & van Haaren NV | | ISIN BE0003764785 |
|  | THEME Indigenous rights, Living standards | LOCATION Spain |
| | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q4 2021 |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q1 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 2 December 2021. | | |

| | |
|---|----------------------------------|
| THEME Bribery | LOCATION Russia |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |
| | |
| Airbus SE | ISIN NL0000235190 |
|  <p>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</p> | QUARTER Q3 2021 |
| THEME Union rights | LOCATION United States |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021. | |
| | |
| THEME Bribery | LOCATION China |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021. | |
| | |
| THEME Bribery | LOCATION Ghana |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021. | |
| | |
| THEME Bribery | LOCATION Nepal |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021. | |
| | |
| THEME Bribery | LOCATION United Arab Emirates |
| STATUS OF ENGAGEMENT | |

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021.

THEME
Bribery

LOCATION
Sri Lanka

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021.

THEME
Bribery

LOCATION
Taiwan

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021.

THEME
Bribery

LOCATION
Malaysia

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021.

THEME
Bribery

LOCATION
Kuwait

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021.

Alibaba Group Holding Ltd.

ISIN
KYG017191068



SDG ALIGNMENT
N/A

QUARTER
Q3 2021

THEME
Anti-competitive behaviour

LOCATION
China

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 28 December 2021.




Almirall SA

ISIN
ES0157097017



SDG ALIGNMENT

QUARTER
Q4 2021

| | |
|--|---------------------------|
| SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | |
| THEME Bribery | LOCATION United States |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |
| | |
| Aziyo Biologics, Inc. | |
| ISIN US05479K1060 | |
|  SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages | QUARTER Q4 2021 |
| THEMES Consumer health and safety, Consumer rights, Right to life | LOCATION United States |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |
| | |
| Banglalink Digital Communications Ltd. | |
| ISIN US059897AA67 | |
|  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 2021 |
| THEMES Union rights | LOCATION Bangladesh |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |
| | |
| BLD Plantation Bhd. | |
| ISIN MYL506900009 | |
|  SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests | QUARTER Q4 2021 |
| THEME Biodiversity, Climate change impacts, Deforestation | LOCATION Malaysia |
| STATUS OF ENGAGEMENT | |

The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.

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

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

China National Chemical Corp. Ltd.

ISIN
CND100005L10



SDG ALIGNMENT

SDG 3: Good Health and Wellbeing; 3.9: Reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination

SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages

SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species

QUARTER
Q2 2021

THEME

Biodiversity, Environmental impacts

LOCATION
China

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q2 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 17 December 2021.

THEME

Human rights due diligence, Right to health, Right to life


LOCATION
China




STATUS OF ENGAGEMENT

The company did not respond to outreach in Q2 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 17 December 2021.


China National Petroleum Corp.


ISIN
CND100002XJ6

| | | |
|--|---|-----------------------------------|
|  | <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> | <p>QUARTER Q4 2021</p> |
| | <p>THEME Soil and water pollution</p> | <p>LOCATION China</p> |
| <p>STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.</p> | | |



| | | |
|--|---|-------------------------------------|
| <p>China Three Gorges Corp..</p> | | <p>ISIN CND0000003D1</p> |
|  | <p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food</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 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 Q3 2021</p> |
| | <p>THEME Forced displacement, Indigenous rights, Living standards, Stakeholder consultation</p> | <p>LOCATION Brazil</p> |
| <p>STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.</p> | | |
|  | <p>THEME Forced displacement, Living standards, Stakeholder consultation</p> | <p>LOCATION Guinea</p> |
| | <p>STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.</p> | |
|  | <p>THEME Biodiversity, Environmental impacts</p> | <p>LOCATION China</p> |
| | <p>STATUS OF ENGAGEMENT</p> | |




The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

| Coal India Ltd. | | ISIN INE522F01014 |
|--|--|--------------------------|
|  | SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages | QUARTER Q4 2021 |
| | 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 | |
| THEME Air pollution, Pollution, Water pollution | | LOCATION India |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | | |
| THEME Workplace health and safety | | LOCATION India |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | | |


| Companhia de Saneamento do Parana | | ISIN BRSAPRACNOR9 |
|---|--|---------------------------|
|  | 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 Q3 2021 |
| | SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes | |
| THEME Water pollution | | LOCATION Brazil |
| STATUS OF ENGAGEMENT | | |

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.


| Companhia Energetica de Minas Gerais SA | | ISIN BRCMIGACNPR3 |
|---|---|----------------------|
|  | SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services 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 2021 |
| | THEME Forced displacement, Indigenous rights, Living standards, Right to health, Stakeholder consultation | LOCATION Brazil |
| | STATUS OF ENGAGEMENT The company did not respond to outreach in Q2 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 17 December 2021. | |
| | THEME Biodiversity, Environmental impacts | LOCATION Brazil |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q2 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 17 December 2021. | | |
| Daqo New Energy Corp. | | ISIN US23703Q1040 |
|  | 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 2021 |
| | THEME Forced labour, Human rights due diligence, Modern slavery | LOCATION China |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021. | | |

| | | |
|---|--|----------------------|
| Ecopetrol SA | | ISIN COC04PA00016 |
|  | SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes, 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 2021 |
| | THEME Union Rights | LOCATION Colombia |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021. | | |
| THEME Biodiversity, Oil spill, Pollution, Right to health, Soil pollution, Water pollution | | LOCATION Colombia |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021. | | |
| Gazprom Neft PJSC | | ISIN RU0009062467 |
|  | 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 Q4 2021 |
| | THEME Environmental impacts, Oil spill, Pollution, Water pollution | LOCATION Russia |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | | |
| GCL-Poly Energy Holdings Limited | | ISIN KYG3774X1088 |
|  | 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 2021 |
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| THEME Forced labour, Human rights due diligence, Modern slavery | LOCATION China |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021. | |


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|---|---|----------------------|
| Haoxiangni Health Food Co., Ltd. | | ISIN CNE1000012Z2 |
|  | 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 As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated. | | |


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|--|---|-------------------------------|
| Hon Hai Precision Industry Co., Ltd. | | ISIN CNE000001PN5 |
|  | <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 10: Reduced Inequalities; 10.1: Achieve and sustain income growth, SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men</p> | <p>QUARTER</p> <p>Q4 2020</p> |
| <p>THEMES</p> <p>Working conditions, Forced labour, Workplace health and safety, Living wage</p> | | <p>LOCATIONS</p> <p>China</p> |
| <p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated.</p> | | |

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| Jiangsu Guotai International Group Co., Ltd. | | ISIN CNE000001PN5 |
|  | 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 | LOCATIONS | |

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| Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination | China |
| <p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated.</p> | |

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|--|----------------------|
| Jihua Group Corp. Ltd. | ISIN CNE100000SK6 |
|  <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 Q3 2021 |
| <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 Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.</p> | |

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|--|----------------------|
| JinkoSolar Holding Co., Ltd. | ISIN KY47759T2095 |
|  <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 Q3 2021 |
| <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 Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.</p> | |

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|--|----------------------|
| Lens Technology Co., Ltd. | ISIN CNE100001YW7 |
|  <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 Q3 2021 |
| <p>THEME</p> <p>Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination</p> | LOCATION China |

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

Lingui Developments Bhd.

ISIN
MYL20110O004

SDG ALIGNMENT

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



SDG 15: Life on Land; 15.2: Sustainable management of all types of forests, SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species

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

QUARTER
Q3 2020

THEME

Indigenous rights, Stakeholder consultation

LOCATIONS
Malaysia

STATUS OF ENGAGEMENT

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

THEME

Biodiversity, Deforestation

LOCATIONS
Malaysia

STATUS OF ENGAGEMENT

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

Meta Platforms, 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
Q3 2021

THEMES

Working conditions, Workplace health and safety

LOCATION
United States

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

THEMES

Working conditions, Workplace health and safety

LOCATION
Ireland

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

NLC India Ltd.

ISIN
INE215901013



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 2021

THEME

Workplace health and safety

LOCATION
India

STATUS OF ENGAGEMENT

The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.

OFILM Group Co., Ltd.

ISIN
CNE100000533



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

LOCATION
China

STATUS OF ENGAGEMENT

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

Petroleos Mexicanos SA

ISIN
US71654QAW24



SDG ALIGNMENT



SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages



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


QUARTER
Q4 2021

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| <p>SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems</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> | |
| THEME Biodiversity, Oil spill, Pollution, Soil pollution, Water pollution | LOCATION Mexico |
| <p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.</p> | |
| THEME Workplace health and safety | LOCATION Mexico |
| <p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.</p> | |
| <p>Power Construction Corporation of China, Ltd.</p> | |
| ISIN CNE1000017G1 | |
|  <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; 15.5: Protect and prevent the extinction of threatened species</p> | QUARTER Q4 2021 |
| THEME Biodiversity, Deforestation, Environmental impacts | LOCATION China |
| <p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.</p> | |
| <p>SAIC Motor Corp. Ltd.</p> | |
| ISIN CNE000000TY6 | |
|  <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 |
| THEME Forced labour, Human rights due diligence, Modern slavery | LOCATION China |
| <p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated.</p> | |


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|---|--|----------------------|
| 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 | QUARTER Q3 2020 |
| | THEME Indigenous rights | LOCATION Malaysia |
| | STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated. | |
| | THEME Biodiversity, Deforestation | LOCATION Malaysia |
| STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated. | | |
| Samsung C&T Corp. | | ISIN KR7028260008 |
|  | SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | QUARTER Q1 2021 |
| | THEME Biodiversity, Environmental impacts | LOCATION Canada |
| | STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q1 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 2 December 2021. | |
| | THEME | LOCATION |


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|---|--------|
| Indigenous rights, Living standards, Stakeholder consultation | Canada |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q1 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its Board of Directors on 2 December 2021. | |


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| SLC Agricola SA | ISIN BRSLEACNOR2 |
|  SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species | QUARTER Q3 2021 |
| THEME Biodiversity, Climate change impacts, Deforestation, Environmental impacts | LOCATION Brazil |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021. | |

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|--|---------------------------------|
| 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 Q4 2021 |
| THEME Bribery | LOCATION China |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |
| THEME Bribery | LOCATION Indonesia |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |
| THEME Bribery | LOCATION Saudi Arabia |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |

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| THEME Bribery | LOCATION Vietnam |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |

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| TENMA Corp. | ISIN JP3547800007 |
|  SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q4 2021 |
| THEME Bribery | LOCATION Japan |
| STATUS OF ENGAGEMENT The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022. | |

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| Teollisen yhteistyön rahasto Oy | ISIN FI4000068804 |
|  SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | QUARTER Q3 2021 |
| THEME Indigenous rights, Living standards, Stakeholder consultation | LOCATION Kenya |
| STATUS OF ENGAGEMENT The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021. | |

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| The Kansai Electric Power Co., Inc. | ISIN JP3228600007 |
|  SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q4 2021 |
| THEME Bribery | LOCATION Japan |

STATUS OF ENGAGEMENT

The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.

Uber Technologies, Inc.

ISIN
US90353T1007

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; 8.5: 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
Q3 2021

THEMES

Workplace health and safety

LOCATIONS

United States

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

THEMES

Workplace health and safety

LOCATIONS

United Kingdom

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

THEMES

Consumer health and safety

LOCATIONS

United States

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

VEON Holdings BV

ISIN
US92718WAB54

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 2021

THEME

Union Rights

LOCATION

Bangladesh

STATUS OF ENGAGEMENT

The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.

VEON Ltd.

ISIN
US92719A1060



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 2021

THEME

Union Rights

LOCATION

Bangladesh

STATUS OF ENGAGEMENT

The company has yet to respond to outreach from Q4 2021. As such, it is subject to the reminder and escalation process in 2022.

Victory City International Holdings Limited

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

LOCATION

China

STATUS OF ENGAGEMENT

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

XPO Logistics, Inc.

ISIN
US12612WAB00



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
Q3 2021

THEME


Union Rights

LOCATION




United States

STATUS OF ENGAGEMENT

The company did not respond to outreach in Q3 2021. As such, it is subject to the reminder and escalation process and a reminder was sent to its CEO on 28 December 2021.

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| 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 | LOCATIONS China |
| STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board of Directors, the engagement will be re-evaluated. | | |

ENGAGEMENTS CLOSED IN 2021

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| ACC Limited | | ISIN INE012A01025 |
|  | <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 Q1 2021</p> |
| <p>THEME Union rights, Workplace health and safety</p> | | <p>LOCATION India</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in August 2021, Holcim Ltd. (ACC Limited's parent company) stated that the number of fatalities at its operations in India continues to decrease since 2019, with zero on-site fatalities in 2020. In an investor dialogue facilitated by ISS ESG in March 2021, the company elaborated on its different measures to address health and safety concerns in India that resulted in an overall workplace fatalities reduction.</p> | | |
| Allergan Ltd. (Ireland) | | ISIN IE00BD1NQJ95 |
|  | <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>QUARTER Q1 2020</p> |
| <p>THEME Consumer health and safety, Right to life</p> | | <p>LOCATION United States</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because AbbVie, Inc. confirmed to ISS ESG that effective end of 2020 it has terminated manufacturing and distribution of its subsidiary Allergan Plc's remaining branded opioid products. However, Allergan continues to face numerous lawsuits over its alleged contribution to the opioid epidemic in the United States, which has led to thousands of overdose deaths. The lawsuits allege that Allergan engaged in deceptive marketing practices in relation to its opioid products, which include funding unbranded marketing and third party advocates, touting unsubstantiated claims, and misrepresenting addiction risk, and failing to establish an effective suspicious order monitoring program.</p> | | |
| Alphabet Inc. | | ISIN US02079K1079 |
|  | <p>SDG ALIGNMENT N/A</p> | <p>QUARTER Q3 2021</p> |
| <p>THEME Children's rights, Consumer rights</p> | | <p>LOCATION United States</p> |

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because Alphabet, Inc.'s wholly owned subsidiary Google LLC, has implemented policy changes to be compliant with the United States Children's Online Privacy Protection Act (COPPA) Rule, and to resolve a \$170 million fine on YouTube in September 2019 by the Federal Trade Commission for COPPA violations. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.

Alstom SA

ISIN
FR0010220475



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.3: Promote the rule of law and ensure equal access to justice for all

QUARTER
Q3 2017

THEME

Self-determination

LOCATION
Disputed
Territories
(Occupied
Palestinian
Territories)

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in communication with ISS ESG in May 2021, Alstom SA confirmed that it has discontinued its involvement in the Jerusalem Light Rail (JLR) following the termination of the maintenance service contract in April 2021. The company also informed that Bombardier Transportation's supply contract only involves providing the Israel Railways with double-deck coaches hauled by electric locomotives and does not include maintenance services.

Amazon.com, Inc.

ISIN
US0231351067



SDG ALIGNMENT

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

QUARTER
Q1 2019


THEME


Tax irregularities

LOCATION
Luxembourg

MOTIVATION FOR CLOSING ENGAGEMENT


ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because in May 2021, the General Court of the European Union Court overturned the European Commission's October 2017 order to collect €250 million in unpaid taxes for illegal tax advantages by the state of Luxembourg to Amazon Inc.'s Luxembourg wholly-owned subsidiary Amazon EU Sarl. The Commission stated that it would carefully study the judgment and reflect on the next steps, while it does not have grounds for appeal. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.


| Ambuja Cements Limited | | ISIN INE079A01024 |
|--|--|-----------------------------------|
|  | <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 Q1 2021</p> |
| <p>THEME Union rights, Workplace health and safety</p> | | <p>LOCATION India</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in August 2021, Holcim Ltd. (Ambuja Cements Limited's parent company) stated that the number of fatalities at its operations in India continues to decrease since 2019, with zero on-site fatalities in 2020. In an investor dialogue facilitated by ISS ESG in March 2021, the company elaborated on its different measures to address health and safety concerns in India that resulted in an overall workplace fatalities reduction.</p> | | |

| AMP Ltd. | | ISIN AU000000AMP6 |
|---|-------------------------------------|---------------------------------------|
|  | <p>SDG ALIGNMENT N/A</p> | <p>QUARTER Q3 2018</p> |
| <p>THEMES Business-to-consumer conduct, Consumer rights</p> | | <p>LOCATIONS Australia</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because AMP Ltd. has been taking significant steps to address issues of inappropriate advice and fees for no service that occurred from 2008 to 2015 in Australia. According to its 2020 annual report, AMP is on track to complete its client remediation efforts in addressing issues and has also made changes to its systems to help prevent a recurrence of fees for no service behaviours including monthly monitoring and reporting of requests from customers to discontinue advice fees. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |


| Anglo American Platinum Ltd. | | ISIN ZAE000143962 |
|---|--|-----------------------------------|
|  | <p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 6: Clean Water and Sanitation; 6.1: Universal and equitable access to safe and affordable drinking water</p> <p>SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing</p> | <p>QUARTER Q3 2018</p> |


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| | SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels | |
| THEME Forced displacement, Living standards | | LOCATIONS South Africa |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, Anglo American Platinum Ltd. (Amplats) has initiated an independent third-party review of its resettlement program for the Twickenham mining project, where the company has been accused of inadequate consultation process and compensation for the resettlement of communities. In communication with ISS ESG in June 2021, Anglo American stated that it continues to undertake remediation measures for the resettlement.</p> | | |

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| Anglo American Plc | | ISIN GB00B1XZS820 |
|  | <p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 6: Clean Water and Sanitation; 6.1: Universal and equitable access to safe and affordable drinking water</p> <p>SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels,</p> | QUARTER Q3 2018 |
| THEME Forced displacement, Living standards | | LOCATION South Africa |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, Anglo American Plc's 80.8% owned subsidiary Anglo American Platinum Ltd. (Amplats) has initiated an independent third-party review of its resettlement program for the Twickenham mining project, where the company has been accused of inadequate consultation process and compensation for the resettlement of communities. In communication with ISS ESG in June 2021, Anglo American stated that it continues to undertake remediation measures for the resettlement.</p> | | |


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| Anheuser-Busch InBev SA/NV | | ISIN AU3CB0231827 |
|  | <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> | QUARTER Q2 2019 |
| THEME Union Rights | | LOCATION India |
| MOTIVATION FOR CLOSING ENGAGEMENT | | |


ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of such progress as an agreement having been reached between the company and the International Union of Food, Agricultural, Hotel, Restaurant, Catering, Tobacco and Allied Workers' Associations (IUF) with regard to the reintegration of the four dismissed union leaders and recognition of their role as union representatives, along with ongoing dialogue between the company and the local union.


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| 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, Modern slavery | | LOCATION China |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research (NBR) assessment was upgraded. This change occurred in part because the company shared with ISS ESG's NBR team copies of audit reports by the industry association Responsible Business Alliance which visited two facilities of Avary Holding (Shenzhen) Co., Ltd., a subsidiary of Zhen Ding Technology Holding Ltd. (ZDT), in the summer of 2020 and found no indications of forced labour. Also, in communication with ISS ESG in March 2021, ZDT denied the allegations of its participation in the labour transfers, stating that all of Avary's employees have been recruited voluntarily and compensated in compliance with relevant laws. | | |

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| 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 |
| THEME Money laundering | | LOCATION South Africa |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded,. This change occurred because the Bank announced in February 2018 that it would exit the South African banking market after it was put under investigation by the Reserve Bank of South Africa (SARB) in a money laundering case. BoB's 2019-2020 annual report verified the company's exit strategy but did not confirm the completion of its closure of the South African branch and no new information has been reported with this regard as of June 2021. | | |


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| BASF SE | | ISIN DE000BASF111 |
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|  | SDG ALIGNMENT SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species | QUARTER Q4 2021 |
| THEME Biodiversity | | LOCATION Several countries |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because BASF SE has disclosed measures it has implemented to minimize the risk of use of its products and highlighted its commitment to continue to engage with stakeholders to promote bee health. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement. | | |


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| BP Plc | | ISIN US0556221044 |
|  | 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 Q1 2019 |
| THEME Living standards | | LOCATION Italy |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in September 2021, SNAM SpA (a partner in the Trans Adriatic Pipeline (TAP) AG along with BP Plc) shared TAP's various engagement and communications efforts to consult with stakeholders and implement various projects to keep affected communities informed during the earliest development phases of the JV. While the trial with the Lecce prosecutor has reportedly been postponed to January 2022, there have been no renewed allegations raised against the JV. | | |

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| CaixaBank SA | | ISIN ES0140609019 |
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime | QUARTER Q3 2018 |
| THEME Money laundering | | LOCATION Spain |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. While the company remains subject to an investigation by the Spanish National High Court (AN) concerning alleged money laundering for Chinese organisations, it is actively cooperating with the AN and has | | |


continuously strengthened its Anti-Money Laundering procedures. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.


| Enagas SA | | ISIN ES0130960018 |
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|  | 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 Q1 2019 |
| THEME Living standards | | LOCATION Italy |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in September 2021, Snam SpA (a partner in the Trans Adriatic Pipeline (TAP) AG along with Enagas SA) shared TAP's various engagement and communications efforts to consult with stakeholders and implement various projects to keep affected communities informed during the earliest development phases of the JV. While the trial with the Lecce prosecutor has reportedly been postponed to January 2022, there have been no renewed allegations raised against the JV. | | |

| FCA US LLC | | ISIN US17121EAC12 |
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|  | SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes | QUARTER Q4 2020 |
| THEME Air pollution | | LOCATION United States |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that an association representing automakers, of which FCA US LLC is a member, has withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry group has withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy. | | |


| Fiat Chrysler Automobiles NV | | ISIN NL0010877643 |
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|  | SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning | QUARTER Q4 2020 |


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| THEMES Climate change regulation | LOCATION United States |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement because a U.S. federal court of appeals' filing confirmed that an association representing automakers, of which Fiat Chrysler Automobiles NV is a member, has withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry group has withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.</p> | |


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| Freeport-McMoRan, Inc. | | ISIN US35671D8570 |
|  | <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> | QUARTER Q1 2020 |
| THEME Workplace health and safety | | LOCATION Indonesia |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because no new and credible information has emerged since 2017 concerning the alleged dismissal of thousands of workers for union activity at Freeport-McMoRan, Inc.'s operations in Indonesia. As of March 2021, the company has reaffirmed that there are ongoing negotiations with local unions at its operations. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |

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| G4S Plc | | ISIN GB00B01FLG62 |
|  | <p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p> <p>SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration</p> | QUARTER Q1 2020 |
| THEME Forced labour, Modern slavery | | LOCATION Qatar |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because G4S Plc, through its franchise G4S Qatar, has been taking significant steps to address issues claiming that it subjected migrant workers to conditions indicative of forced labour in Qatar. In May 2021, G4S outlined steps it had taken, including committing to an 'Employer Pays' principle for recruitment fees, appointing a new team of welfare and migrant worker coordinators to collect feedback from workers and carry out checks in their home and destination countries, undertaking internal audits</p> | | |

and engaging with key stakeholders, including the local Ministry of Labour, the International Labour Organization (ILO) and UNI Global Union in Doha. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.

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| Google LLC | | ISIN US38259PAA03 |
|  | SDG ALIGNMENT N/A | QUARTER Q2 2020 |
| THEME Children's rights, Consumer privacy | | LOCATION United States |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because Alphabet, Inc.'s wholly owned subsidiary Google LLC, has implemented policy changes to be compliant with the United States Children's Online Privacy Protection Act (COPPA) Rule, and to resolve a \$170 million fine on YouTube in September 2019 by the Federal Trade Commission for COPPA violations. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |

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| Holcim Ltd. | | ISIN CH0012214059 |
|  | <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> | QUARTER Q1 2021 |
| THEME Union rights, Workplace health and safety | | LOCATION India |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in August 2021, Holcim stated that the number of fatalities at its operations in India continues to decrease since 2019, with zero on-site fatalities in 2020. In an investor dialogue facilitated by ISS ESG in March 2021, the company elaborated on its different measures to address health and safety concerns in India that resulted in an overall workplace fatalities reduction.</p> | | |

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|---|--|---------------------------|
| Hyundai Motor Co., Ltd. | | ISIN KR7005380001 |
|  | SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning | QUARTER Q4 2020 |
| THEME Climate change regulation | | LOCATION United States |

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that associations representing automakers, of which Hyundai Motor Co., Ltd. is a member, have withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry groups have withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.

Indiabulls Real Estate Limited

ISIN
INE069I01010



SDG ALIGNMENT

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

QUARTER
Q3 2020

THEME
Tax irregularities

LOCATION
India

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, no new information on Indiabulls Real Estate Limited's (IRE) tax practices has emerged since June 2019, when media reported that IRE was, in April 2019, ordered by the Indian Income Tax Settlement Commission to pay INR300 billion in additional tax and interest charges on undisclosed income. As of 31 March 2019, the matter regarding the income tax raids was awaiting a final decision by the Income Tax Settlement Commission. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.

Isuzu Motors Ltd.

ISIN
JP3137200006



SDG ALIGNMENT

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

QUARTER
Q4 2020

THEMES
Climate change regulation


LOCATIONS
United States


MOTIVATION FOR CLOSING ENGAGEMENT


ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that an association representing automakers, of which Isuzu Motors Ltd. is a member, has withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry group has withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.

JBS SA

ISIN
USP59695AC39


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|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q4 2020 |
| THEME Bribery | | LOCATION Brazil |
| MOTIVATION FOR CLOSING ENGAGEMENT <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because JBS is implementing measures to remediate allegations that it bribed public officials to obtain bank financing, food-sanitation certificates, tax incentives and investments by pension funds between 2007 and 2015. JBS has established a compliance program, appointed a global head of compliance and established ethics committees for each business unit and in 2020, the company launched its Global Anticorruption Policy and began training cycles on specific compliance topics. Between November 2018 and August 2020, JBS conducted an independent audit which certified 97% adherence to the JBS Program on anti-corruption laws and best compliance practices based on national and international guidelines. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |


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| Khon Kaen Sugar Industry Public Co. Ltd. | | ISIN TH0828010007 |
|  | 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 Q3 2020 |
| THEME Forced displacement | | LOCATION Cambodia |
| MOTIVATION FOR CLOSING ENGAGEMENT <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This is because while media reports of claims of inadequate compensation continue against Khon Kaen Sugar Industry Public Co. Ltd.'s buyer, no such allegations continue directly against Khon Kaen.</p> | | |


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| Kia 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 Climate change regulation | | LOCATION United States |
| MOTIVATION FOR CLOSING ENGAGEMENT <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that an association representing automakers, of which Kia Motors Corp. is a member, has withdrawn from legal proceedings</p> | | |


that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry group has withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.


| Kommunal Landspensjonskasse Gjensidig Forsikringsselskap | | ISIN XS0250742896 |
|---|--|-----------------------------------|
|  | <p>SDG ALIGNMENT</p> <p>SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | <p>QUARTER Q3 2021</p> |
| <p>THEME Indigenous rights, Living standards</p> | | <p>LOCATION Kenya</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in September 2021 Kommunal Landspensjonskasse Gjensidig Forsikringsselskap (KLP) confirmed, in investor dialogue facilitated by ISS ESG, that its 50% owned investment fund KLP Norfund Investments AS (Norfund), has completed the sale of its stake in the Lake Turkana Wind Power Ltd. (LTWP) consortium which, since 2012, has been alleged by NGOs of failing to obtain the free, prior, and informed consent (FPIC) of the Turkana, Samburu, and Rendille tribes in Kenya. KLP maintained its commitment to local engagement and support to the principle of FPIC. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |


| Korea Electric Power Corp. | | ISIN KR7015760002 |
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|  | <p>SDG ALIGNMENT</p> <p>SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change</p> | <p>QUARTER Q3 2021</p> |
| <p>THEME Air pollution, Environmental impacts</p> | | <p>LOCATION South Africa</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in September 2021, Korea Electric Power Corp. (KEPCO) confirmed, in response to investor queries, facilitated by ISS ESG, the cancellation of the proposed 630 MW coal-fired Thabametsi power station in South Africa, whose environmental authorization was challenged by the NGO Earthlife Africa Johannesburg (ELA) on climate change grounds. Considering KEPCO's confirmation of the termination of the project, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |


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| Lu Thai Textile Co., Ltd. | | ISIN CNE000000ST8 |
|  | 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 2020 |
| THEME Union rights, Workplace health and safety | | LOCATION Myanmar |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because there have been no renewed allegations of labour rights violations specific to the operations in Myanmar since 2018. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement. | | |

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| Lu Thai Textile Co., Ltd. | | ISIN CNE000000ST8 |
|  | 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 2020 |
| THEME Gender discrimination, Workplace health and safety | | LOCATION Cambodia |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, while Lu Thai remains excluded from the Norwegian Government Pension Fund (GPF) as of March 2021, there have been no renewed allegations of labour rights violations specific to the operations in Cambodia since 2018. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement. | | |


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| Lu Thai Textile Co., Ltd. | | ISIN CNE000000ST8 |
|  | 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 | | LOCATION China |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred in part because in August 2020 Lu Thai disclosed that it sold its subsidiary operating in Xinjiang. In a subsequent September 2020 press statement, the company confirmed that it does not have "any equity stake or related investment in Xinjiang" but failed to clarify whether it still sources cotton from the region. However, the engagements continue on the labour rights controversies in Cambodia and Myanmar. | | |


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| Mazda Motor Corp. | | ISIN JP3868400007 |
|  | SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning | QUARTER Q4 2020 |
| THEME Climate change regulation | | LOCATION United States |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that associations representing automakers, of which Mazda Motor Corp. is a member, have withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry groups have withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.</p> | | |


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| 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 Climate change regulation | | LOCATION United States |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that associations representing automakers, of which Mitsubishi Motors Corp. is a member, have withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry groups have withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.</p> | | |


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| POSCO | | ISIN US6934831099 |
|  | 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 2019 |
| THEMES Forced labour, Modern slavery | | LOCATION Uzbekistan |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research (NBR) assessment was upgraded. This upgrade occurred because POSCO and its 62.9% owned subsidiary POSCO International</p> | | |


Corp. have been demonstrating transparency with regard to efforts undertaken to exert leverage to improve labour standards in their cotton supply chain in Uzbekistan. In communication with ISS ESG's NBR team in January 2021, POSCO and POSCO International expressed their commitment to respect human rights and stated that they continue – through a local subsidiary – engaging with the Uzbek government and other stakeholders to support the ongoing progress.

| POSCO | | ISIN US6934831099 |
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|  | 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 Q1 2019 |
| THEMES Forced displacement, Indigenous rights | | LOCATION India |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded. This change occurred because in communication with ISS ESG Norm-Based Research in January 2021, POSCO confirmed that its wholly owned subsidiary POSCO-India Private Ltd exited a proposed project to develop an integrated steel mill, mine, and associated infrastructure in Jagatsinghpur district, Odisha, India; this project has been accused of poor stakeholder consultation and complicity in the failure to remediate forced displacement since 2005. Given that POSCO has confirmed it is no longer involved in the project in Odisha, ISS ESG assesses that the controversy is no longer current, leading to no further need for engagement. | | |


| POSCO INTERNATIONAL Corp. | | ISIN KR7047050000 |
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|  | 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 2019 |
| THEMES Forced labour, Modern slavery | | LOCATION Uzbekistan |
| MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying Norm-Based Research (NBR) assessment was upgraded. This upgrade occurred because POSCO and its 62.9% owned subsidiary POSCO International Corp. have been demonstrating transparency with regard to efforts undertaken to exert leverage to improve labour standards in their cotton supply chain in Uzbekistan. In communication with ISS ESG's NBR team in January 2021, POSCO and POSCO International expressed their commitment to respect human rights and stated that they continue – through a local subsidiary – engaging with the Uzbek government and other stakeholders to support the ongoing progress. | | |


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| Sanofi | | ISIN US80105NAG07 |
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2019 |
| THEME Bribery | | LOCATION Bahrain |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | | |


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| Sanofi | | ISIN US80105NAG07 |
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2019 |
| THEME Bribery | | LOCATION Jordan |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | | |

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| Sanofi | | ISIN US80105NAG07 |
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2019 |
| THEME Bribery | | LOCATION Kuwait |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement</p> | | |


resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.


| Sanofi | | ISIN US80105NAG07 |
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|  | 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 Lebanon |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | | |

| Sanofi | | ISIN US80105NAG07 |
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|  | 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 Oman |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | | |


| Sanofi | | ISIN US80105NAG07 |
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|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2019 |
| THEME | | LOCATION |


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|---|---|
| Bribery | Disputed Territories (Occupied Palestinian Territories) |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | |


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| Sanofi | ISIN US80105NAG07 |
|  <p>SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p> | <p>QUARTER Q1 2019</p> |
| <p>THEME Bribery</p> | <p>LOCATION Qatar</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | |

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| Sanofi | ISIN US80105NAG07 |
|  <p>SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p> | <p>QUARTER Q1 2019</p> |
| <p>THEME Bribery</p> | <p>LOCATION United Arab Emirates</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified</p> | |


steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.


| Sanofi | | ISIN US80105NAG07 |
|--|---|----------------------|
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2019 |
| THEME Bribery | | LOCATION Yemen |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | | |

| Sanofi | | ISIN US80105NAG07 |
|--|---|------------------------|
|  | SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms | QUARTER Q1 2019 |
| THEME Bribery | | LOCATION Kazakhstan |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of the end of the two-year self-reporting period imposed by the United States (U.S.) Securities and Exchange Commission (SEC) in connection with a \$25 million settlement resolving bribery allegations in Kazakhstan and several countries in the Middle East, along with verified steps taken by the company to address shortcomings in its internal accounting controls and anti-corruption compliance program.</p> | | |


| SNAM SpA | | ISIN IT0003153415 |
|---|---|----------------------|
|  | 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 Q1 2019 |


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| THEME Living standards | LOCATION Italy |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in September 2021, Snam SpA shared TAP's various engagement and communications efforts to consult with stakeholders and implement various projects to keep affected communities informed during the earliest development phases of the JV. While the trial with the Lecce prosecutor has reportedly been postponed to January 2022, there have been no renewed allegations raised against the JV.</p> | |


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| 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 |
| THEMES Climate change regulation | | LOCATIONS United States |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that an association representing automakers, of which Subaru Corp. is a member, has withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry group has withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.</p> | | |

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| 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 Climate change regulation | | LOCATION United States |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that an association representing automakers, of which Suzuki Motor Corp. is a member, has withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry group has withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.</p> | | |


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| TH Plantations Bhd. | | ISIN MYL511200007 |
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|  | <p>SDG ALIGNMENT</p> <p>SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests</p> | <p>QUARTER Q4 2019</p> |
| <p>THEME Depletion of biodiversity, Deforestation</p> | | <p>LOCATION Indonesia</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because TH Plantations Bhd. has been taking significant steps to address issues alleging that it cleared forests and planted on peatlands in North Kalimantan, Indonesia. In November 2020, THP published a new Sustainability Policy which includes a public No Deforestation, No Peat, No Exploitation (NDPE) commitment and since 2018, no new allegations of deforestation have arisen. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |

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| Toyota Motor Corp. | | <p>ISIN JP3633400001</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 Q4 2020</p> |
| <p>THEME Climate change regulation</p> | | <p>LOCATION United States</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because a U.S. federal court of appeals' filing confirmed that associations representing automakers, of which Toyota Motor Corp. is a member, have withdrawn from legal proceedings that support a rollback of U.S. fuel-efficiency standards aimed at mitigating climate change. Considering that the industry groups have withdrawn from the proceedings, ISS ESG deems the company to no longer be involved in the controversy.</p> | | |

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| Westpac Banking Corp. | | <p>ISIN AU000000WBC1</p> |
|  | <p>SDG ALIGNMENT</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere</p> | <p>QUARTER Q1 2020</p> |
| <p>THEME Children's rights, Human rights due diligence, Modern slavery</p> | | <p>LOCATION Philippines</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because, in communication with ISS ESG in August 2021, Westpac stated that it is implementing remediation and preventive measures through a Response Plan. It has paid a penalty in 2020 with the Australian Transaction Reports and Analysis Centre (AUSTRAC) and also filed a Statement of Agreed Facts and Admissions with the Federal Court of Australia outlining its remediation measures.</p> | | |


Westpac confirmed that there are no outstanding matters associated with the AUSTRAC. ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.

| Weyerhaeuser Company | | ISIN US962166BV52 |
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|  | <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 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | <p>QUARTER Q2 2019</p> |
| <p>THEME Indigenous rights</p> | | <p>LOCATION Canada</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. While concerns about the company's commitment to free, prior, and informed consent for prospective future logging in traditional territory continue to persist, there is no active logging in the Grassy Narrows forest land and a logging ban ordered by the government in the area until April 2024 remains in place. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |

| WTK Holdings Bhd. | | ISIN MYL424300001 |
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|  | <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 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p> | <p>QUARTER Q3 2018</p> |
| <p>THEME Human rights due diligence, Indigenous rights</p> | | <p>LOCATION Papua New Guinea</p> |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because no new allegations have arisen relating to the violation of indigenous rights at WTK Holdings Bhd.'s oil palm plantations in Papua New Guinea. Thus, ISS ESG assesses that this controversy is no longer current, leading to no further need for engagement.</p> | | |

| Zhejiang Huayou Cobalt Co., Ltd. | | ISIN CNE100001VW3 |
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|  | <p>SDG ALIGNMENT</p> | <p>QUARTER Q1 2021</p> |

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| | <p>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</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>THEME</p> <p>Living wage, Modern slavery, Workplace health and safety</p> | <p>LOCATIONS</p> <p>Congo (Democratic Republic)</p> | |
| <p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded. This change occurred because of measures the company has taken to address child labour concerns in its supply chains; these supply chain concerns had been the main such controversy. These measures include the company announcing in late 2020 that it stopped sourcing cobalt from individuals and from the Kasulo and Kamilombe mining sites – which were the main subject of stakeholder allegations – until the industry establishes criteria for responsible cobalt sourcing.</p> | | |

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| Zhen Ding Technology Holding Ltd. | | ISIN KYG989221000 |
|  | <div>SDG ALIGNMENT</div> <div>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</div> | <div>QUARTER</div> <div>Q4 2020</div> |
| <div>THEME</div> <div>Forced labour, Human rights due diligence, Modern slavery</div> | | <div>LOCATION</div> <div>China</div> |
| <div>MOTIVATION FOR CLOSING ENGAGEMENT</div> <div>ISS ESG has closed this engagement as the underlying Norm-Based Research (NBR) assessment was upgraded. This change occurred in part because the company shared with ISS ESG's NBR team copies of audit reports by the industry association Responsible Business Alliance which visited two facilities of Avary Holding (Shenzhen) Co., Ltd., a subsidiary of Zhen Ding Technology Holding Ltd. (ZDT), in the summer of 2020 and found no indications of forced labour. Also, in communication with ISS ESG in March 2021, ZDT denied the allegations of its participation in the labour transfers, stating that all of Avary’s employees have been recruited voluntarily and compensated in compliance with relevant laws.</div> | | |

COMPANIES UNRESPONSIVE TO LONG-STANDING CONTROVERSIES

Separately from the engagements conducted during 2021, the following section identifies companies that continue to be involved in long-standing controversies and where progress is yet to be seen in Norm-Based Engagement initiated prior to 2021. While ISS ESG will continue to monitor the feasibility of engagement, investor clients may consider these companies and engagement topics for further due diligence.

The identification has been made by ISS ESG on the basis of companies which have – in more than one engagement cycle – been either unresponsive or where responses have been deemed poor, as the company did not address the ESG topic(s), the engagement questions posed or provide information on the management of the issue. The identification also considered where the milestones for the objectives set for Norm-Based Engagement remain at ‘no measures announced’. A further factor of consideration is the status of the controversies as well as fact-finding communication with the company conducted under Norm-Based Research.

For additional due diligence, investor clients may also want to consider companies with which engagement on specific topics has been discontinued, but where the controversy remains ongoing.

| Adani Enterprises Limited | | | ISIN INE423A01024 |
|---|-------------------|--|----------------------|
| ENGAGEMENT CYCLES | ENGAGEMENT STATUS | TOPIC | |
| Q1 2017 Q1 2019 | Suspended | Alleged failure to mitigate climate change impacts and to assess environmental impact in Queensland, Australia | |
| ENGAGEMENT STATUS SUMMARY On behalf of clients, ISS ESG has attempted to engage with Adani Enterprises in Q1 2017 and Q1 2019, however, the company has failed to respond to ISS ESG’s investor enquiries despite repeated reminders and escalations. The engagement has been suspended since April 2020. | | | |

| CNOOC Limited | | | ISIN HK0883013259 |
|---|-------------------|--|----------------------|
| ENGAGEMENT CYCLES | ENGAGEMENT STATUS | TOPIC | |
| Q2 2013 Q2 2016 | Suspended | Alleged failure to address environmental impacts associated with oil sands project of Syncrude consortium in Alberta, Canada | |
| ENGAGEMENT STATUS SUMMARY In August 2013, the company provided a poor quality response to the Q2 2013 investor enquiry, referring to its sustainability policies and CSR reports and statements which did not detail any updates on the Syncrude oil sands project. In June 2016, the company provided another poor quality response to the Q2 2016 investor enquiry, and did not provide an update on the engagement questions posed nor provide information on the management of the oil sands project. The engagement has been suspended since January 2019. | | | |

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|---|-----------------------------------|--|----------------------|
| Hon Hai Precision Industry Co., Ltd. | | | ISIN US4380902019 |
| ENGAGEMENT CYCLES Q1 2020 Q4 2020 | ENGAGEMENT STATUS Suspended | TOPIC Alleged failure to respect the right to just and favourable conditions of work in China | |
| ENGAGEMENT STATUS SUMMARY After escalating the Q1 2020 investor enquiry to Hon Hai's Chairman and President, ISS ESG suspended the engagement due to new developments and to launch a new engagement cycle that also includes the related allegation of forced labour in the Xinjiang Uyghur Autonomous Region, China. In September 2020, the company provided an adequate response to the Q1 2020 investor enquiry and outlined steps to address allegations, such as its establishment of an audit team, grievance channels and policies. Nevertheless, Hon Hai has failed to respond to ISS ESG's Q4 2020 investor enquiry despite repeated reminders and escalations. The engagement has been suspended since February 2022. | | | |

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| Tongling Nonferrous Metals Group Co., Ltd. | | | ISIN CNE000000529 |
| ENGAGEMENT CYCLES Q4 2013 Q2 2015 Q2 2019 | ENGAGEMENT STATUS Suspended | TOPIC Alleged failure to prevent pollution in China | |
| ENGAGEMENT STATUS SUMMARY On behalf of investors, ISS ESG attempted to engage with Tongling Nonferrous Metals Group Co., Ltd. in Q4 2013 and Q2 2019, however, the company has failed to respond to ISS ESG's investor enquiries despite repeated reminders and escalations. The Q2 2019 engagement enquiry also concerned alleged failure to respect indigenous rights in Peru. The engagement has been suspended since April 2020. | | | |

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| Volcan Compania Minera S.A.A. | | | ISIN PEP648014202 |
| ENGAGEMENT CYCLES Q2 2012 Q3 2014 Q2 2016 Q3 2018 | ENGAGEMENT STATUS Suspended | TOPIC Alleged failure to prevent water pollution in Peru | |

ENGAGEMENT STATUS SUMMARY

On behalf of clients, ISS ESG attempted to engage with Volcan in Q2 2012 and Q3 2014, however, the company failed to respond to ISS ESG's investor enquiries despite repeated reminders and escalations. Nevertheless, in June 2016, ISS ESG facilitated an engagement meeting with the company, on behalf of investors, and Volcan briefly described the wider context of its operations in Cerro de Pasco and invited further questions in writing. In October 2017, Volcan responded to follow-up questions and requested a postponement of dialogue until further notice due to an announcement by Glencore Plc of potentially acquiring a controlling stake in the company. Volcan suggested resuming contact in the first quarter of 2018. Volcan has since failed to respond to the Q3 2018 investor enquiry despite repeated reminders and escalations. The engagement has been suspended since September 2019.



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.

NORM-BASED ENGAGEMENT

ISS ESG's Norm-Based Engagement Solution facilitates engagement with issuers on behalf of clients who would like to encourage corporate disclosure of efforts taken to manage or mitigate the environmental and social risks connected to business activities or operations. Engagement is considered 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 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 Norm-Based Engagement, is a continuation and escalation of the research dialogue. ISS ESG's Norm-Based Engagement approach encourages, on behalf of those investor clients participating in the Norm-Based 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 Norm-Based Engagement each calendar year. Each client of the Norm-Based Engagement Solution determines at its own discretion the engagements in which it would like to participate.